

**Post-Primary Election Quality Assurance Review and  
Contract Performance Assessment of Arkansas's  
Voting System Implementation Project**

*For*

**The Arkansas Secretary of State**

*By*

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## INTRODUCTION

It was the best of times and the worst of times for Arkansas's election administrators during the Primary Election in May 2006. It was a tale of two groups of counties. One group of counties, primarily smaller counties in the State, had relatively smooth elections with few problems getting their new equipment up and running and few problems getting their ballots printed.

However, for a second group of Arkansas's counties the preparation for use of new voting equipment and new procedures for printing ballots created almost insurmountable obstacles to a smooth election. These counties varied in size from small and medium counties to the largest counties in the State. They experienced primarily delays in receiving full training, delays in receiving accurately printed ballots, and delays in receiving election programs for both new and legacy voting systems.

There were very few, if any, documented instances in which faulty equipment or printed ballot problems prevented voters from voting. There were only anecdotal stories about voters who left polling places because a communication pack or printer was not working properly.

In general, the level of success ultimately achieved in the Primary Election on 23 May 2006 and the runoff on 13 June 2006 was due largely to the last-minute push by ES&S to provide election day support and to the extraordinary efforts of Arkansas's county election officials who compensated for the vendor's earlier shortcomings in providing hardware, software, and other support services.

Because of the problems that surfaced, the Arkansas Secretary of State decided to conduct a post-election Quality Assurance Review and Performance Assessment of the voting system implementation project and project management services provided by the prime contractor, Elections Systems and Software (ES&S). The Secretary of State's office contracted with InfoSENTRY Services, Inc. to carry out this review to (1) assess the execution of actions and items in Arkansas's contract with ES&S and (2) provide recommendations for appropriate actions going forward.

InfoSENTRY has in-depth experience in election technology, information systems, and project management. An InfoSENTRY principal co-authored a 1997 Federal Elections Commission monograph on Statewide Voter Registration System Databases and prepared the first feasibility study of a statewide voter registration system in North Carolina in 1988. InfoSENTRY's principals have directed and participated in independent, third-party...

- needs assessments,
- requirements analyses,
- procurement projects,
- project quality assurance reviews,
- project risk assessments,
- security plan development and testing,
- business continuity plan development and testing,
- user acceptance and systems tests,
- performance and load tests,
- and other independent verification and validation projects

...for statewide voter registration systems in nine (9) states with over 41.5 million registered voters.

InfoSENTRY's principals have directed and participated in independent, third-party...

- needs assessments,
- requirements analyses,
- procurement projects,
- security plan development and testing,
- statewide voting system inventories,
- and other independent verification and validation projects

...on voting systems in seven (7) states with over 25 million registered voters.

InfoSENTRY's project staff are all certified information system technology professionals or certified quality auditors. In addition to their elections technology project experience, they have directed or participated in non-elections-related project management, quality assurance, or organizational change management engagements in the United States, Latin America, Europe, and South Asia.

The charter for the review was to examine the project management of the statewide voting system rollout as conducted by the prime contractor. The scope of the review explicitly did not extend to a review of Arkansas's election laws and constraints imposed by relevant Federal election legislation. Those items are the subject of a review planned by the Arkansas General Assembly.

## RESEARCH METHOD

Our project quality assurance and performance review was conducted according to industry-standard guidelines and procedure.

### ***Site Visits***

We identified counties, with assistance from the Secretary of State's Office and from news articles after the Primary, in which there had been particularly visible problems. Among the counties in which we conducted site visits were:

- Benton
- Jefferson
- Lonoke
- Pulaski
- Saline
- Searcy

We conducted follow-up interviews with election officials in some of these counties. We had briefer phone discussions with election officials in other counties about their experiences. We make references during this report to situations we documented in interviews with some of these counties and to documents we received from these counties. We have not included any specific quotations from any of our visits in these counties. The documentation typically told an equally important story.

We requested interviews with the following personnel in the Arkansas Secretary of State (SOS), all of whom had direct involvement with ES&S during the firm's implementation project.

1. The Hon. Secretary of State Charlie Daniels.
2. Deputy Secretary of State, Ms. Janet Harris.
3. The Secretary of State's Director of Elections, Ms. Jill Belin.
4. Secretary of State Election Coordinator, Mr. Carder Hawkins.
5. SOS Counsel, Mr. Tim Humphries.

We completed interviews and follow-up interviews with all of these SOS personnel.

We also requested interviews with the following 13 ES&S personnel who worked on the Arkansas voter system implementation project.

1. Mr. Aldo Tesi, ES&S President and CEO.
2. Mr. Gary Crump, ES&S Chief Operating Officer.
3. ES&S's Account Managers for the Arkansas voting system implementation project, including Ms. Janet Buchanan, Mike Devereaux and Craig Seibert.
4. Previous voting system implementation project manager, Karen Hoyt Stewart.
5. Current voting system project manager, Mac Beeson.
6. Voting system implementation team specialists, Linda Bennett, Gregg Mendenhall, Patrick Whalen, Ellie Ono, and John Lento.
7. Team leader for Arkansas voting system ballot programming.
8. Team leader for Arkansas voting system training.

After a period of negotiations, ES&S allowed us to interview the following four people:

1. Mr. Gary Crump, COO.
2. Mr. Mike Devereaux, Arkansas Account Manager.
3. Mr. Mac Beeson, ES&S current Voting System Project Manager.
4. Ms. Janet Buchanan, ES&S Director, Account Services.

ES&S stipulated that the interviews would occur in their offices in Omaha, NE, and that an ES&S attorney must be present throughout the interviews. The stipulation of having a third party present during a project quality assurance interview was a departure from normal practice in the conduct of quality assurance reviews. However, we agreed to the stipulation in order to have this limited access to ES&S project personnel. We offered to conduct other interviews with the remaining project participant list at other locations, by phone, or by videoconference. ES&S declined the offer.

### ***Statewide Survey***

We recommended to the SOS office that we administer a mail survey to all 72 counties that were involved in this project. We made that recommendation for two reasons. First, we were visiting only those counties which had substantial problems during the Primary. This approach was resulting in a decidedly negative hue to the data we were receiving. We wanted to give every county the opportunity for input about their experiences with

the vendor that is contractually responsible for managing the project and on which they depend 100% for their election voting systems and ballots.

We designed the survey questionnaire and asked the SOS office to mail it to their key contact in each county. The questionnaire contained questions on key aspects of the voting system implementation project. Typically, we asked “fixed-response” questions on a 1 – 5 “Likert” scale and gave the respondents open-ended opportunities to respond after the numerical choices.

At the end of the survey, we provided a full page for the counties to make any additional comments:

“Please provide any additional comments you want to make regarding the project to implement new vote tabulation systems in Arkansas and recommendations concerning steps to take to assure that the project is successful for future elections in your county.”

We asked counties to return their surveys to us by mail or fax at our office in Raleigh, NC. We tabulated the responses and provide the scores in various sections of this report. Because of the importance of getting a flavor of the strength and wide variety of responses to some questions, we have provided in this report verbatim responses from some of the questions. These quotes sometimes express the passion and concern of Arkansas’s election administrators on a topic that is critically important to them. They also provided thoughtful suggestions for ways to move ahead with project improvements for the November Election 2006. As is a standard professional practice and matter of courtesy, we have replaced individuals’ names with position titles in those few instances in which respondents listed specific names in their responses.

After the first mailing, we received slightly less than the 50 responses that we had pre-determined would be necessary for a good sample of the counties. We asked the Secretary of State’s Office to call all non-responding counties and request that they send the survey to us so that we would receive it by 14 July 2006. We received responses from 64 counties out of the 72 involved in the ES&S project, an excellent response rate of 88.9% for a mail survey. Two of the surveys arrived too late to have their numbers included in the numerical calculations. However, we have included various verbatim comments from those surveys in our analysis.

Not all counties responded to all scalar questions. Not all counties provided comments after the numerical scales. However, we were very satisfied with the quantity and quality of the survey’s responses. No one, apart from our staff working on the project, has seen the results of these surveys prior to the release of this report.

We received not a single phone call, text message, email, letter, fax, or memorandum from any county election official complaining about the questions on the survey, the survey’s length, or its contents.

## ***Documentation Review***

It is a common mistake among persons unfamiliar and untrained in quality assurance reviews to assume that interviews and surveys constitute the main data source in the research process.

In reality, when carrying out a quality assurance review and project performance assessment, the existence or non-existence of documentation to provide corroborating information for data coming from surveys is a critical part of the research process.

The following table contains a list of the documentation we requested from the Secretary of State's Office and from ES&S. We have noted the degree to which we received the documentation sets.

We requested items A-E from the SOS Office and items 1-30 from ES&S.

**Table 1  
Documentation Request and Delivery Status.**

A. Electronic copy of complete contract with ES&S.	Received.
B. A copy of the Arkansas elections staffing plan and organization chart for the voting systems project, including staff résumés.	Received.
C. E-mails to and from Arkansas SOS managers and staff members that are relevant to the voting system project planning, decisions, status, and implementation.	Received.
D. Copies of selected news articles on issues facing the counties.	Received.
E. Copies of reports from the issue tracking list the SOS IT department created for use on Primary Election Day.	Received.
1. ES&S's primary Project Management Plan (PMP) for the project as defined by the firm's project management methodology.	Received only the MS Project printed work breakdown schedule in the ES&S proposal, plus one updated MS Excel spreadsheet "timeline" that did not track back to the original planning document.
2. Copies of project work breakdown schedules and project timelines as they existed at the beginning of the project and as they changed throughout the project. Typically, these documents are in successively numbered versions of Microsoft Project files.	Received only the MS Project printed work breakdown schedule in the ES&S proposal, plus one updated MS Excel spreadsheet "timeline" that did not track back to the original planning document. Received one MS Project (.MPP) file apparently originated by a firm, Sarotsam, Inc. regarding a timeline for Acceptance Testing.
3. Copies of all statements of work or change orders ES&S negotiated with the Secretary of State's office,	None received. Received no indication if there had been any subsequent statements

subsequent to the execution of the contract.	of work or change orders.
4. Copies of all other ES&S project system design documents/specifications prepared by ES&S for rollout of the systems in each county.	Received a copy of ES&S's initial county survey form.
5. Copies of ES&S project staffing plans and actual staff deployment during the project. (It will be important to receive the résumés of key vendor team members, including programmers, trainers, and onsite support technicians in the counties.)	None received, other than in the original proposal to the State.
6. A copy or outline of ES&S's project documentation management plan or process map for receiving, organizing, and storing the voting system implementation project documents.	None received from ES&S.
7. Copies of any vendor's risk assessments, risk analyses, and risk management plans for the voting system implementation project.	None received from ES&S.
8. Copies of any ES&S's internal quality assurance and quality testing plans for the project.	None received from ES&S.
9. Copies of the results of any quality assurance, system, integration, unit, acceptance (UAT), and logic/accuracy (L&A) tests conducted by ES&S. These documents should include test plans, test scripts, and completed test documentation.	None received from ES&S.
10. Copies of after action reviews and all on-going lessons learned documentation compiled by ES&S during the project.	None received from ES&S.
11. Copies of hardware, network, and software configuration management plans in each county, for both the planned operational system and for the ES&S's development and test	None received from ES&S.

environments.	
12. Copies of data conversion plans, conversion test plans, and conversion test results to date, to the degree that ES&S received electronic data for conversion from any county.	None received from ES&S. There was a sample of a "release form" ES&S indicated they planned to obtain from each county regarding use of voter registration data.
13. Copies of system security and business continuity plans, including those for development and test facilities. (We prefer not to receive copies of these documents for removal from the premises. Instead we suggest that we review the documents onsite.)	Received a four-page ES&S document relating largely to the handling of voting equipment in the counties.
14. Copies of ES&S's training plans and training materials for each county as well as records of all training classes offered, who taught the classes, and a list of attendees in each class.	Received partial set of documents.
15. Copies of summaries of training feedback forms from the county training classes. If no summaries are available, we will be willing to go onsite to review the actual forms.	Received.
16. Copies of organizational change management or transitional management plans, if they are separate from the PMP.	None received.
17. Copies of any voting system implementation project communication plans to date, including newsletters or other routine communications, such as websites, used to inform Arkansas SOS project staff, the counties, and the general public about the voting system implementation project events and activities.	None received.
18. Copies of all project status reports, such as weekly, monthly, or quarterly reports, prepared for the State by ES&S. If these reports typically contain budget and expenditure	Received.

information, our reviewers will need that information as well.	
19. Copies of summary reports of completed items and pending items from any (a) project issue management or tracking system and (b) system change management system maintained by the ES&S project management team.	None received.
20. Copies of any other performance measures that the ES&S project management team developed and used for assessing the status and progress of the voting system implementation project.	None received.
21. Copies of agendas, minutes, or decision memoranda from regular (that is, daily, weekly, or monthly) project planning and status report meetings and <u>ad hoc</u> meetings with counties and the Secretary of State's staff members concerning the voting system implementation project.	None received.
22. Copies of any agendas, minutes, or decision memoranda for other groups such as subcommittees, planning groups, or task forces that provided information or decisions to implementation project.	None received.
23. Copies of project budget and expenditure documentation over the duration of the project. (If these materials are in hardcopy form, it is likely that the QA team will want to review them onsite rather than carry the documents offsite.)	None received.
24. Copies of ES&S invoices and payments made to date for all goods delivered and services rendered to the State and counties on the implementation project to date.	Received one invoice copy.
25. Copies of any other project deliverables from ES&S that have	None received.

not been covered in previous items.	
26. E-mails to and from ES&S managers and project staff members that are relevant to the voting system project planning, decisions, status, and implementation.	None received from ES&S. Various emails received from counties and the State reflecting communications with ES&S.
27. Along with the documentation listed in #2 and #5 above, we request the people and the hours assigned to the tasks in the project plan. (This listing was a delivery commitment made by ES&S during their proposal presentation.)	None received.
28. Along with the documentation listed in #2 and #5 above, we request the schedule, people, and hours assigned to the tasks of programming county legacy systems, programming new optical scan systems, programming iVotronics systems, and programming audio files for the iVotronics.	None received.
29. Along with the documentation listed in #2 and #5 above, we request the schedule, people, and hours assigned to the tasks of printing, inspecting, and shipping the paper ballots used in Arkansas's counties.	None received.
30. A copy of ES&S's PowerPoint presentation at the kickoff session (delivered by the Project Manager [PM]).	Received a one-page meeting agenda. Did not receive any other material from ES&S regarding this kickoff session.

In addition to these documentation sets, we reviewed the complete video sets of ES&S's oral presentation of their proposal to the SOS Proposal Review Team and representatives from Arkansas's county election offices.

Attachment 2 contains a representative set of the hundreds of documents we received, primarily from the Secretary of State's office, and reviewed during this reviews project phase.

## PROJECT BACKGROUND AND HISTORY

The passage of the Help America Vote Act (HAVA) in late October of 2002 ushered in a period of dramatic change for the nation's elections administrators. Many other reports and reviews have discussed the broad impacts of HAVA and its wide-ranging, required changes for elections administration. It is not necessary to restate all those analyses in this report. However, it is important to note that HAVA requirements extended to every county in the State of Arkansas and to the operations of the Secretary of State's (SOS) Office. That office houses the statutorily created position of the Chief State Election Official.

While many date the beginning of HAVA to the end of October in 2002, few actions of substance occurred to carry out that legislation until early 2004. It was not until then that groups such as the Election Assistance Commission (EAC) took shape and began to locate office space. It was not until that year that states began to have clearer ideas about the amount of money they would receive and, as importantly, when they would receive it.

At the same time, voting critics raised serious questions about the security and operations of certain types of computerized voting systems, typically referred to as "touchscreen" or Direct Record Electronic (DRE) devices. Because of these concerns, some legislatures, including the Arkansas General Assembly, debated the need for fitting these DREs with verified voting paper audit trails. These printing devices typically capture contemporaneously printed records of voting choices on the touchscreens.

The Arkansas General Assembly ultimately decided in its 2005 session to require that any DREs chosen for use in Arkansas must be equipped to provide verified voting paper audit trails. Until the General Assembly made this decision and determined statutorily the legal relationship between the electronic records in the DREs and the contemporaneously printed records on those devices, the Secretary of State's Office had very little guidance in how to procure various alternative voting devices that would (1) meet the physical accessibility requirements for voting devices in HAVA and (2) meet the state's new requirements for verified voting paper trails. Undertaking a responsible procurement process prior to knowing many of the statutory requirements for the voting devices would have introduced a very high level of financial risk to the State.

It is also important to note that there were very few vendors throughout the first half of 2005 that had obtained Federal certification for voting devices with verified voting paper audit trails. One vendor had implemented its system in Nevada under a special conditional certification from Federal certification authorities. Another vendor had certified one type of paper balloting system under older Federal standards, but was awaiting full certification under the 2002 voting system standards. Other vendors were scrambling to design and develop their versions of the verified voting paper trail and to get those systems through Federal certification. Some states that began voting system procurements in 2004 suddenly found themselves under state statutory mandates adopted in 2005 for verified voting paper trail systems that did not exist.

Following the adoption of these requirements by the General Assembly in 2005, the SOS Office completed strategic planning process to determine the appropriate phasing and timing of the rollout of new voting technology in Arkansas. Acting according to the State HAVA plan, the office consulted with other State agencies, county elections groups, and elections advocacy groups to achieve general agreement on the options that the SOS Office would make available to the counties.

The office developed a draft Request for Proposals for voting systems and solicited feedback from these agencies and the counties. The SOS Office released the RFP and allowed the vendors an industry-standard period in which to respond with their proposals. After receiving proposals from two vendors, Diebold and ES&S, the Secretary of State formed proposal review and evaluation committees, including representatives from Arkansas's county elections offices, to read the proposals and question vendors about their proposals.

Ultimately, the Secretary of State selected a single vendor, ES&S, with an option for counties to select from DRE, precinct-count optical scan, and central-count optical scan voting technologies. This approach provided a much more uniform set of voting technology than has ever existed in Arkansas, while offering counties flexibility to meet local needs and conditions. After a detailed negotiation phase, the State of Arkansas entered into a contract with ES&S to provide election hardware, software, and project management services for installation of the new voting systems in Arkansas.

Unlike many large information technology (IT) projects in the public sector, Arkansas's procurement process moved through to a successful conclusion without any vendor protest regarding the process or ultimate vendor selection. This process and outcome was similar to the one the Secretary of State's Office had undertaken in order to implement the statewide voter registration system, except that the involvement of the counties and other State agencies in the voter system procurement has been much greater. The result was a signed voting system contract completed earlier than in several other larger states.

While Arkansas's contract was in place earlier than work contracts in other states that ultimately selected ES&S as prime voting system contractors, Arkansas's 2006 Primary Election fell later in the Spring than did the primaries in those other states. Ohio had a longer standing contract with ES&S in place in several counties. Its primary was on May 2, 2006. Coinciding with conclusion of work in the Ohio Primary, ES&S redirected at least one key staff resource person from Ohio to Arkansas to work on preparation for Arkansas's May 23, 2006 Primary.

For the Pennsylvania primary election on May 16, 2006, ES&S moved management, technical resources, and equipment from throughout the country to support Allegheny County's very large implementation of iVotronics DREs. As late as March 15, 2006, a Pennsylvania news story indicated that ES&S informed election officials in that state of its inability to guarantee delivery of systems and services in time for the May 16, 2006 Primary.

However, ES&S did not enter into the contract to work in Allegheny County until March and April 2006 immediately before the May 2006 Primary. Discussions with Pennsylvania Department of State officials indicate that ES&S informed them that the firm had pulled equipment and resources from throughout the country to complete the large implementation in Allegheny County.

For the North Carolina Primary Election on May 2, 2006, ES&S re-assigned the Project Manager, who had led the more successful implementation of the statewide voter registration system in Arkansas, to North Carolina. (We note that this assignment came without a formal, advance notification to Arkansas that the firm was making the re-assignment away from the statewide voter registration system project.)

This Project Director oversaw the implementation of ES&S voting systems in over 90 counties in NC. ES&S received the Contract award in North Carolina after Arkansas had

completed its contract with ES&S. North Carolina's counties did not send their contracts and equipment orders to ES&S until late February 2006, three months after Arkansas's contract signing. The NC contract called for providing almost complete conversion of voting system hardware on over 90 counties. Immediately after the May 2, 2006 Primary in North Carolina, ES&S re-directed staff resources from that state, including the North Carolina Project Manager, to Arkansas to work in the election and ultimately replaced Arkansas's first ES&S assigned project manager.

However, by the time these resources came to Arkansas in early and mid-May 2006 from other states, much of the damage to the State's Primary Election process had been done. There had been a substantial gap in project management from ES&S since the middle weeks of April 2006. A substantial amount of equipment testing, PEB and flashcard programming, ballot layout, ballot proofing, and ballot printing was unfinished. Almost no time remained for mailing absentee ballots and preparation for early voting.

The documentary record of emails and memoranda indicate that the SOS office and Arkansas's counties had been in a state of uncertainty and incomplete information from ES&S about the project status since the early weeks of April. (The Secretary of State's office received project status reports for the last three weeks of April and early May after the first week of May in a single email transmission.)

The remainder of this review explains how these events affected Arkansas's voting system implementation project and provides recommendations for moving the overall project to a successfully completed rollout in advance of the November General Election

## PROJECT PLANNING, ORGANIZATION, AND MANAGEMENT

**Finding 1.0. ES&S did not manage the project according to a documented project management plan that followed information systems industry standards for project management plans.**

Arkansas's RFP and the subsequent contract specified that ES&S was the project manager for the statewide voting system project. ES&S's proposal specified that its project management team would "serve as points of control for management, coordination, and resolution of project activities." However, we received no detailed, comprehensive project management plan other than the Gantt chart in the original proposal. Project management plans such as these are industry standard and serve as pivotal management control documents for large IT projects. It is clear from the survey responses (discussed below) that many county election officials were not fully aware that ES&S had the contractual responsibility to manage the project.

ES&S had two Project Management Professionals (PMPs) working on this project at various times. That constitutes an excellent industry-standard approach to project staffing. In order to achieve that certification from the Project Management Institute, individuals must study and pass an examination that places a premium on project planning and plan maintenance. However, ES&S did not deliver a written project management plan, with periodic tracking updates of that plan, to the Secretary of State.

During the oral presentation of the vendor's proposal in response to the RFP, there was considerable discussion of the need for a written project management plan and workplan. Sometimes during the very busy time in a project, it is possible for the maintenance and updates of the plans to fall behind. However, there was no full, written plan in this project from ES&S. There was no routine process for updating the plan and reporting project activities against the plan—because there was no industry-standard plan.

***RECOMMENDATION 1.0: ES&S should immediately develop a written project management plan along industry standard guidelines and deliver it to the Secretary of State's Office and Arkansas's county election offices.***

ES&S has the foundation of a plan in its original 2005 proposal. The experiences of the project leading up to the Primary election and the runoff will provide the ES&S project management team with a great deal of information upon which to base the completion of this required deliverable. A particular focus of the plan should be to identify by job title and name all personnel that will work on all tasks and the estimated commitment of time that will come from those personnel. This type of detailed plan was a part of the vendor's oral presentation of its proposal and, as such, was part of ES&S's required deliverables. An industry-standard approach to developing a information technology project management plan is in IEEE Std 1490-2003, IEEE Guide Adoption of PMI Standard—A guide to the Project Management Body of Knowledge.

This step will provide the Secretary of State and the counties with a baseline against which to measure weekly the project's status and level of resource use.

**RECOMMENDATION 1.1: Given the lack of a formally adopted and used project management plan, Arkansas should evaluate closely the ES&S invoice for project management services and re-negotiate the amount billed for those services.**

As mentioned in the finding, ES&S's proposal and the contract with Arkansas contained activities and cost estimates for project management. This lack of an industry-standard, updated project plan contributed directly to the documented implementation shortcomings for which some ES&S project team members have issued verbal apologies. Because the contract contained payable amounts for deliverables and services that were not forthcoming, the State should evaluate closely any ES&S invoices for those project management services and re-negotiate the amount billed for those deliverables and services.

**FINDING 2.0. County election officials generally gave ES&S's project management a lower-than-average rating, although in some counties the ratings were much higher than in others.**

In the county survey, we asked the following question:

How satisfied were you with the overall project management of the effort to implement new voting tabulation equipment in your county?



The average response was **2.54** as indicated by the position of the arrow. This response is below average indicating an overall dissatisfaction with the project management that was the contractual responsibility of ES&S. It supports the Secretary of State's assertion after the May 23, 2006 Primary and comments made by an ES&S manager that the firm's project management had not been up to industry standards or the firm's own expectations.

Table 2 contains the verbatim responses provided to the open-ended question that followed the fixed-response rating scale. In this table, each paragraph comes from a different county.

**Table 2**  
**Verbatim Comments Regarding Project Management**

It was very understaffed and could not get the same answers. Need the same county tech for each county. Very dissatisfied with the way ballots were done.

Spoke (and personally visited) with ES&S frequently about what was needed for our county. It was never done correctly. Also, communication between ES&S and Sec of State was very poor.

It seemed like ES&S and the Sec of State's office didn't communicate very well. We couldn't get any straight answers.

This was the most disorganized bunch ever to run an election in Arkansas. They were untruthful in their responses. Their performance left the burden of this election on us and greatly increased the cost. Basically, they cost the State of Arkansas a great deal of money.

Equipment worked great, just need to get the PEBs faster.

Tried to do too much with a short period of time.

The project manager responded to every request we made to her. She returned phone calls to keep us informed of the situation and had PEBs and equipment hand delivered to us in time for the election.

Constant delays and lack of communication caused our main frustrations. Once everything came together, the voting was easy.

Initial training was inadequate and we've had problems every election with our tabulation. It's never been a good experience since we got the unit. This time we didn't get the "chip" to put in the tabulation until 8:15 PM election day. That was too late and so we didn't even use the tabulator.

Management was very poor. There was a lack of communication with the counties. Training was different and the representatives were not familiar with the machines they were training on. They were of very little help.

Not enough staff. Promised more than they could do.

The timing was not good at all.

We did not receive all machines and PEBs until just before the election.

SOS office did a good job EXCEPT for the delay in selecting ES&S, which made it extremely difficult to get elections prepared. The Ark E.C. seemed pretty much out of the loop and was not much help.

Not organized enough.

The ES&S Project Manager would not listen to us. She said she knew it all. She seemed to be most concerned about keeping us uninformed and totally dependent upon ES&S and their services.

We did not purchase M100s or 650s. The only new equipment we have is IVotronic.

We needed (2) more weeks.

Never received PEBs, flash cards, or anything to operate the M100.

ES&S was always helpful when I called. Other than the ballot situation and not getting the PEBs in a more timely manner, everything was okay. I had great site support from our ES&S person in the primary.

Not near enough training for such short notice on implementing new systems.

It was almost a disaster, but we all pulled it off – partly because of the experience and intelligence of the Election Commission and County Clerk office and the Sec. of State and ES&S.

We got the balance of our equipment just about 2 weeks before the primary election.

Good effort, but felt IVOs should not have been implemented until all tabulation equipment was available.

Implementation did not seem to be planned out well. Everyone seemed to be reactive instead of proactive. ES&S did not have enough staff working on the Arkansas election. This caused each county to receive equipment and software in an untimely manner.

If original plan for only implementing system for Phase one counties was followed, the management would have been adequate.

Time deadlines not met.

Should have been implemented sooner – so we would have been better prepared for the elections.

The ES&S Project Manager did an outstanding job!

What entity does this question pertain to? The SOS or ES&S? Both were very poor.

The time was much too short. Everything was rushed. We were unable to start anything according to the lawful dates. We don't know what the final equipment will be – we do not have the central tabulating and reporting equipment yet.

ES&S was too busy running helter-skelter between Little Rock and Omaha. The result was a woeful lack of communication with the counties.

Training was poor. We needed more in-depth written info re: how to handle what can go wrong in opening, operating and closing a touchscreen.

Ours went real well. Our local Maintenance Supervisor trained pollworkers, days, nights and weekends, and all went great. We had 183 people go through training and that was the key to our successful election.

We missed several deadlines because ES&S did not send ballots or PEBs in a timely manner.

No tabulation equipment. Last minute delivery of equipment.

Delivery of the equipment was satisfactory. Handling of and delivery of the software was terrible.

The Secretary of State's office went the extra mile to assist us. We were fairly well trained on the iVotronic however we had very little training on the ERM software. Primary went much better than the Runoff.

Field support for implementation should have been better.

These diverse comments generally support the below average numerical rating given by the respondents to the project manager and project management. We received similar comments during our site visits to the counties in which there were particular problems on election night. It is interesting that in some counties, it was not clear up to the time of the survey who had the contractual and organizational responsibility for project management and project communications.

Comments from interviews with the Secretary of State's Office and reviews of numerous emails from the Secretary of State's Office to ES&S project and corporate managers underscore the problems that office and the counties had communicating with ES&S during the critical period from early April through Election Day. These difficulties escalated substantially at a critical point in the project. Beginning in the middle of April, 2006, the Secretary of State's office sent periodic, detailed requests for information, status, and actions from ES&S. We found relatively little documentation returning from ES&S with the requested information, status reports, and deadlines for completion of needed actions.

It is clear that during this crucial time, the ES&S Project Manager became substantially less available and able to respond to the flood of project issues and tasks.<sup>1</sup> This condition led to SOS personnel escalating requests higher up the corporate ladder. It appears from various documents and our interviews that ES&S felt the pressure to such an extent that a senior ES&S manager felt obliged to phone an apology, which was accepted, to a senior SOS manager for comments made by another ES&S manager involved in the project. Nonetheless, despite assurances from ES&S account executives to the SOS Office that the Project Manager could handle the situation and the resource level was adequate, the information, status reports and many key deliverables were not forthcoming.

ES&S, as a response to the difficulties experience with the project leading up to the Primary Election, has made a personnel change in the position of Project Manager, calling on the services of a person with a substantial level of experience in managing statewide election information technology projects. The runoff election on June 13, 2006, went significantly smoother in most counties than did the Primary Election. So far, the same is true with special elections held after the Primary Election.

**FINDING 3.0. The Arkansas SOS developed a project structure and staff for the project that was similar in size, organization, and skills to statewide voting system projects in other states.**

The organizational structure of the SOS Office's project structure and staffing pattern was similar in size, organization, and skills to statewide voting system projects in other states. The project structure was very similar to the one the Secretary of State's Office developed for the more successful rollout of the statewide voter registration system, which was also under the project management of ES&S. That structure, not unlike the structures in Ohio, Pennsylvania, and North Carolina involved a core team of project specialists and coordinators in the Secretary of State's Office to whom ES&S was supposed to deliver project status reports and from which to request relevant assistance. The SOS Office did commit additional staff resources at critical times in an attempt to assume some less-technical tasks on which ES&S was falling behind.

Like most other states, the SOS staff did not have experience in a statewide rollout of voting systems in all counties. That experience is very rare because the demand for such experience did not exist widely before the passage of the Help America Vote Act. Very few states have tried such an implementation. Experience does not exist widely outside the vendor organizations that implement such systems. In its proposal and its orientation, ES&S emphasized that the corporation and its project management team had this experience and skill set because it had carried out several similar statewide implementations. Therefore, Arkansas contracted with ES&S to provide the specialized experience it could not reasonably be expected to hire and maintain on staff.

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<sup>1</sup> We address one of the causes of the lack of availability of the Project Manager in a subsequent finding.

***RECOMMENDATION 3.0. Assuming that ES&S develops and administers an industry-standard project management plan and staffs the project with adequate resources, there is no need for the Secretary of State's Office to add staff to the voting system project.***

The challenge for the Secretary of State's Office will be to address both contractual requirements and project needs in such a manner that ES&S fulfills its obligations, commitments, and promises to avoid a situation in October and November of 2006 like the one that occurred in April and May of 2006.

***FINDING 4.0. ES&S assigned two certified Project Management Professionals to the project, which is commensurate with project management structures in other states.***

ES&S assigned two certified Project Management Professionals (PMPs) to the project. This level of PMP certification is commensurate with that employed on similar projects in other states. However, it appears that the onsite Project Manager in Little Rock had much more technical experience than management experience with a project involving as many counties and as diverse an election administration structure as exists in Arkansas.

We received various comments from county election officials and Secretary of State personnel that, contrary to ES&S's representation that the firm was familiar with Arkansas's election laws and organization, the onsite project management team came largely unprepared for the complexity they would face. This situation is surprising because of ES&S's oft-repeated statement in their proposal that they were very familiar with Arkansas election administration practices as a result of their experience in over 50 of the state's counties. We received various comments that ES&S's onsite project management team had not benefited from that experience.

We note that soon after the May 2006 Primary Election, ES&S replaced the onsite Project Manager with a new onsite Project Manager. This Project Manager directed the statewide rollout of voting systems and services in North Carolina for ES&S. He also was ES&S's Project Manager for that firm's rollout of statewide voter registration systems in New Mexico and Arkansas, the latter of which had far fewer problems than did the voting system project.

***RECOMMENDATION 4.0. ES&S should notify the Secretary of State before making any further personnel changes in the voting system's Project Manager, project management team, or key team members.***

From the documentation we received, it appears that the SOS Office did not receive formal notification that the onsite Project Manager was leaving and a replacement was in Little Rock until very shortly before the Primary Election.

By the third week in April, the SOS office had not received overall project status updates in a timely manner. Emails from the SOS Office to ES&S indicate that Arkansas was not receiving regular communications from the ES&S Project Manager. It appears that about this time, the Project Manager was no longer in control of the project and was largely disassociated from the project's key activities. ES&S did not notify the Secretary of State's Office of a change in project management structure until later in May. The first official notification of the change we found in emails and a very truncated project status

report from the former Project Manager, dated 22 May 2006—the day before the Primary Election.

ES&S should end the practice of not informing Arkansas of changes the firm makes in the project team and resources. It should provide a formal notification in advance of any modification to its project management and staff arrangements for the Arkansas voting system implementation.

**FINDING 5.0. ES&S did not commit adequate resources to the Arkansas voting system project until after other states' elections concluded, which was too late to allow sufficient testing, sufficient equipment programming, and ballot printing to meet critical early voting, absentee, and Election Day deadlines.**

This review's earlier project overview and project history section details how states that had started the contract and implementation processes after Arkansas had earlier primary elections in May than did Arkansas. After completing those elections, ES&S sent several of those management and staff resources to Arkansas. We received several comments from State and county interviewees that there was considerably greater "people" traffic in ES&S's Project office in Little Rock as each election finished in other states. Also, we note that project e-mails and memoranda began to originate from and be directed toward new ES&S personnel, particularly after the 2 May 2006 primary elections in other states.

We also received information that the ES&S Project Manager in Little Rock was "overwhelmed" from at least mid-April until relief and replacement resources arrived in early-to-mid May. Emails indicate that the SOS office notified ES&S of the resource constraints and severe schedule slippages in mid-April and requested immediate action on this issue. The situation did not change materially until completion of elections in other states.

Apart from the volume of work and organization of work for the Project Manager, we saw references to the fact that the Project Manager spent considerable time, sometimes over 20 hours a day, programming Personal Electronic Ballots (PEBs) and memory cards for voting devices. While this work was certainly critical for the counties the Project Manager was assisting, it is hardly conducive to completing project management tasks and a high quality of programming work.

The ES&S proposal to Arkansas indicated that the firm empowered its on-site project managers to allocate resources as necessary to accomplish their mission. That did not appear to be the case in Arkansas. We asked respondents in the counties, at the Secretary of State's Office, and at ES&S to identify the person who had the authority and responsibility to allocate resources to Arkansas's project. Almost no one identified the Project Manager in Little Rock as the person with specific authority to allocate needed resources. However, the more telling indication of the resource allocation problem was that we received varying answers to that question from the ES&S interviewees.

Numerous interviewees during our on-site interviews in the counties and at the Secretary of State's Office expressed the concern that if ES&S was understaffed for primaries that have been spread out over several weeks, will they be properly staffed with resources to

prepare for the General Election that occurs in many states on the same day in November?

**RECOMMENDATION 5.0. ES&S should document to the State the names of every person at ES&S working on any component of the Arkansas voting system implementation project.**

ES&S managers stated during our interviews in Omaha that they had reorganized their Project structure so that specific individuals would work on specific State projects throughout ES&S. This reorganization would mean that, for instance, a specialist working on ballot layout for Arkansas would work on that task throughout the election lifecycle for Arkansas. She might work on other states' ballots as well, but would always be one of the technical specialists available to work on Arkansas's ballots. This rearrangement would offer at least some continuity for people working on Arkansas-specific activities.

During the Primary Election and runoff, the Arkansas Secretary of State's Office did not have a complete list of the resources working on Arkansas tasks. ES&S should provide a complete documentation of personnel working on the Arkansas project at all levels and availability and assure the availability of those resources to work on the Arkansas project.

This documentation should include, but not necessarily be limited to, the Project Manager, the name of the person (if not the Project Manager) who can schedule and commit all resources to Arkansas's project, the names of all persons involved in hardware distribution and support, software distribution and support, training, documentation preparation, voting device programming, testing and other quality assurance reviews, ballot layout, printing, and ballot proofreading.

**FINDING 6.0. ES&S prepared a general project plan and schedule for the project in their proposal, including a Microsoft Project file, but did not routinely use any standard project tracking and management tools to manage the project and provide status reports to the Secretary of State's Office.**

ES&S stated in their proposal that they would use a work plan and scheduling tools such as Microsoft Project during the Arkansas implementation. When questioned in the oral proposal presentation, ES&S agreed that a Microsoft Project plan that did not contain details tasks, resource person names, and estimates of their work levels on the project had little value. The firm agreed to provide and update such a work plan and schedule.

Interviews with county staff and SOS personnel indicated that they did not believe that the ES&S Project Manager had Microsoft Project on the firm's computers in the Little Rock office. ES&S did not provide us with either an electronic file or hardcopy of an updated Microsoft Project schedule and resource tracking plan. This lack of use of Microsoft Project in this project stands in stark contrast to the process used by the more successful ES&S statewide voter registration system team. According to interviews with SOS personnel, that ES&S team provided the SOS office with periodic updates to the Microsoft Project work plan and schedule.

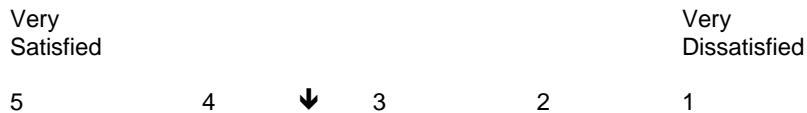
**RECOMMENDATION 6.0. ES&S should prepare a project work plan and schedule in Microsoft Project and routinely use it to manage, track and report on project status to the Secretary of State's Office.**

Updates to ES&S's project work plan and schedule should be integrated into the weekly project status report provided to the Secretary of State's office.

**FINDING 7.0. Counties expressed a slightly above average level of satisfaction with the DRE and optical scan voting systems provided by ES&S, but expressed lower satisfaction with the timeliness of delivery of the equipment and operations of associated peripheral equipment.**

We asked respondents to the mail survey to assess their satisfaction with the voting system equipment provided by ES&S. The questions elicited an average response of **3.34** on the five-point rating scale. The question and the graphic display of the mean score's location is below.

Overall, how satisfied were you with the way your new voting equipment performed during the Primary Election?



The spread of the responses on the numerical scale was quite large. On one end of the scale was a county that stated, "Everyone that used the iVotronics loved them. They said they were very simple and easy to operate. We did not issue a single paper ballot in the June 13<sup>th</sup> election, except absentees." On the other end of the scale was a comment along these lines: "The equipment is poorly made with no quality control."

Numerous comments focused on the touchscreen itself working well and being well received. Other responses referred to a perceived lower quality for the iVotronics' booths and legs, which were prone to failure. During onsite visits, several county election officials noted that they were finding extra, loose, and missing screws while other comments were directed at difficulty with the DRE voting booths and stands.

Of particular concern were problems with operation of the communication packs, the verified voting paper trail printers (know as the RTAL, Real-Time Audit Log), and the paper rolls. Various counties commented that they experienced various problems with operations of these peripheral devices on Election Day.

Counties in which we carried out site visits and conducted telephone surveys, reported several instances of "overprints" on the RTAL devices. This situation occurred when an RTAL printer malfunctioned, causing numerous transactions to print on a single line. Such an occurrence could cause a very serious problem in the event of an audit or a recount in which the verified voting paper audit trail becomes an "official" ballot. There would be some unknown number of ballot transactions that would print on a single, unreadable, and unverifiable line.

When the mail survey asked county respondents about the timeliness of delivery of the voting equipment, it elicited a different response pattern from the previous question.

How satisfied were you with the timeliness of the delivery of the new voting equipment you planned to receive and use in the Primary Election?

Very  
Satisfied

Very  
Dissatisfied

5                      4                      3                      ↓                      2                      1

The mean response score on ES&S's timeliness of delivery of voting was a below average **2.52**. In virtually every county in which we conducted a site visit, the interviewees commented that they rarely received a specific date for hardware delivery and that sometimes the hardware simply arrived on a truck with no notice. We received similar comments in responses associated with this fixed choice response.

***RECOMMENDATION 7.0. ES&S should review its manufacturing quality control and internal quality testing procedures for all voting systems and peripheral equipment, providing the Secretary of State's Office with the results of the review and a list of steps it is taking to prevent voting systems and peripheral equipment from arriving onsite with the kinds of problems listed by Arkansas's counties.***

We requested copies of the vendor's manufacturing and internal quality control testing procedures and results. We did not receive this documentation. ES&S has scheduled repair technicians to go to Arkansas's counties to correct many of these problems. However, sending out repair technicians after the election is a required step in the maintenance and warranty contract. It is not a suitable substitute for testing to prevent faulty equipment from arriving in a county in the first place.

***RECOMMENDATION 7.1 ES&S should provide the Secretary of State's Office with a copy of the repair logs for all hardware and software problems it found in Arkansas during the May Primary and June runoff elections.***

ES&S should provide these log reports to the Secretary of State periodically to give allow a determination of recurring problems that are endemic in any of its equipment and to give assurances that the firm is taking appropriate corrective steps to repair all defective equipment.

***RECOMMENDATION 7.2. In phase two of the statewide voting system implementation, ES&S should develop schedules with the counties for delivery of voting systems hardware and software, make the schedules known to the counties, and stick to the schedules.***

InfoSENTRY recommends that ES&S work with counties to develop hardware and software delivery schedules as part of the overall project management plan. Then, it will be important to keep the counties aware if any schedule changes occur. The absence of these practices created a significant amount of uncertainty and inconvenience in county election offices throughout the state.

Another issue of concern in the overall management and operation of the project was the support ES&S provided on Election Day and during the runoff. Generally, interviews in the Secretary of State's Office and in the counties pointed to ES&S's Election Day support as an above average feature of ES&S's project management.

We placed a question on that issue on the mail survey of sent to all counties.

How would you rate your satisfaction with the Election Day technical support you received?

Very  
Dissatisfied

Very  
Satisfied

1

2

3

↓4

5

The numerical average for this satisfaction score was **3.97**, the highest satisfaction rating on any of the survey's questions. While the experiences were not all unanimously positive with ES&S's technical support on Election Day, particularly in Saline County on the date of the runoff, the overall satisfaction level was higher on this dimension.

## MEETINGS AND MEETING MANAGEMENT

Information technology and election systems project team managers typically spend a significant portion of their time in meetings. While everyone claims to despise meetings, they often attend them without thinking about how the quality of meetings has a direct impact on the quality and success of a project.

During the course of our review, we asked ES&S project managers and SOS Office staff members to evaluate the project's meetings. We also examined the inputs to those meetings and the outputs from the meetings on the basis of project documentation.

**FINDING 8.0. The ES&S Project Manager had relatively frequent, scheduled, routine meetings with the SOS staff to report on the project, but did so without formal agendas and meeting "results reported and actions taken" documentation.**

We found no indications that the routine or ad hoc meetings held by the ES&S Project Manager with the Arkansas SOS staff operated on the basis of agendas. Even more important, we found that ES&S did not produce meeting minutes or simple "results reported and actions taken" documentation from the regular meeting minutes. This type of documentation is an industry-standard practice, which various project management guidelines recommend.

**RECOMMENDATION 8.0. The ES&S Project Manager should prepare flexible agendas for all routine meetings and prepare minutes or other notes of information exchanged and actions taken in those meetings.**

These agendas and meeting notes should become available to all project team members at ES&S and in the Secretary of States Office. Even handwritten notes, distributed to all meeting participants, are preferable to no meeting notes at all. These meeting agendas and notes should provide a core piece of project documentation for

ES&S's statewide voting system implementation project from now through November 2006.

**FINDING 9.0. ES&S staff indicated they conduct internal weekly project update meetings that involved the Project Manager, ES&S middle managers, and ES&S senior managers, but did not provide us with formal agendas and meeting “results and actions” documentation from these meetings.**

During our four on-site interviews at ES&S, we asked if they conduct internal, periodic project update meetings to discuss their Arkansas implementation project. The interviewees indicated that they do conduct such meetings. However, we were unable to determine if they have formal agendas and meeting results documentation.

## TESTING AND TEST MANAGEMENT

Testing the programs of DREs and computerized optical scan ballot readers are critical activities in election administrators' offices. The counterpart activity for the paper ballots themselves is proofreading the preparatory versions and final versions of the printed ballots.

**FINDING 10.0. ES&S experienced quality control problems in programming both DREs and computerized optical scan devices and in providing the counties with accurately programmed devices for the Primary Election.**

Both in our on-site visits and in the responses to the mail survey, we found that most counties, but not all, found problems with the testing process and the quality of proofreading paper ballots before they were returned to the counties.

ES&S provided some indications in their interviews that they carried out at least “end of manufacturing phase” testing of the equipment prior to shipping it to Arkansas. However, we received neither detailed process documentation of that activity nor statistical data of the results of the testing activities.

Part of the contractual requirement was for acceptance testing in the counties of any new voting equipment. We asked the counties to provide ratings of their satisfaction with ES&S's assistance in this acceptance testing process. (For this question and all test questions, the number of counties responding was equal to or greater than 58 counties.)

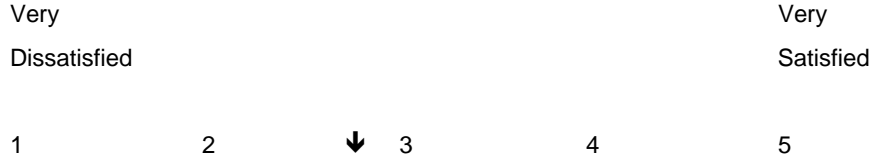
If you received assistance from ES&S in carrying out acceptance testing of new vote tabulation equipment, how satisfied were you with the acceptance testing assistance?

Very Dissatisfied				↓			Very Satisfied
1	2	3			4	5	

The numerical average of the responses was **3.64**, a slightly above average satisfaction rating.

However, when we asked the counties to rate their experience with the logic and accuracy testing assistance from ES&S, we received a different response.

If you received assistance from ES&S in carrying out Logic and Accuracy (L&A) testing of new vote tabulation equipment, how satisfied were you with the L&A testing assistance?



The numerical average of the responses to this question was **2.84**, a slightly below average satisfaction rating.

These questions both relate to satisfaction with ES&S’s assistance with testing the voting systems after they arrived in the counties. We also wanted to evaluate the quality of ES&S’s internal programming of devices used in the elections. We asked ES&S for documentation relating to the processes and results of their internal testing operations. Receiving none, we had to rely on the counties assessments of the accuracy and timeliness of the results of those programming operations.

When we asked the counties to evaluate the accuracy and timeliness of arrival of ES&S’s programming for either the DRE “touchscreen” systems or the computerized optical scan devices, we received below average ratings on both counts.

How would you rate ES&S’s programming of the voting machines(either the PEBs or the optical scan ballot readers) in terms of the programming’s accuracy and timeliness of arrival for use in the Primary Election?



The numerical mean score of the responses on this rating scale relating to the accuracy of the programming was **2.87**, a slightly below average score.



The numerical mean score of the responses on this rating scale relating to the timeliness of the programming was **2.01**, a substantially below average score

The next two tables contain the verbatim, open-ended comments responses that counties provided after these two rating scales. They provide a good overview of the problems and intensity of feelings expressed on the important issues of the accuracy and timing of the programming efforts by ES&S. In each table, each paragraph is from a different county.

**TABLE 3**  
**COUNTY COMMENTS RELATING TO PROGRAMMING ACCURACY**

We had to have every batch reworked. I went to Little Rock the last election and sat down with a programmer and went over every poll site and they still got them wrong. We had to make changes for both the primary and the runoff.

Again were not in form requested but usable. We sacrificed what was requested in order to use PEBs. PEB for early voting was late.

Each county is programmed differently and the Program Manager would not listen to me as to how I needed my stuff programmed which caused me a lot of problems on election day.

Programmed the wrong machine (scanner). The PEBs were OK.

Late late late. They were wrong for the primary and the run off. Could you imagine having an election where people were left off the ballot?

Primary – had to return PEBs for reprogramming.

Either they were programmed incorrectly, or I don't understand how to read.

Need to understand how to give information to ES&S.

All the PEBs tested good the first time. We received 2 PEBs for early voting on Sunday before early voting started on Monday. We tested the PEBs Sunday evening and started early voting on Monday morning with touch screen machines. We received the rest of the PEBs the week before the election and tested them all ok.

Lack of explanation in determining ballot styles for the PEBs resulted in an excessive amount of ballot styles which was confusing to our poll workers. For 14 precincts, we had 27 Democratic ballot styles, 27 Republican, and 27 non-partisan.

Can't speak for the tabulator as we could not even use it. As far as the IVOs, I could not get anyone at ES&S to return a call the whole week before the primary. The Secretary of State finally got me some information when ES&S would not talk to us.

Our first set of PEBs had two precincts programmed together. Sent them back, but no correction was made. Luckily we, not ES&S, figured out we could link machines together and use them as programmed.

Did not experience any problems here.

I didn't receive the PEBs until a couple of days before the election. We had several voters that wanted to vote on the IVOs during early voting. I was ashamed to tell them we didn't have the programming yet for them.

Errors were due to races left off by clerk.

Missed publishing deadlines because ES&S could not tell us when we were going to receive PEBs. PEBs were not programmed correctly for early voting and were late in arriving.

The optical scan ballots were not usable. Time delays were horrible. The PEBs worked on some of the equipment. Instructions on process too complicated for many poll workers.

There were 2 Master PEBs that we could not use at the polls because they would not clear the votes from the test.

Primary election was excellent. Run-off election (2) supervisor PEB and (5) flash cards were incorrect.

There were some errors with the PEBs which could have been resolved with a little communication. PEBs were not delivered timely for early voting.

Never received.

As I stated before – we did not know until Election Day, the PEB for Foreman Ward 1 was not burned. We had to use strictly paper ballots. The other PEB was found not burned in time to get it corrected before the election.

The races on the PEBs were all correct but ES&S did not list the precinct names as we had requested and the ballot style numbers did not match up to the paper ballots. This resulted in us writing a legend for Early Voting to help us properly choose the right ballot style. The 650 calculated votes correctly, however it was not programmed to count early votes and absentees as separate precincts. Absentee and early vote headers were not included as they normally are. This forced us to run absentees and zero machine, run early votes and zero machine, run precincts and totals, then rerun early votes and absentees to get a grand total.

They promised to get them right next time.

Not correct the first time.

For the primary, the accuracy was good. The timeliness was not as good. For the run-off, the accuracy was not good. Not enough time to correct – we did not use in run-off.

PEBs – 37 sets and only 1 had to be reprogrammed.

ES&S could not get the job done for us in the primary but did better with the runoff. Still, they could not get things ready in time for early voting.

Accuracy was good. Timeliness was very bad.

Considering their load in that time, I think they got things here as quickly as anyone could have.

At first, they did not send enough PEBs because we had 4 precincts voting at 1 building. They need to forget about "Polling Sites" and concentrate on "Precincts." These 4 precincts contained several thousand voters and only sent 1 Master and 1 Supervisor PEB. But this was corrected in time. We began Early Voting on time the 1st day.

Too many errors in programming PEB

Had to proof new PEBs several times. Multiple trips here with wrong ones.

No problem in accuracy.

Primary – they were correct the first time ES&S delivered them.

#### **TABLE 4 COUNTY COMMENTS RELATING TO PROGRAMMING TIMELINESS**

I could not use IVo for early voting in May or June because they arrived too late or were wrong.

Late and wrong! I had plenty of costly paper ballots because the programming was so bad and late. This drove up the cost of our election. The low bidder saved nothing because of their performance.

We received all the PEBs and the programming for the optical scan ballot reader in time to use the voting machine for all the election, including early voting.

Early voting started on 5-8-06, yet our early voting PEBs arrived on 5-9-06 and said ABSENTEE instead of EARLY. The timing was even worse in the run-off.

PEBs arriving at the last minute is scary. Not time to make corrections if needed. Early voting came two days late. Tech had to be shown how to clear and test etc. when he arrived. Said he had not seen one of these machines in over a year.

Timeliness was very poor. We could not do our public test on time because we did not receive the PEBs.

The timing was not good at all.

Got them about 5 PM Friday before Tuesday election.

Got them just before election – They would just turn up with them – no prior notification that they were delivering them. Had to make numerous calls to get the programmed chip for 150 scanner.

Timeliness was a big problem. By the time absentee voting starts, we cannot be still fooling with ballots and their preparation.

PEBs were three days late for early voting.

PEBs were timely for elections. PEBs were late for early voting – both times. M100 was fine for primary. M100 card was delivered June 12 for June 13 count. No time to adjust if wrong.

Paper ballots were received on the day of the deadline. We did not receive the Early Voting PEB until two days after early voting started and it took another day to test for accuracy and clear information to begin early voting. Our precinct PEBs did not arrive until Thursday before the election, this threw us late doing our public test. We also had a PEB crash when we cleared the public test, this did not give us much time to get a replacement and properly test it before sending it out to the polls.

Was worried but had barely enough time.

Arrived on Wednesday for training on Thursday before election on Tuesday.

The time frame has been the main problem through-out the whole process.

We got the supplies (PEBs) during the 2<sup>nd</sup> week of early voting.

Considering their load in that time, I think they got things here as quickly as anyone could have.

Very late, Friday before election.

Early vote PEB did not arrive in time for Primary.

Runoff – ES&S made multiple errors in programming for Runoff. Very late delivery.

***RECOMMENDATION 10.0. ES&S should review its programming procedures for both DREs and optical scan voting devices and internal quality testing procedures for this programming, providing the Secretary of State's Office with the documented results of the review and a list of steps the firm is taking to prevent a recurrence of the problems experienced with these programming processes.***

This recommendation is consistent with our previous recommendations concerning a review of ES&S's internal quality assurance operations.

**FINDING 11.0. ES&S experienced significant quality control problems in preparing ballots for the Primary Election and the runoff election.**

In our site visits to counties that publicly reported substantial problems in the lead up to the election and on election night while tabulating results, we received numerous comments about problems with ES&S laying out ballots and programming optical scan ballot readers. On one site visit, we saw a county that had been reduced to using cut-and-paste techniques, along with white-out, in order to produce ballot master sheets from which to make ballot copies during the runoff election.

We asked the following question on the mail survey to all counties and received one of the more negative satisfaction-rating responses on the survey.

If you used ES&S to layout your ballots and program your optical scan ballot readers, how would you rate your overall level of satisfaction with these services?

Very Dissatisfied						Very Satisfied
1	2	↓	3	4	5	

The average satisfaction score was **2.24** on the five-point scale.

In our site visits and on the survey forms, counties commented that they frequently had to resubmit ballots to ES&S for corrections multiple times before the corrections came back correctly made on proofs or printed ballots. ES&S commented that some of the counties did not send their requests for corrections back in a timely manner. However, several counties noted that they never received a clear schedule for receiving and returning ballot proofs.

We also saw situations in which counties received ballot proofs that were the same documents on which they had noted errors in earlier proofs—causing a resubmission of the ballots for preparation and layout. We saw documentation in one county where the county election official notified ES&S in writing on multiple occasions that a candidate’s first name was incorrectly listed as “Karen” instead of the correct name “Kevin.” ES&S never completed a correction for this error, which was on the final, official ballot for the election.

We heard assertions in our interviews, and saw emails to corroborate the claims, that ballots and other election materials intended for one county went to the wrong county, causing both aggravation and delays in the schedule for both counties. This type of situation occurred in more than one instance and affected more than just one or two counties.

This entire process is not one that comes close to industry process standards embodied in ISO-9000 family quality processes or the CMMI® capability maturity model. It is reasonable to expect that a firm of the size and experience of ES&S would strive to achieve the industry standard level of quality processes and operations.

***RECOMMENDATION 11.0. ES&S should review its internal quality control and testing processes for ballot layout, production, and printing, providing the Secretary of State’s Office with the results of the review and a list of steps it is taking to prevent a repeat of the kinds of errors that were prevalent in various counties for the Primary Election and runoff.***

This recommendation is consistent with InfoSENTRY's earlier recommendations for internal reviews at ES&S of other manufacturing, programming, and production processes.

## DOCUMENTATION MANAGEMENT

Large information technology projects typically generate and rely on solid, understandable, and accurate documentation. Typically these projects involve two types of documentation. One type is documentation relating to the project's processes and operations. The other type typically relates to the technical information involving the use of the information technology.

**FINDING 12.0. The project did not have did not have a document naming convention that made documents readily accessible and recognizable.**

While ES&S did not provide much of the documentation we requested, we received a good deal of documentation through attachments to e-mails provided by the Secretary of State's Office. The majority of spreadsheets, schedules, and tables we received did not include a title, author, date of printing, and version number (where applicable). ES&S's subcontractors apparently used their own document titling and file-naming conventions. This condition made it difficult at times to determine if documents duplicated other documents or were updates of those documents. In many instances, it was very difficult to determine which organization produced the documentation.

A brief review by readers of the document and email titles in the attached sample of documentation we reviewed will immediately see documents that are missing dates, missing an author, or have unusable titles.

Forms delivered to the counties were not clear and understandable for immediate use in a tight turnaround situation. Counties participating in our onsite reviews and in the mail-in survey commented that they sometimes received forms to complete and send to ES&S without any accompanying documentation on how to complete the form. This condition appeared to be particularly true for counties using the iVotronics, which were new to many of them.

The SOS Office staff members associated with the project began using a more standard document naming and titling convention as the project progressed.

**RECOMMENDATION 12.0: ES&S should adopt and follow standards for documentation throughout the project along the lines of those suggested in ISO-9000 family standards.**

All documents, spreadsheets, schedules, lists, agendas, memoranda, notes, should have title, author, date, and revision number (where applicable) when they are printed or displayed on a video screen. All electronic files should have clear and meaningful file names and date indicators.

**RECOMMENDATION 12.1: ES&S should meet with the SOS office to arrive at a mutually agreeable electronic and hardcopy file folder structure for storing key project documents.**

Both ES&S, as the prime contractor, and the Secretary of State's Office should follow the same procedure for storing documents in order to avoid losing documents and

wasting time looking for documents amidst the mounds of documentation that inevitably results from a large IT implementation.

**FINDING 13.0. ES&S's weekly status reports do not include key information on project status, risks, and issues.**

ES&S's weekly status reports have the title "Account Status." They report more on hardware orders and delivery than they do on the issues that caused large problems in some Arkansas counties: resource shortages, programming problems, testing difficulties, ballot preparation issues, and training. The Account Status reports do not track back to the tasks in the original project schedule and tasks planned in the proposal and contract. (This is another indication that the original project schedule and task plan in the proposal fell into disuse almost immediately after contract signing. We found no reference to that document in any of ES&S's weekly status reports.)

**RECOMMENDATION 13.1. ES&S should work with the Arkansas Secretary of State's Office to devise (and deliver) weekly status reports that reflect more accurately the deliverables and tasks in the project plan and issues facing the project.**

This recommendation is consistent with industry-standard processes recommended in project management and quality assurance standards IEEE Std 730™-2002 (IEEE Standard for Software Quality Assurance Plans) and, more importantly, standards adopted by the Project Management Institute.

**FINDING 14.0. Counties gave generally average ratings to the usefulness of ES&S's technical documentation supplied with their voting systems.**

We asked the counties to rate the usefulness of the technical and operational documentation that ES&S supplied to them with the voting system hardware and software.

How would you rate the technical and operational documentation you have received with your vote tabulation hardware and software?

Not at all Useful					Very Useful
1	2	3	↓	4	5

The numerical average for the usefulness of the documentation was a slightly above average **3.27**.

**FINDING 15.0. ES&S's invoices often do not contain sufficient detailed documentation for the counties and the Secretary of State's Office to determine clearly the goods and services for which they are being billed.**

During our interviews with the Secretary of State's Office and our site visits in counties, we received comments that they had received invoices from ES&S that did not contain sufficient detail to allow them to determine clearly that ES&S is not billing to correct errors that they made in programming or ballot layout. We also saw invoices to the Secretary of State's Office that mixed billings for more than one project on the same invoice. The Secretary of State's Office also indicated their concern that billings for some services, such as project management, remain in question, given the problems that have occurred on the project.

***RECOMMENDATION 15.0. ES&S should meet with the SOS and the counties to mutually agree on the nature of information that State and County election officials will require on invoices for effective processing and any post-election audits.***

Both the State and the Counties, as public entities, are subject to potential audits for expenditure of Federal funds. All invoices must be clear and detailed in order to allow them to be processed effectively and to provide a solid paper trail for those potential audits.

## **RISK MANAGEMENT AND ISSUE TRACKING**

Managing risks and resolving issues are critical quality processes in large election IT projects.

**FINDING 16.0. The project had no routine, comprehensive risk identification, tracking and mitigation method.**

ES&S said in their proposal that they offered "the most customized and risk free voting solution to the State of Arkansas." They also indicated they would prepare and deliver a "risk readiness" plan. We received no documentation from ES&S indicating that they prepared, delivered, or used such a plan.

Given the events that occurred in some counties' elections, ES&S's voting implementation project clearly came with substantial risks. However, we found no documentation that their project management approach offered comprehensive, routine, periodic method for identifying, tracking, and mitigating risks before they materialized as threats to the project's success.

***RECOMMENDATION 16.0. ES&S should develop a project risk identification, tracking, and resolution system consistent with industry standard risk assessment standards and guidelines.***

IEEE Std. 730-1998, IEEE Standard for Software Quality Assurance Plans suggests that IT project should contain a routine method to “identify, assess, monitor, and control areas of risk” arising during the project. The Project Management Institute’s guidelines for project management plans call for a “risk management” section in the plan.

In a longer project, a formal evaluation of risk by the vendor or an independent risk evaluator would typically occur monthly. Between now and the General Election, the SOS Office should require ES&S to deliver an updated risk management report during the weekly status meetings—or more often if required.

***FINDING 17.0. ES&S did not deliver and use a project-wide, comprehensive, automated issue tracking system that captured the many issues that arise and demand resolution in a large, complex election IT implementation.***

The project’s initial Request for Proposals called for the successful vendor to provide a routine method for tracking and resolving project issues. ES&S’s proposal and the subsequent contract with the vendor included the operation of a comprehensive issue management system. It did not occur.

ES&S used such an issue tracking system to a much greater degree in its more successful voter registration implementation in Arkansas.

However, interviews with State and county elections staff indicated that the Project Manager used a series of up to 72 manual files folders to store sticky notes, telephone call notes, emails, memoranda, and lists relating to issues in counties. ES&S did not provide us with access to this system to confirm its usefulness. However, we did confirm that the Secretary of State’s Office did not have access to the system and had to resort to attempting to develop lists on its own. We have included one such list prepared in early May in the attachments. We also confirmed through our documentation review that the Secretary of State’s Office expended its own staff resources to develop a very good automated issue tracking system to use on Election Day—in absence of one being provided by ES&S.

***RECOMMENDATION 17.0: ES&S should record all project issues in a single, project-wide, comprehensive, automated issue tracking system, with SOS granted direct access to or receiving at least weekly summary and detailed status reports from the ES&S system.***

ES&S should deliver a system like the one it proposed or used in the earlier implementation of the statewide voter registration system. The Secretary of State’s Office should have access to the system either directly online or through periodic printed reports provided by the ES&S Project Manager.

# TRAINING AND COMMUNICATIONS

**FINDING 18.0. The project’s training effort received mixed reviews from the election administrators.**

Some counties found the training to be useful. Others found it to be too brief, stating a need for more detailed and longer training.

We asked the counties to assess their satisfaction with ES&S’s training program.

How would you rate your level of satisfaction with the training you received to use any of the new voting equipment, either touchscreen or optical scan ballot readers, during the Primary Election?

Very Dissatisfied					Very Satisfied
1	2	3 ↓	4	5	

The numerical average for the satisfaction level with ES&S’s training was **3.16**, very slightly above the neutral score of 3.0

Comments from the survey indicate that the counties generally liked the hardware training. They liked the hands on approach and wanted more training time.

However, the counties received two aspects of the training less favorably. They gave generally negative comments to the training’s discussion of procedures and the process of how to use the equipment specifically within Arkansas election processes and laws. Several expressed the opinion that the training was not sufficiently customized to fit within Arkansas’s operational requirements.

Additionally, while the counties liked the ability to take an iVotronics back to their offices after the training, they indicated that they did not have the PEBs and programming required to allow them to practice on the devices.

Table 5 contains the verbatim responses provided to the open-ended question that followed the fixed-response rating scale. In this table, each paragraph comes from a different county.

**TABLE 5**  
**COUNTY COMMENTS RELATING TO TRAINING**

ES&S's trainers were good – helpful. The classes for some were too far in advance of elections, but unavoidable.

The training on the iVotronic and M100 was fine. The training on the software was weak.

Training was not very good. Instructor was not sure of himself. Equipment not working. We did not know enough to ask questions when people who were informed were here.

The training was very comprehensive and the county clerk trainers did an outstanding job of teaching poll workers how to set up the machines, operate them during voting, and close them to tabulate the votes.

Lack of communication from the ES&S project manager caused our sessions to be overcrowded, which detracted from the effectiveness of the instructors. Schedule changes were not communicated to us, so some showed up expecting one thing and getting another. The 'remote' training sessions were a fiasco. They were scheduled before we had a chance to train our poll workers, so only served to confuse those who had not seen a machine in person.

Not enough training.

The ES&S training was very lacking.

During the Primary election, we had several different techs from ES&S come to assist. The only problem was that most of them didn't have a clue. The Election Day assistant had one answer for everything – call 1-800-247-vote. After the primary election, we rewrote the instructions and the poll workers for the runoff said they were much better. We had very few problems with the runoff.

The training we received in our class in Little Rock was very good. We received no further training before the election.

Not enough training. Did not have enough time to train our election officials.

The information was explained in a rushed way. A follow-up class would have been great.

Training needed to be more intensive and include problems that could and did arise and how to recover.

I'm a first time Clerk, and ES&S needs to let us know which header to run first!

"Train the Trainer" in Little Rock was awful. Other training sessions were excellent.

Some instructions received from SOS were different than what was in the ES&S instructions books.

If Secretary of State's office had not helped us, we would have not been trained enough.

The training seemed to be adequate, but lacked many key elements that became apparent during the voting process. There was too much emphasis on reasons and not enough actual hands on the equipment.

The classes in Little Rock were too large to maintain control to allow good understanding of the information. They covered information too fast.

The classes were OK. We had a lot thrown at us at a fast pace. The one-on-one I received from the SOS office was very useful.

Not updated.

Training through ES&S was not adequate, but my SOS coordinators helped me a lot.

We thought the training was very in-depth.

There was not enough time given to train our poll workers thoroughly.

Optical scan was OK, since we have used an ES&S Model 150 for 10 years. Operators understood basics to use Model 650. Touch screen: ES&S trained two people. The trainer program didn't have time to train 24 county precinct operators.

No training good – ERM training was too much info in too little time and will probably be forgotten by the time we actually use it.

Even though there was a lot of training, the trainers were only instructed on the technical part of the equipment. They could not make it apply to Arkansas Laws & Procedures. It would have been helpful to have someone from the Secretary of State's office at each session to help apply the training to Arkansas elections. Our first ERM Software session was cut short because ES&S had not sent proper equipment for training. The second session was minimal due to the trainer's need to continuously tell us what a wonderful trainer he was – from our four-hour class we might have received 30 minutes to an hour's worth of training on ERM. Since we did not have ERM during the primary election, it would be helpful to have some training before the General Election.

I attended several training sessions. The trainers ranged from acceptable to completely inadequate.

Trainer was OK, but his representations weren't accurate. We were told that all ballots would be on every machine, which did happen in the Primary but not in the runoff. We were also told that we would have a laptop and the Unity software for the Primary. Didn't happen.

I took most of the training offered to our county and then trained poll workers. The poll workers had no problem Election Day related to incomplete training.

We would have preferred to have ES&S hold a training session for our poll workers here in our county. "Train the Trainer" needs to be a little more in-depth and needs to be specific to Arkansas.

Training session okay – will always need more training.

Need more training as to what to do when something happens. For example, a worker has advanced to an unnecessary step and does not know how to get back to where they need to be.

It was a waste of time.

The training we received was good, but we did not have equipment to practice on or train poll workers on.

The training I personally received was not real good. The group that got their training in Little Rock got some good training.

The poll worker training was pretty good, but getting the iVotronics prepared to go to the polls was almost non-existent.

It was good enough that we were able to work through almost everything we had happen.

Trainers were not prepared. We needed more on-site, in-depth training.

Good training in Fort Smith.

**RECOMMENDATION 18.0. ES&S should develop, in consultation with the counties and the Secretary of State’s Office, a revised training plan for the counties as they move into preparation for the General Election.**

Train. Train. Train. The counties need to have training on the actual equipment and programmed peripherals they are going to use in the election. They need to have the training in time to included follow-up and practice sessions prior to the General Election. .

**FINDING 19.0. ES&S did not deliver and implement a communications plan as proposed to the State and required in the contract.**

ES&S stressed the importance of good project communications in their proposal to the State and included delivery of a communications plan in their proposal’s workplan. However, we found no documentation indicating the delivery of this contractual obligation.

We asked the counties to provide ratings of the amount, quality, and timeliness of communications in the project.

How would you rate the amount, quality, and timeliness of the communications you received concerning the implementation of new voting systems and software in your county?

Way too little Communication	1	↓ 2	3	4	5	Way too much Communication
Very poor Quality	1	2	↓ 3	4	5	Very good Quality
Not at all When I needed it	1	2	↓ 3	4	5	Exactly When I needed it

The numerical averages on the three communications dimensions were **1.91** for amount of communication, **2.79** for quality of communication, and **2.55** for timeliness of communication. These scores are all below par and derive from the lack of a well-thought-out and managed communications plan—which was a contractual requirement for ES&S.

This failure in many respects delivered a critical blow to ES&S’s credibility. It will require substantial work to correct the failure and re-establish the firm’s credibility and trust in Arkansas’s elections community. Counties still did not know that ES&S was to be the single point of contact.

Table 6 contains the responses provided to the open-ended question that followed the fixed-response rating scale. In this table, each paragraph comes from a different county.

**TABLE 6**  
**COUNTY COMMENTS RELATING TO COMMUNICATIONS**

ES&S has poor communication with the counties. They do not have consistent personnel to work with. They do not leave voice mail. They do not answer.

Between coordinator and commission, communication was good. There were too many surveys, though.

Before the runoff, communication was fine. Since the runoff, we can't reach anyone. We did wish people who were coming to our county would have given us more notice.

We had a very good relationship with ES&S. They were quick to respond to any questions we had and the answers we received were very helpful.

Our ES&S representative was very helpful and knowledgeable. Our problem was that the testing done on May 5, 2006, revealing two machines with problems, was not rectified until May 17, 2006.

If I had not taken the initiative, we would probably have little or no contact with ES&S.

ES&S and the Secretary of State need to get their facts together. The Secretary of State would tell us something, ES&S would know nothing about it, or vice versa. (Laptops, for one thing.) Neither office could give us an answer about the laptop.

We were very disappointed in communication. I feel we were rushing right before the election and they told us whatever we wanted to hear.

ES&S would not return phone calls. We were always dealing with a sub-contractor.

When you could get through on a phone line, you never could talk to the ES&S project manager. We were told that was who we needed to speak with and she rarely returned calls. ES&S were severely understaffed during ballot proof time.

ES&S wouldn't return phone calls in a timely manner. You would call at 8:00 AM and you might get your call returned by that afternoon, if then. I would call every day, once a day, for two days. Then I started to call every hour until I got somebody to talk to. They would say either they didn't get the message or they were busy.

ES&S wanted to talk their language and make excuses for their time delays. Not acceptable. The ES&S office would not return calls the week before election. Always giving excuses.

It was difficult to get anyone to return our calls when we had questions. Many times, we were held up in preparing for the election process, waiting for responses that sometimes never came.

The only problem we had was that ES&S would not return our calls. They just ignored them if they could not answer.

There was some confusion and delays.

At times, my phone calls were not returned and I had to call several times to get any help. I know I was not the easiest person to deal with due to the stress I was under, but I had more help out of my SOS coordinators that I did from ES&S.

We had good response from an SOS staff member in Little Rock but not from our ES&S project manager. It was better after the new ES&S project manager took over.

There seemed to be very little continuity.

I got lots of books, tapes, DVDs, etc. We could operate the machine. It didn't matter how much paperwork they sent me, because they couldn't do their part.

I cannot be specific, but on two occasions, we called for help, gave a message to someone and were told someone would call us back. The call back never came. We didn't sit and wait, but placed another call to a different number and person. Site support was good on Election Day.

More communication from the beginning would have been helpful. We had to order equipment before seeing it and without any knowledge of how it ran. As election time grew near, there was a lot of confusion concerning what equipment we would get and when it would arrive. The people sent by ES&S to do acceptance and L&A testing arrived expecting several people to help them; the county was notified in advance of their arrival, but not that extra staff would be needed to perform these tasks. However, the daily conference calls during crunch time by the Secretary of State's staff were very helpful and kept us better informed about what to expect.

Any call or e-mail to the SOS office was answered immediately. Any call or e-mail to ES&S was answered sporadically or not at all.

ES&S and the SOS office did a fantastic job keeping me informed about the system and software.

ES&S was obviously ill prepared for this project and the SOS failed to do anything about it.

We understood that they were every bit as rushed as we were, however we did not know how everything would play out and what the end result would look like. (For instance, we weren't aware that some of the precincts with the same ballot style would not be combined at the polling sites as they normally were. We were constantly changing things at the last minute because things were not as we were expecting them to be. Timeless was the biggest problem.

Lack of communication is the main reason for the delays and misfires in this project. The equipment is good. However, ES&S is stretched way too thin and relies on contract labor of uneven quality.

Just barely a 2 rating for communications, here. For the most part, the communication about software was abysmal, just short of non-existent. Did not take into considerations suggestions we made.

They did this very well.

***RECOMMENDATION 19.0. ES&S should develop and deliver, in consultation with the counties and the Secretary of State's Office, the contractually required communication plan for the statewide voting system project.***

This recommendation is consistent with other recommendations for developing and managing an overall, industry-standard Project Management Plan for the project.

***RECOMMENDATION 19.1. ES&S and the Secretary of State's Office, in consultation with the counties, should develop a project website to house key project communications.***

Many statewide information technology project have found that an up-to-date website containing key project information contributes to their goal for successful, effective communications. With fast-changing information and an increasing need to communicate information 24/7, a well-organized, updated website can provide an excellent vehicle for communicating to a dispersed audience.

Information about the project's progress, key project contacts, training materials, course registration, issues tracking reports, frequently asked questions (FAQ), glossary of terms,

and other materials users and stakeholders identify as important for project success – all can be housed on a project website.

## CONCLUDING COUNTY COMMENTS

We gave the counties an opportunity to respond to a completely open-ended question on the mail survey. Because some of them took so much time to make thoughtful comments and suggestions for improvements in the project, we are taking the step to include their comments in the text of this report instead of relegating them to an attachment.

As with other verbatim comments tables in this report, we have modified the comments only to remove references to specific names and individuals. County comments are separated from other county comments in this table with a line of dashes.

Please provide any additional comments you want to make regarding the project to implement new vote tabulation systems in Arkansas and recommendations concerning steps to take to assure that the project is successful for future elections in your county.

**TABLE 7  
OPEN-ENDED COUNTY COMMENTS AND SUGGESTIONS**

In my opinion ESS wasn't prepared to supply or service the state of Arkansas with voting equipment at the time of the elections. They should have made this fact known to the Secretary of State's office and asked to wait until the November elections to use the equipment. They did not have enough personnel to service the state at the time machines were used. The first group of personnel was grossly understaffed and had to take whatever they could find to make a team. Some of these people had not been properly trained, so how could they train us? The training equipment was not delivered in a timely manner and when you did get it, you had not been trained to use it. I had a lot of trouble with the programming. I think they need to have an office in Little Rock that will take care of the State. I just received a programming bill for the May 13<sup>th</sup> election. This has made me late in turning in my bills to the State Election Commission. I would think they would know that we have deadlines to meet. I will say that the last 10 days before the election that the tech service was better. They had pulled in everyone they could get together to try to fix the problems. It was just too little too late. We were one of the counties that did use the equipment, but it was not easy. The machines are heavy and not easy to store. I do not think they are going to last very long and are very expensive to maintain.

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The ES&S coordinator did not work well or listen to requests made by the Election Commission.

(There was) conflicting information on storage of the machines.

The IVO is great—just have to get the public comfortable with it.

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We used all touch screen voting machines (59 machines) for early voting and Election Day voting. We had the machines and PEB's in time to get them tested and everything went smoothly. We have not problems in the early voting on Election Day. We had a few procedural problems because of poll worker confusion with the new machines. These problems were quickly corrected over the phone in most cases. Our Deputy Clerks for Elections did an outstanding job of training the poll workers and were very knowledgeable in the operation of the machines and procedures. We also had a very knowledgeable

technical advisor from ES&S that kept thing running smoothly. We used paper ballots for absentee voting and these were counted on the M100 optical scanner with no problems. In general, we had an excellent election. The poll workers were happy with the new machines and I only heard good things from the voters. I am pleased we made the decision to go with the touch screen machines at the polling place. Once the decision was made, we were determined to have a successful election.

We are looking forward to an even smoother general election on Nov. 7. The general election will have a much more complicated ballot and we will have a much larger voter turnout, but we will have more time to prepare for it and we will have the experience of two elections. Our goal is to get ES&S the information they need to layout the ballots and program the PEB's as soon as possible to give them more time to do their job. We will also provide update training for the poll workers and have special hands on training that will be opening and closing the machines at the polling places. We will test all the touch screen machines and the optical scanner before the elections, and, of course, test the PEB's and the optical scan ballots as soon as they become available.

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In looking back at the communications from Arkansas's Secretary of State's office, it seems unfair to be placing only ES&S under scrutiny. In a letter dated January 14 2005, we were given a kit to determine our county's needs, with a request for return by February 14, 2005. Included in that mail out was a "status of HAVA in Arkansas" report. This report stated that the Secretary of State had chosen the HAVA waiver option, mandating a changes deadline of January 1, 2006. The report further stated that funding had been released to Arkansas on June 14, 2004. October 24, 2004, he issued Requests for Proposals from vendors. On January 10, 2005, his office announced his intention to award the contract to ES&S which was to begin work on the project in mid-January 2005. They had a completion date of December 31, 2005.

However, from the awarding of the contract to the implementation of a centralized voter registration system in January 2005, ten months passed before ES&S was named vendor for the new voting equipment. What was the delay? Why, was it not until December 9, 2005 that counties were ordering equipment?

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ES&S did not return phone calls in a timely manner.

ES&S did not listen when trying to explain how you needed ballots; programming of the M650 tabulator was coded incorrectly for the primary and runoff election.

Very disappointed with everything.

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Let us set up the ballots locally and not totally rely on ES&S. We can get it done much quicker. Do you have someone that we can get our blank ballots from besides ES&S? The ones we got this time did not match up too well with the overlay they sent. We don't know how well they would have worked, however, as we didn't get the chip for the tabulator until it was too late.

We had problems in the run-off with the paper rolls jamming too much. We also need a supply of spare locks (leg locks). If they could do something to make the use of the two PEB's simpler, it would be good.

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I feel ES&S did a very poor job. We had their people here and for the most part they did not have sufficient knowledge of the programs and equipment. My deputy and I basically learned to use the machines on our own.

During the May 23, 2006 Election, we had two machines that had not been cleared, two PEBs with votes on them. Four of our people were scrambling around the county to correct problems that should not have happened. I felt ES&S did not do their job. When they left I was under the impression that the machines were ready to go to the polling sites. **WRONG!**

The person that was here on Election Day did not have a clue as to what he was doing. No help at all. His answer to everything was call 1-800-247-VOTE. We did not need him here in our way to give us a phone number we already had. According to ES&S, he was to take our PEB's back to Little Rock on Wednesday after the election. He told us that he had found an earlier flight home and he was taking it, therefore he would not come back to Cleveland County on Wednesday. I drove the PEB's to Little Rock on Wednesday myself.

June-Early Voting. We started by using paper ballots we printed ourselves. When the technician arrived on Wednesday with the PEB, he stated he had not used one of these machines in over a year. Guess who had to teach the man to test and clear the machine, etc?

The gentleman that came to clear and test and brought the rest of the PEB's for the runoff was the only person who knew everything. We were very interested in what had happened on Election Day. He cleared and checked the PEB's and removed a paper jam from the machine that the May23rd guy refused to look at.

When I arrived at work on June 12, 2006, a young lady was here from ES&S. She was very nice and friendly, but knew nothing about the machines. I wanted to retest the PEB's to make sure all the votes had been cleared. She had to read her manual first; I finally showed her how so we could get things going.

We don't have time for technicians to have to stop and read a manual every time you need something done. She stated she had never seen a machine with an RTAL printer on it. During Election Day, one of the printers here in the Courthouse ran out of paper. She said she could do it. GUESS WHAT? She put it in backwards. Three voters later the poll worker said that machine was not printing. We had to go over and correct her error. This is the kind of help we received from ES&S. By the way, this girl was a professional housekeeper and this was only her second trip out. I feel that my county was a training spot for ES&S employees

RECOMMENDATION: Leave it to the County Clerks and Election Officials to train the poll workers (machine operators) and to write their own precise and accurate instructions for operating the machines and leave ES&S out of it.

During the two elections we had, we believe we had, nine different technicians in our county. Very few knew what they were doing.

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1. During the election, the machines worked well and the public seemed to like them. Our main problem was with tabulation. The poll workers stated the directions seemed to be skipping a step on the printing process. The directions were provided by ES&S. Also, the poll workers stated that the directions in the manual were a little different from what it was prompting them on the screen to do.

2. Two of the machines that were brought in on election night to be tabulated would not print. Instead of "Print" appearing on the screen, it was saying "Modem." We called ES&S and explained to the person what the machine was doing and they would pass us along to someone else. We had to explain the same thing repeatedly to several different people because not one seemed to know what to do.

3. We did have an ES&S representative onsite and she thought those two were programmed wrong (by ES&S). One person was so rude, we refused to talk to him any longer and put an Election Commissioner on the phone with him. He repeatedly had her to go through the same steps on the machine over and over and it still did not work. He then suggested that maybe we needed more training.

4. We drove to Little Rock to go over our ballots with ES&S. We were told the ballots could be done however we needed them. We took a printout of exactly what needed to be on each ballot and they were not right when we received the proof back. It took several days before the ballots were done correctly. The ballots were not what we wanted but as late as it was we didn't have a choice but to accept them.

5. During the time we were trying to find out information on our ballots, it was difficult to reach someone from ES&S. We were usually told they would have to call us back. Communications during the whole election process was very poor.

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My number 1 complaint was that anytime you talked with someone at ES&S you were told something different. There was no consistency no matter what you asked them. Everyone told you to do things a different way.

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I've been involved with the election process for 26+ years. I've been a customer of ES&S since 1995. Prior to 2006, we found ES&S to provide election supplies, test decks, etc., in a timely manner for all elections, large and small. We were pleased up to that point.

I can tell you quite frankly, I am greatly disappointed with the training class I attended, the lack of professionalism with the first project manager located in Arkansas. Frankly, she should not be in a leadership position with ES&S.

I would hope that ES&S would take a long hard look at future implementation of training and equipment --whether it is in Arkansas or any other state. And their project management teams.

The Elected Officials and the Election Official play a vital role in the election process and ES&S or any other company could certainly benefit from our expertise. Yes, we do need to take a long hard look at our current election laws to better implement the voting process.

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Need more poll worker training.

Our county was "not chosen to receive the election reporting software."

We are having huge unexpected costs. The ES&S cost of ballot stock, RTAL paper, and other costs are way too high and we have to use their products.

The people who voted on the machines liked them, but getting them to the point of use was a nightmare. The time and logistics of getting these machines tested, delivered, used and picked up again is way beyond one part-time seasoned contract employee. The use of part-time people has increased the elections budget tremendously, not to mention the costs of programming PEB's, audio files, paper, shipping costs, etc.

We had a good system and didn't want to change, but this was forced on us and is a huge strain on the budget for our County.

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What more can be said. We had a lot of difficulty with the ballots. They would promise a proof that night via email and we always had to call back the next day and would be told they were working on it. We felt that they were just telling us whatever to get rid of us at the time. At time they were not too courteous and made sure we knew they were working around the clock with only two hours sleep at a time. I think they were severely understaffed; and should have had more people here earlier.

We should have received our machines sooner and the PEB's. We felt our machine workers really needed more training.

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The L&A testing, ES&S was supposed to contact me. They rescheduled twice with me. That morning they said that they weren't going to be here, they would call back and reschedule. That afternoon at 4:00 pm with the Secretary of State's Office, they informed me that ES&S already set up a time with me and ES&S would be here the next day about 8:30 or 9:00 am.

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Our County had a very successful general primary and runoff using the 650 and the iVotronics. Four factors were essential to this success: (1) very positive attitude by the Clerk and Election Commission and desire to make it work, (2) lots of hard work by at least

two local Elections Officials to learn all they could have the ES&S equipment and software ( much of it by hands on testing), then (3) setting up the mandatory training (85 people or fewer/session) for three-hour, hands-on, training sessions for the poll workers aimed mostly at their using the new equipment and (4) great support from an ES&S representative on election days. We had few problems and were able to solve most of them locally.

Recommendations:

Identify at least on person in the county committed to making the ES&S equipment work.

Obviously, the timeliness of arrival of equipment, training, and ballots all have to be improved.

ES&S needs to send their "best" folks to do the state training, not temporary workers who have had little training and little understanding, as was done in Arkansas. The "train the trainer" sessions in Little Rock were awful.

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Overall, we have very few problems election day.

In my opinion, we need an original chart (cheat sheet) of the order that each event should occur, for example, L&A testing, clear and test, etc.

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If not for the Secretary of State's office, our county would not have been the first county to report totals for the election. One SOS employee always gives quick and accurate answers to all questions and problems. He took the time to come to Fulton County to give one-on-one training and that really helped.

The iVotronic machines worked great and for the first time in years, we did not have to recount ballots.

We are not pleased with ES&S service in getting us PEB's or supplies in a timely manner.

Again, thanks to the Secretary of State's office.

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ES&S has worked with our County Election Commission (GCEC) for the past 14 plus years. Usually they have provided us with excellent technical support both in their annual visits to examine our equipment (Eagles) and in the availability of support staff by telephone in programming and reading our election results. During the past year, this support has worsened. We assumed this had to do with their growth and maybe their best employees were assigned to the new equipment.

We were pleased when we learned that ES&S had the contract with Arkansas to supply the new election equipment. We expected great things. So far we have been disappointed. The three commissioners and one staff person attended several training session in Little Roc and even met with ES&S staff people at our commission offices in Hot Springs on several occasion. The ES&S staff especially the ES&S Project Manager promised us many things.

We planned to use the Eagle supplemented by the new iVotronics for the May 23, 2006, elections. We planned to have both machines at each of the 39 polling sites and one at each of the three early voting locations. The ES&S Project Manager promised to program our ballots and prepare software to read both machine totals so they would combine on election evening. The ES&S Project Manager sent us ballot proofs in Adobe reader that she was unable to adjust to the proper size for the printer to download and use. We sent these back and forth for several days. Our printed sample ballots on several occasions. First the ballots were too wide and used the wrong format. They appeared to us to be formatted to the M-100 machines instead of the Eagle. The ES&S Project Manager never got us usable ballot proofs. Absentee voting had begun and we had to send several Xerox ballots out to the voters since time was so important, we programmed our own ballot and had the printer print them.

When Early Voting started we still had not received the PEB's for the iVotronic machines. During the 2<sup>nd</sup> week of Early Voting most of the PEB's arrived. ES&S sent us a sample tape of the test they did on the iVotronic. GCEC has always tested our own election machines before we sent them to our polling locations. We mentioned this to the ES&S staff and they seemed offended that we wanted to test our own machines. The L&A testing was conducted by an ES&S staffer, on May 15. She discovered an error and went to Little Rock. She returned the next day and still had an error on the PEB. That PEB was not sent to us until May 20<sup>th</sup>. We did test several iVotronic machines ourselves and they tested successfully. The zeroing of the PEB's was confusing and very time consuming. We actually used one iVotronic machine at one of the Early Voting sites on one day of Early Voting. On Election Day we had iVotronic machines at each polling location.

Half of our location could not get zero tapes. Only a few of them had more than ten votes on their machines. Several had only one or two votes on them. These votes were encouraged by the commissioners when we visited the polling locations.

A staff member from ES&S spent Election Day with us, but left on the 24<sup>th</sup> before all the PEB's had been read. Several polling locations could not close the PEB's and had to wait until the iVotronics were picked up to close them. This caused us time before we could start hand adding one set of machine total to the other machine totals. The ES&S Project Manager had programmed the iVotronics to precincts instead of polling locations even though we told her repeatedly that we go by polling location. She did not listen.

Since these complications cost us a couple of extra days after the May 23<sup>rd</sup> Election, we had less time to prepare ballots for the May 30<sup>th</sup> Early Voting day for the run-off. We did not ask ES&S to help prepare these ballots because they would delay us further. ES&S never sent us any PEB's for the Run-off so we did not use the iVotronics. The Arkansas Secretary of State knew our results and knew which candidates were in the Run-offs.

One of the iVotronic machines we received was not ADA audio compatible. It was sent out on Election Day, which caused other complications. One of the iVotronic machines was broken. At least one had over 700 previous votes on it, so it was not new. Ten of the printers for the iVotronic had battery corrosion in them or the battery covers were missing.

Suggestions to make use of the iVotronic more poll worker friendly: 1.) Explain and train election officials how to zero the PEB's out after testing locally is done. 2.) Make the instructions on the iVotronic screen more user friendly to get the zero tape. 3.) Eliminate printing all the changes a voter makes on his ballot. Print just the final selections after they have been confirmed. Tighten up spacing between the votes on the tape. This will save paper and enable the iVotronics to be used by more voters before the paper has to be changed. Most importantly, 4.) Train election officials how to program the PEB's so they will be ready to use and test at least a week before early voting begins. Train election officials how to combine election results from both election machines.

ES&S must become more interested in smooth efficient timely elections. Their profit will be there if they keep election officials happy and believing that ES&S keeps their promises and does not lie.

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Communications. At the startup of any new system this seems to be the main issue. The Secretary of State Office staff was very prompt in offering assistance. The magnitude of new business was evidently not anticipated by ES&S. Possibly also, they did not do enough pre-contract research on voting laws and schedules in Arkansas. Re: early voting, pre-election advertisement (public) check of ballots, etc.

We think if these were done and timeframes were prioritized, the project could and/or would stand a very good chance of being successful.

Overall the election in Grant County went well because of the foresight of the experienced commissioners and coordinators in having the knowledge to ask the correct questions and receive the answers in advance.

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Make sure ESS gives out the same information to all the Counties.

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We need a class with the Secretary of State's representatives, ES&S representatives, and the election commissioners. We need to discuss ballot layout, programming PEB's, and programming M100 cards.

We received our ballots one week late during the run-off. That is totally unacceptable.

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State waited too late to select equipment.

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There were a few flaws in the system, but nothing that was not fixed. Our County had a very good Election experience. Our poll workers were pleased with the machines. 2006 is the first primary that I have been home before midnight. I would not want to go back to the old system.

Suggestion: The only problem we had was poll workers unplugging the RTAL printer too soon to print the zeros and the totals. We were able to walk them through this over the phone. If something could be done to help with this, our County would have a problem free election in November.

-----

The support was terrible, but the machines were great. Out of the 28 polling sites we had 6 of those sites that did not use a single paper ballot. Out of the 3112 voters we only had 3 people to say that if they have to vote on the iVotronic they will never vote again, which if that is all we lose we are doing good.

My biggest problem was getting my PEB's programmed correctly, also my Election Day tech support, and election night tabulating. Election Day went smoother than I could have ever dreamed—I am so proud of the people of my county.

I asked my staff to give their opinion and this is what they had to say," Since we can't say anything nice about what we went through then we aren't doing to say anything at all."

"I am all for progress, but this has been one experience that I hope to never have to go through ever again."

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Someone at the Secretary of State's Office needs to take ownership of this project.

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I thought the new voting machines were great. Everyone that used them liked them. The one problem we had was that the voters used them in the primary and wanted to use them in the run-off but they were not available when voting started.

Our one main problem was the communications with ES&S. I sent the ballot style to them in very simple language. They kept splitting them. We had 22 ballots and at one point we ended up with 60+. The main thing was that I talked to a different person each time.

We did get a lot of help from one key ES&S staff member, but I think he got overloaded.

Our 650 scanner was supposed to be programmed (according to ES&S) to use, so we had the poll workers hand out pens. We thought nothing more about it until election night. It would not read pens so the worker had to remark the ballots with a sharpie. (We ended up using 150.)

I think when all is said and done, we will really like the equipment. We know there are ups and downs with any change so we'll just work through it.

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Make sure ballot and PEB's are received in a timely manner.

Make sure we have PEB's in plenty of time to be tested for L&A and ready in time before early voting begins.

Absentee Ballots are needed in a more timely manner. Also, the quantity of Absentee ballots.

The billing for freight and shipping need to be looked at. It is very costly for counties with a small quantity of ballots.

I had no ballots from ES&S for the run-off or for absentee/early voting. We had to make some ballots for voting.

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We need to be better-trained people on site support.

We need more time to better train our poll workers. There was not enough time to train well!

We were not given enough time to implement the new system. And we are not satisfied with that!! We should have had these machines and been training our poll workers long before.

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4-13-06 Deadline for political parties to certify list of candidate to county committees.

4-28-06 Deadline for County Board of Election Commissioner to deliver absentee ballots. There should be at least 22 days between these dates.

5-23-06 Primary election

6-03-06 Deadline for County Board of Election Commissioners to deliver absentee ballots to County Clerk for General Primary (run-off) election.

\*\* 11 days is impossible for ES&S and County Election Commissioners to deliver ballots. There should be at least 18-22 days between these dates.

SOLUTION: Move the filing period from 4-4-06 to a week earlier. 49 days to have an election is not enough. ES&S had no chance to deliver on time with the Ark. Election law being so time limited.

PROBLEM: All election communications from the Sec. of State Office with the County Clerk was by fax or email. All election communications from ES&S with the County Clerk was by fax or email.

As County Election Commission Chairman, I am responsible for all deliveries of ballots and equipment. I was a third party in this election.

SOLUTION: The Secretary of State's Election Division and ES&S should include the County Election Commission Chairman in all faxes and email. Sometimes the County Clerk's office does not relay all the information to Election Commission in a timely manner or at all.

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I'm worried that General Election will be worse if ES&S doesn't have competent people involved in programming and support.

ERM software is very poor. I had better databases 20 years ago. It needs an upgrade to be useable by the clerk's staff.

InfoSENTRY would do well to get email addresses and let us do this kind of communications [survey responses] as if it's the 20<sup>th</sup> Century.

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I sent out emails regularly that clearly detail ES&S's performance and the great difficulty that they caused us with their performance. If you want greater detail about the job they did, you can contact me.

This has to get much better. The extra cost in November will be the county's expense and that won't be acceptable. I told my contact with the Secretary of State's Office that ES&S wasn't a good company and would not do a good job. Unfortunately, this proved to be true.

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Provide a statewide or regional 'shakedown' of the system problems prior to November. Provide an open forum.

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I have to say that the first experience with the new voting equipment has been mostly positive. Equipment malfunction was minimally affective on Election Day. The equipment was easy for the voters to use and they seemed confident that voting was done properly. A young man who is a quadriplegic was delight that he was able to go through the voting process on his owns! An elderly man commented how he "liked it" in reference to the voting machine experience.

The only complaint that we have is the software! ES&S could have followed our requests for how we wanted our ballots coded...but they didn't.

Monroe County will be receiving more equipment—ERM. And we are all but begging to get it mid-summer so we can really learn how to use it and train backup personnel in case they are needed.

RTAL printer tapes: we had to do a recount that included the RAL tapes. Someone NEEDS to develop a better system for use in a recount. In our small county, it wasn't too back; in a large county, I could see it being horrendous.

Overall, we believe ES&S and the Secretary of state have done a commendable job of introducing something very NEW to Arkansas voters. It was a time-pressed situation because of our late filing date, which meant a small window before the election. We look forward to working with ES&S again and are optimistic that they will respond well to problems incurred around the state in the election.

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For my County, the May 23 Primary did not go smoothly. First were the issues with the ballots and the PEB's for absentee and early voting. It took forever to get the proofs from ESS correct. I call ESS and the printer's office every day the week before early voting to check on state. I had to drive to another county on May 6<sup>th</sup> to get ballots to be ready to early voting on May 8<sup>th</sup>. One of our precincts had been left out completely from the ballot order. The PEB's for the polls did not arrive until a couple before the elections. There were no problems but they needed to arrive earlier so we can set a time for testing.

Then there is the issue with the vote tabulator. Our public test did not go well. There were problems, problems, problems with no early voting header, and problems with the chip. We have used the tabulator for almost then years and never had the problems we had on May 23<sup>rd</sup>.

Voting with the iVotronic went pretty smooth on Election Day. There were a few minor problems with opening and closing of the polls but a majority of voters in Montgomery used the iVo instead of paper.

For the Runoff Election on June 13<sup>th</sup>, the major problem was with getting the ballots and PEB's in time for early voting. Early voting started a couple of days late for the runoff in my County.

We did not use the vote tabulator for the runoff and will hand count any paper ballots in the future (absentee and provisional). We need ballots in a timely manner to mail to absentees, especially for those overseas and the PEB's for early voting and the polls early enough to test.

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Our County would like to have a contact person at ES&S that can remember who we are and remember something about our county. A person that we can discuss issues, problems, and even the planning of the elections.

We are so frustrated that we have absolutely no control of the programming.

We are not impressed with ES&S procedure in setting up elections nor for getting the results of an election.

No one that we spoke to at ES&S for the Runoff election could even tell us where our flash cards and PEB's were being programmed. We never once saw a ballot proof. ES&S made five (5) trips to Perry to deliver our flash cards and PEB's. (They just could not get it right.) We got correctly programmed flash cards and PEB's on Thursday before the election on Tuesday—not sufficient time for public testing and proper procedure to be followed.

ES&S delivered out ERM CD on Monday before the election on Tuesday—it was not programmed properly and still has not been corrected. We used an Excel spreadsheet to consolidate the results.

One Very Good Point! Our voters love the iVotronic! All voters we have talked to like the new machine.

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We need more training for the ERM. We haven't received this yet and I don't know if I remember all we are to do.

We need the M100s delivered in time for us to get accustomed to them before we train the worker.

Probably the election officials need more training on how to properly operate the iVotronic and change the paper, etc.

-----

If it had not been for the SOS office, we would have known nothing. Communications between counties and ES&S need to improve tremendously.

We love using the machines and our voters accepted it well. We are also excited about the transition, but need to have better communication with ES&S and need to receive our programming (PEB's and flashcards) in a timely manner.

-----

I am concerned that 4 iVotronics were out of commission for the run-off election!!

-----

The technical assistance provided by DIS was extremely helpful and very much appreciated.

Overall oversight of ES&S and this project was lacking on the part of the SOS office. The SOS office should have looked closer, communicated more with local official and pressed the vendor (ES&S) for better customer service.

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The timeliness was the main concern. We had no idea when programming would be in to advertise for public demonstrations, for example. Everything was so rushed—time restraints made it very frustrating and stressful.

There was also a lack of concern for correctness. There was an error in the run-off on candidate order. They acted as if it was not big deal. (I'm sure the candidates affected felt it was important.) Our election commission felt it was important enough so they decided to just use paper ballots (optical scanned) which were correct. We did not use the new equipment in the run-off. We felt with the timeframe and their lack of concern, we had no other option.

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I think the iVotronic is a great machine. ES&S just took on more jobs that they could handle with the employees they have.

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ES&S initially demonstrated a very cavalier attitude about this project—we're the experts, trust us. They made not effort to visit different counties and familiarize themselves with the existing equipment. Most surprisingly, they were unfamiliar with how to operate existing equipment in some of the larger Counties. Communications originated with the Secretary of State's office instead of directly with the counties, even though ES&S setup its Little Rock offices in the same building as the State Board of Election Commissioners. The result was numerous misfires, programming mistakes and Election Day delays.

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There needs to be much more communications with counties well in advance of election regarding programming and ballot layout issues. Some assumptions were made concerning precincts and polling locations that caused problems at the polls and at the courthouse.

Lack of the ERM equipment and software to bring the electronic and paper counts together was a big problem on election night and afterwards. We need that portion of the system as soon as possible with considerable training and practice software.

We need training software for the iVotronics that is like the elections that we will have.

We need training on problem resolution with the iVotronics so that we can respond to Election Day problems.

-----  
We have used ES&S for our central tabulators (the 250 model (for over a decade. I was thrilled when ES&S got the state contract because they graded and "A+" with me. They have always provided excellent service to my County in every election we have had with them.

It was very disappointing that we did not get the service we needed for this primary election.

The poll worker training was pretty good and I think our poll workers were ready; however, the training for getting the iVotronics prepared to send out to the polls was terrible. There was very little instruction for doing the L&A and the clear and test.

I hope all the problems will be worked out for the general election.

-----  
Continue local training of election workers.

Implement and test ERM/PC equipment ASAP.

Continue election weekend/day support at State cost.

Continue to provide technical support for L&A testing and etc.

Provide "demo" iVotronic out in the field at public events and sites to encourage public use.

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I am impressed with the equipment and confident in it. I am not impressed by ESS's ability to deliver ballots and PEB's in a timely and accurate way.

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In general, the project was poorly handled by both ES&S and the Secretary of State's Office. The details are far too involved to enumerate here. I would be happy to talk to some with by phone or in person.

Our county did very well in these elections. The secret is to train the poll workers, which we did. ES&S was very helpful to us-- any time we had to call them. As I mentioned in one of the comments, they need to forget about "polling sites" and concentrate on "precincts." Besides the 4 precincts I mentioned, they had combined two that said "Methodist Church" when these two precincts were at least 50 miles apart. This was fixed before Election Day, so that these two could just punch in the one they were voting at. During the first election, ES&S failed to provide a vote style for the Ward "outside" voters. (They had a city contest ballot, but not all WARD precinct voters are inside the city limits.) Those "outside" the city limits in Ward had to vote a paper ballot, which was not trouble at all. Maybe they need to get the ballot styles directly from the County Clerks and have these submitted before starting to program the PEB's.

We considered these minor conditions, considering the fact that we had always been strictly paper ballot and count by hand. So, we felt the election went very good and everyone here seems to be quite pleased.

We had several troubleshooters (people that had been trained on the machines) that came to the courthouse real early on Election Day and any precinct that had trouble running a zero tape or opening the machine called one of our numbers and these troubleshooters walked them through the opening and the closing of the machines. It went great.

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The only problem we really had was not receiving our ballots and PEB's in a timely manner and our PEB's and our vote tabulator was not programmed correctly. I hope someone will contact me in plenty of time to get this worked out before November.

## CONCLUDING COMMENT

This review contains findings concerning the voting system implementation project in Arkansas as it existed up to and through the Primary Election and runoff. More importantly, it contains recommendations for project management, project process, documentation, testing, risk management, issue tracking, training, and communication activities between now and the General Election. We have reviewed much larger and much smaller projects. We have recommended that some projects move ahead with minimal changes and that some projects be terminated.

In this instance, we see no reason that Arkansas's statewide voting system implementation cannot move forward to a successful General Election. However, that success will come only with significantly better project management and contract execution on behalf of the prime contractor and more hard work by the Secretary of State's Office and Arkansas's counties.

## Attachment 1: County Mail Questionnaire

**InfoSENTRY Services, Inc.**  
**Vote Tabulation System Project Review Survey**

County: \_\_\_\_\_

**Please rate each question by circling the appropriate response number. Please add any comments you can provide. Use additional sheets for your comments. Thanks!**

**1. How satisfied were you with the overall project management of the effort to implement new voting tabulation equipment in your county?**

**Very Satisfied**

**Very Dissatisfied**

**5**

**4**

**3**

**2**

**1**

**Comment:** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**2. Overall, how satisfied were you with the way your new voting equipment performed during the Primary Election?**

**Very Satisfied**

**Very Dissatisfied**

**5**

**4**

**3**

**2**

**1**

**Comment:** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**3. How satisfied were you with the timeliness of the delivery of the new voting equipment you planned to receive and use in the Primary Election?**

**Very Satisfied**

**Very Dissatisfied**

**5**

**4**

**3**

**2**

**1**

**Comment:** \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**4. How would you rate your level of satisfaction with the training you received to use any of the new voting equipment, either touchscreen or optical scan ballot readers, during the Primary Election?**

Very  
Dissatisfied

1

2

3

4

Very  
Satisfied

5

Comment: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

5. If you used ES&S to layout your ballots and program your optical scan ballot readers, how would you rate your overall level of satisfaction with these services?

Very  
Dissatisfied

1

2

3

4

Very  
Satisfied

5

Comment: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

6. Did ES&S prepare your ballot proofs? Yes \_\_\_\_\_ No \_\_\_\_\_

7. How many ballot proofs did you receive before you signed off on the final proof? \_\_\_\_\_

Comment: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

8. How would you rate the technical and operational documentation you have received with your vote tabulation hardware and software?

Not at all  
Useful

1

2

3

4

Very  
Useful

5

Comment: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

9. If you received assistance from ES&S in carrying out acceptance testing of new vote tabulation equipment, how satisfied were you with the acceptance testing assistance?

Very  
Dissatisfied

Very  
Satisfied

1                      2                      3                      4                      5

Comment: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

10. If you received assistance from ES&S in carrying out Logic and Accuracy (L&A) testing of new vote tabulation equipment, how satisfied were you with the L&A testing assistance?

Very  
Dissatisfied

Very  
Satisfied

1                      2                      3                      4                      5

Comment: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

11. How would you rate the amount, quality, and timeliness of the communications you received concerning the implementation of new voting systems and software in your county?

Way too little  
Communication

Way too much  
Communication

1                      2                      3                      4                      5

Very poor  
Quality

Very good  
Quality

1                      2                      3                      4                      5

Not at all  
When I needed it

Exactly  
When I needed it

1                      2                      3                      4                      5

Comment: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

12. How would you rate ES&S's programming of the voting machines(either the PEBs or the optical scan ballot readers) in terms of the programming's accuracy and timeliness of arrival for use in the Primary Election?

Very  
Accurate  
the first time

Not very  
Accurate  
the first time

5                      4                      3                      2                      1

Comment: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Very  
Timely  
In arriving

Not at all  
Timely  
in arriving

5                      4                      3                      2                      1

Comment: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

13. How would you rate your satisfaction with the Election Day technical support you received?

Very  
Dissatisfied

Very  
Satisfied

1                      2                      3                      4                      5

Comment: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_



## Attachment 2: List of Documentation Reviewed

# QA Review (2006) Sample of Documentation Reviewed

ID	Document date	Document Author	Document Title	Document Type
212			No title. (File Name is HAVA Remote Training.)	Schedule
272	04-Jan-06		Voting Equipment Order Form, State Allocation Order Form for Counties Using the State Allowance. ( File name is 20060104_State Allocation Order Form.)	Order Form
112		AR Secretary of State Office	Arkansas Secretary Of State Election Comand Center Call Info.	Report
220		Arkansas Secretary of State Of	FREQUENTLY ASKED QUESTIONS for Election Administrators.	Training Materials
247		Arkansas Secretary of State Of	No title. ( File name is County Officier Totals 2.)	Spreadsheet
48	11-May-05	Beeson, M.	L&A Schedule.	Schedule
54	09-May-06	Beeson, M.	Communications packs and headsets.	E-mail
106		Belin, J.	Jill E. Belin Resume.	Resume
60		Buchanan, J.	Re: Request for Update (Site Support Schedule for May 23, 2006 Elections).	Spreadsheet
61		Buchanan, J.	Re: Request for Update (AR Skill Level Assessment).	Spreadsheet
59	07-May-06	Buchanan, J.	Re: Request for Update. (20060505 ESS Request for Update-ESS response.)	Memorandum

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
58	07-May-06	Buchanan,J.	Re: Request for Update.	E-mail
57	07-May-06	Buchanan,J.	Re: Programming errors	E-mail
56	08-May-06	Buchanan,J.	ARDailyUpdate5_6.	Schedule
108		Burns, R.	Ralph C. Burns Resume.	Resume
109		Cauley, R.	Reba Cauley Resume.	Resume
177	24-Apr-06	Cauley, R.	County Information. (Drew, Miller,Hempstead,Ashley, Little River,Lafayette, Dallas,Nevada, Calhoun, and Jefferson.)	List
209	31-Mar-06	Clements, A.	Attendee Email Information. (File name is HAVAAttendee Information.)	
208	31-Mar-06	Clements, A.	Agenda. (File name is HAVA rough agenda.)	Agenda
210	31-Mar-06	Clements, A.	Text of Email Remote Training Site Facilitators. ( File name is HAVAINformation for Remote Site Training Facilitators.)	
211	31-Mar-06	Clements, A.	Remote HAVA Training Agenda. (File name is Remote HAVA Training Regular Agenda.)	Agenda
266	17-Jan-06	Crittenden, L.	February 23-24, 2006 Conference and Continuing Education Workshops. ( File name is CircuitClerksWinterMtg2006).	Memorandum
215	22-Mar-06	Daniels, C.	No title. ( File name is HAVA Remote Training Invite.)	Letter
90	15-Jun-06	Daniels, C.	Post-Election Comments, Secretary of State Charlie Daniels.	News Comments
97		Davidson, J.	Jon E. Davidson Resume.	Resume

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
81	19-Apr-06	Devereaux, M.	RE: Follow up.	E-mail
3		ES&S	Project: ESS Acceptance Testing.	Schedule
10		ES&S	Acceptance Testing Model 100s.	Checklist
9		ES&S	ES&S M650 Acceptance Document.	Checklist
8		ES&S	Election Day Log Sheet for ____ County.	Spreadsheet
2		ES&S	No Title (File name is Equipment Plans).	Spreadsheet
12		ES&S	Logic and Accuracy Testing Model 650s.	Checklist
16		ES&S	Account Management.	Memorandum
92		ES&S	Arkansas County Paperwork with faxed Certification of Training Completed forms.	list
47		ES&S	Course Evaluation Summary.	Report
21		ES&S	No title (File name is Survey for Counties).	Planning Document
46		ES&S	TRAINER TRACKER - COMPLETE REPORT.	Schedule
45		ES&S	ES&S Training Plan State of Arkansas.	Planning Document
44		ES&S	Table 1 (File name is Arkansas County Clerk Contacts).	Spreadsheet
43		ES&S	Arkansas February March (File name is AR Tab Training Schedule).	Schedule
13		ES&S	Poll Worker Training Suggestions/Guidelines.	Training Materials

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
17		ES&S	State of Arkansas-Kickoff Meeting Agenda.	Meeting Agenda
19		ES&S	Security Plan.	Planning Document
6		ES&S	State of Arkansas 15" iVOTRONIC VOTER TERMINAL.	Checklist
5		ES&S	Election Reporting Manager (ERM) CHECKLIST.	Checklist
4		ES&S	iVotronic Acceptance Checklist.	Spreadsheet
20		ES&S	Sign ups for Visits to the Counties.	Planning document
18		ES&S	Scope Statement.	Planning Document
22		ES&S	Sign up for Visits to the Counties.	Schedule
184		ES&S	Phase 1 - Poll Worker Training on site with counties. (File name is 20060424_Onsite Training Schedule.)	Spreadsheet
89	30-Dec-05	ES&S	ES&S Bill to: Arkansas Secretary of State.	Invoice
14	11-Mar-06	ES&S	iVotronic Voting System v9.X Poll Worker Checklist.	Checklist
11	26-Mar-06	ES&S	Elections Officials Checklist Model 100.	Checklist
107		Gardner, K.	Kimberly N. Gardner Resume.	Resume
179	24-Apr-06	Gardner, K.	Re: County info. (Phillips,Desha,Chicot, Ashley, Lincoln, Cleveland, Bradley.)	List
88	01-Apr-06	Haak, C.	Cover letter to Carder Hawkins with Training Evaluations.	Letter
105		Hammons, J.	John Robert Hammons III Resume.	Resume

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
69		Harris, J.	FW: URGENT!!! Correction of Address Dallas County Election Commission	E-mail
102		Harris, J.	Janet Miller Harris Resume.	Resume
101		Harris, J.	RE: Initial Documentation and Interview List.	E-mail
103		Harris, J.	Arkansas Secretary of State HAVA Voting System Project.	Project Charter
245	09-Mar-06	Harris, J.	Voting System Procedures Meeting.	E-mail
228	20-Mar-06	Harris, J.	Questions Regarding Voting Machine Implementation/Use. (File name is Voting Systems Anxiety.)	
82	31-Mar-06	Harris, J.	FW: Outstanding items.	E-mail
79	21-Apr-06	Harris, J.	FW: Craighead Co.	E-mail
76	25-Apr-06	Harris, J.	RE: Counties called by state.	E-mail
75	25-Apr-06	Harris, J.	Arkansas Ballot Update	E-mail
71	27-Apr-06	Harris, J.	Pulaski County.	E-mail
67	02-May-06	Harris, J.	HAVA Press Conference (2).	Report
65	02-May-06	Harris, J.	20060502 Press Conference Questions.	Memorandum
66	03-May-06	Harris, J.	Status report.	E-mail
62	05-May-06	Harris, J.	Request for Update.	E-mail
64	05-May-06	Harris, J.	Re: Printing Poll Book Issue	E-mail

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
63	05-May-06	Harris, J.	Arkansas Secretary of State Memorandum	Memorandum
50	11-May-06	Harris, J.	Re: Ballot story from Jonesboro TV station.	E-mail
99	25-May-06	Harris, J.	FW: Press Release: Election Review.	E-mail
110	29-May-06	Harris, J.	Subject: Status Report	E-mail
96	12-Jun-06	Harris, J.	The following narrative represents my recollection of the Arkansas voting system project implementation from November 29, 2005 through June 12, 2006.	Memorandum
104	13-Jun-06	Harris, J.	RE: Potential counties to interview for report.	E-mail
100	14-Jun-06	Harris, J.	Project Review.	Memorandum
114	27-Jun-06	Harris, J.	Subject: FW: Fox 16.	E-mail
98	25-May-06	Harris, J..	Daniels Calls for Election System Review.	News Release
255	23-Feb-06	Hawkin, C.	RE: Sales Orders that have issues.	E-mail
221	28-Mar-06	Hawkins, C	ADA DRE's already delivered.	E-mail
94		Hawkins, C.	James Carder Hawkins Resume.	Resume
111		Hawkins, C.	RE: Documentation Review Checklist and Supplemental Request.	E-mail
141	06-May-56	Hawkins, C.	FW: Paper Supply.	E-mail
169	06-May-91	Hawkins, C.	URGENT Contingency Plan Information for Early and Absentee Voting for the Preferential Primary.	Memorandum

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
286	08-Nov-05	Hawkins, C.	Contract Negotiation Meeting Monday November 14, 2005 / Topics for Discussion and Clarification.	E-mail
287	08-Nov-05	Hawkins, C.	Phase I Counties.	E-mail
285	23-Nov-05	Hawkins, C.	RE: State of Arkansas Order Process Forms.	E-mail
284	05-Dec-05	Hawkins, C.	iVotronic firmware versions.	E-mail
283	20-Dec-05	Hawkins, C.	Arkansas Printer.	E-mail
282	04-Jan-06	Hawkins, C.	RE: warehouse.	E-mail
280	11-Jan-06	Hawkins, C.	FW: Meeting Agenda for next week.	
279	13-Jan-06	Hawkins, C.	FW: Trainer training dates.	E-mail
278	18-Jan-06	Hawkins, C.	User Meeting RSVP list.	E-mail
277	20-Jan-06	Hawkins, C.	January 20, 2006 RSVP for Springdale User Group Meeting.	E-mail
276	23-Jan-06	Hawkins, C.	RE: RTAL Paper Roll, Meeting w/ Janet, ES&S Rep for Security Plan.	E-mail
275	24-Jan-06	Hawkins, C.	County Analysis.	E-mail
274	31-Jan-06	Hawkins, C.	FW: Final Training Calendar.	E-mail
273	03-Feb-06	Hawkins, C.	Updated Checklist.	Checklist
271	06-Feb-06	Hawkins, C.	State Order Form.	E-mail
269	08-Feb-06	Hawkins, C.	Grant County.	E-mail

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
270	08-Feb-06	Hawkins, C.	FW: Regional Training for Benton County.	E-mail
268	08-Feb-06	Hawkins, C.	Final Training Calendar.	E-mail
267	10-Feb-06	Hawkins, C.	FW: faxes to County Clerks.	E-mail
262	14-Feb-06	Hawkins, C.	Poll Worker Training.	E-mail
263	14-Feb-06	Hawkins, C.	County Board of Election Commissioner Training.	E-mail
260	15-Feb-06	Hawkins, C.	printer in Pine Bluff/Jefferson County.	E-mail
261	15-Feb-06	Hawkins, C.	RE: SOS Training.	E-mail
258	17-Feb-06	Hawkins, C.	AR Resolution Checksheet1 (2).	E-mail
257	17-Feb-06	Hawkins, C.	FW: iVotronic delivery to polling sites.	E-mail
259	17-Feb-06	Hawkins, C.	FW: ERM Regional Training Problem.	E-mail
265	17-Feb-06	Hawkins, C.	CircuitClerksWinterMtg.	
256	22-Feb-06	Hawkins, C.	names of individuals that received iVo's.	E-mail
254	27-Feb-06	Hawkins, C.	Absentee Voting.	E-mail
252	28-Feb-06	Hawkins, C.	Instructions to County Election Administrators at training.	E-mail
251	28-Feb-06	Hawkins, C.	FW: PR/Voter Education material.	E-mail
253	28-Feb-06	Hawkins, C.	Paper rolls.	E-mail

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
250	28-Feb-06	Hawkins, C.	RE: ERM Regional Training Problem.	E-mail
249	01-Mar-06	Hawkins, C.	QC Resolution Checklist and Order Status. (File name is 20060301_Craig_ESS_Orders.)	Checklist.
246	01-Mar-06	Hawkins, C.	FW: County Officer Totals 2.	E-mail
248	01-Mar-06	Hawkins, C.	Sales Orders.	E-mail
244	03-Mar-06	Hawkins, C.	RE: State Status Report.	E-mail
239	13-Mar-06	Hawkins, C.	Desktop Specs for Unity;LaptopD610Spec.	E-mail
243	13-Mar-06	Hawkins, C.	RE: Electronic copies of checklists.	E-mail
242	13-Mar-06	Hawkins, C.	FW: Voting machine map.	E-mail
241	13-Mar-06	Hawkins, C.	RE: Training on the Voting System.	E-mail
240	13-Mar-06	Hawkins, C.	DOJ/delivery schedule.	E-mail
238	14-Mar-06	Hawkins, C.	FW: April 13, 2006 AR County Clerks Training.	E-mail
237	14-Mar-06	Hawkins, C.	FW: Recap on Security Plan Meeting.	E-mail
234	15-Mar-06	Hawkins, C.	Reminder: 2 machines for Candidate Filing and ES&S rep.	E-mail
235	15-Mar-06	Hawkins, C.	Reminder: List of Attendees at Training.	E-mail
236	15-Mar-06	Hawkins, C.	Johnny Moody/Fulton County	E-mail
233	15-Mar-06	Hawkins, C.	RE: Equipment distributed at training.	E-mail

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
232	16-Mar-06	Hawkins, C.	paper rolls for printer packs.	E-mail
230	17-Mar-06	Hawkins, C.	RE: sample test decks to counties.	E-mail
231	17-Mar-06	Hawkins, C.	dual seat counties/tabulation.	E-mail
227	20-Mar-06	Hawkins, C.	updated order spreadsheet.	E-mail
229	20-Mar-06	Hawkins, C.	FW: Voting System Anxiety.	E-mail
225	22-Mar-06	Hawkins, C.	SBEC Train the Trainer Poll Worker Training.	E-mail
226	22-Mar-06	Hawkins, C.	single point of contact.	E-mail
222	23-Mar-06	Hawkins, C.	materials checklist.	E-mail
223	23-Mar-06	Hawkins, C.	Updated: Meeting w/ Karen Hoyt Stewart for Weekly Report	E-mail
224	23-Mar-06	Hawkins, C.	proposed UNITY computer.	E-mail
218	28-Mar-06	Hawkins, C.	paper roll for Perry County.	E-mail
219	28-Mar-06	Hawkins, C.	Paper rolls to Arkansas County.	E-mail
217	29-Mar-06	Hawkins, C.	RE: White County Machine Demo Invitation	E-mail
216	29-Mar-06	Hawkins, C.	FW: Addition to Security Plan email.	E-mail
214	29-Mar-06	Hawkins, C.	FW: Invitation Letter Draft	E-mail
213	30-Mar-06	Hawkins, C.	paper roll request.	E-mail
207	31-Mar-06	Hawkins, C.	Remote Training Next Week.	E-mail

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
206	31-Mar-06	Hawkins, C.	Remote Training	E-mail
205	31-Mar-06	Hawkins, C.	FW: Grant County.	E-mail
204	31-Mar-06	Hawkins, C.	FW: Paper for Voting Machines.	E-mail
203	03-Apr-06	Hawkins, C.	RTAL paper to Prairie County.	E-mail
202	04-Apr-06	Hawkins, C.	FW: Touching Base.	E-mail
201	06-Apr-06	Hawkins, C.	FW: ballot delivery for Craighead Co.	E-mail
199	12-Apr-06	Hawkins, C.	RE: RTAL problem.	E-mail
200	12-Apr-06	Hawkins, C.	Re: we need more tape rolls for the RTAL.	E-mail
198	13-Apr-06	Hawkins, C.	RE: OK-what's going on?	E-mail
197	13-Apr-06	Hawkins, C.	Saturday.	E-mail
196	17-Apr-06	Hawkins, C.	Re: Poll worker training.	E-mail
195	17-Apr-06	Hawkins, C.	RE: we need 3 more units.	E-mail
194	18-Apr-06	Hawkins, C.	FWD: Lonoke County.	E-mail
193	19-Apr-06	Hawkins, C.	RE: Upload screen prototype.	E-mail
192	19-Apr-06	Hawkins, C.	Cross County.	E-mail
191	19-Apr-06	Hawkins, C.	FW: Counties we haven't heard from.	E-mail
189	20-Apr-06	Hawkins, C.	Re: Headsup/Office Space.	E-mail

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
188	20-Apr-06	Hawkins, C.	Re: AR Elections.	E-mail
190	20-Apr-06	Hawkins, C.	RE: M-100 absentee counters for Phase I counties.	
187	21-Apr-06	Hawkins, C.	20060421_Onsite Training Schedule.	E-mail
185	21-Apr-06	Hawkins, C.	updated on site iVotronic training	E-mail
186	21-Apr-06	Hawkins, C.	Update on Training	E-mail
182	24-Apr-06	Hawkins, C.	Proofs.	E-mail
176	24-Apr-06	Hawkins, C.	Ballot Information that we found out this afternoon, so far.	E-mail
175	24-Apr-06	Hawkins, C.	Delivery to Pulaski.	E-mail
183	24-Apr-06	Hawkins, C.	Clark County.	E-mail
173	27-Apr-06	Hawkins, C.	RE: Pike County.	E-mail
174	27-Apr-06	Hawkins, C.	Paper rolls to Montgomery County.	E-mail
171	01-May-06	Hawkins, C.	Re: Stone Co.	E-mail
170	01-May-06	Hawkins, C.	RE: re[2]: Pope County RE: Ballots ES&S.	E-mail
168	01-May-06	Hawkins, C.	Contingency Plan for conducting absentee and early voting.	Planning document
167	01-May-06	Hawkins, C.	URGENT Contingency Plan Information for Absentee and Early Voting Only	E-mail
172	01-May-06	Hawkins, C.	RE: Pope County Ballot layout.	E-mail

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
163	02-May-06	Hawkins, C.	Counties that SOS called regarding ballot programming.	E-mail
164	02-May-06	Hawkins, C.	RE: any word???	E-mail
166	02-May-06	Hawkins, C.	RTAL paper rolls.	E-mail
165	02-May-06	Hawkins, C.	FW: corrected ballot proofs.	E-mail
162	03-May-06	Hawkins, C.	Re: Dallas.	E-mail
161	03-May-06	Hawkins, C.	FW: Poinsett County	E-mail
160	03-May-06	Hawkins, C.	Miller County.	E-mail
159	03-May-06	Hawkins, C.	Nevada County.	E-mail
158	03-May-06	Hawkins, C.	Boone County.	
157	05-May-06	Hawkins, C.	Map of New Voting Machine Systems in Arkansas.	E-mail
156	05-May-06	Hawkins, C.	Pulaski-paper roll order.	E-mail
155	05-May-06	Hawkins, C.	catch up.	E-mail
153	08-May-06	Hawkins, C.	red flag counties and phase I counties.	E-mail
154	08-May-06	Hawkins, C.	RE: White County is Early Voting - ON TIME!	E-mail
152	09-May-06	Hawkins, C.	FW: Communication Packs and Headsets	E-mail
151	09-May-06	Hawkins, C.	RE: Pulaski 4-C file,	E-mail
150	10-May-06	Hawkins, C.	dual seat counties.	E-mail

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
149	10-May-06	Hawkins, C.	Cleanup delivery: still need.	E-mail
148	10-May-06	Hawkins, C.	RE: Communication Packs and Headsets.	E-mail
147	10-May-06	Hawkins, C.	Re: St. Francis County.	E-mail
146	10-May-06	Hawkins, C.	Re: Jefferson County AR.	E-mail
145	11-May-06	Hawkins, C.	RE: Ashley & Lafayette Counties.	E-mail
144	11-May-06	Hawkins, C.	Delivery/Inventory/ADA iVotronics	E-mail
143	12-May-06	Hawkins, C.	Yell County.	
139	15-May-06	Hawkins, C.	Lee County/Red Flag.	E-mail
142	15-May-06	Hawkins, C.	RE: ERM Files.	E-mail
134	16-May-06	Hawkins, C.	Drew County	E-mail
135	16-May-06	Hawkins, C.	Benton County/Comm. Pack Paper Roll.	E-mail
133	16-May-06	Hawkins, C.	DIS Site Support.	E-mail
136	16-May-06	Hawkins, C.	Miller County/Scott Brown.	E-mail
138	16-May-06	Hawkins, C.	FW: Ballots.	E-mail
140	16-May-06	Hawkins, C.	RE: Lap Top	E-mail
137	16-May-06	Hawkins, C.	Arkansas County.	E-mail
127	17-May-06	Hawkins, C.	RE: Jackson Co. - Comm/Pac paper.	E-mail

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
125	17-May-06	Hawkins, C.	Drew County.	E-mail
132	17-May-06	Hawkins, C.	RE: Election Day site support list.	E-mail
131	17-May-06	Hawkins, C.	Re: L&A Update.	E-mail
130	17-May-06	Hawkins, C.	FYI: GREAT NEWS!!!!!!FW: White County update	E-mail
129	17-May-06	Hawkins, C.	RTAL rolls and comm. pack rolls.	E-mail
128	17-May-06	Hawkins, C.	L&A and Acceptance Testing.	E-mail
126	17-May-06	Hawkins, C.	FW: Sebastian.	E-mail
120	18-May-06	Hawkins, C.	Pike County/communication pack paper.	E-mail
93	18-May-06	Hawkins, C.	Pike County/communication pack paper.	E-mail
124	18-May-06	Hawkins, C.	FW: ( iVotronic..Sevier County on Tuesday, May 16, will not calibrate).	E-mail
119	18-May-06	Hawkins, C.	Clay County Delivery.	E-mail
123	18-May-06	Hawkins, C.	RE: Pope.	E-mail
115	18-May-06	Hawkins, C.	Fulton County/Polk County.	E-mail
117	18-May-06	Hawkins, C.	Ashley County/Howard County.	E-mail
118	18-May-06	Hawkins, C.	RE: iVotronic issue.	E-mail
113	13-Jun-06	Hawkins, C.	RE: Potential counties to interview for report.	E-mail

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
84	15-Jul-06	Hawkins, C.	Final Evaluation of responses and all materials related to the ARSOS-HAVA-005 RFP released on July 11, 2005.	Memorandum
122	18-May-06	Hawkins,C.	RE: DIS assistance trainee canidates.	E-mail
121	18-May-06	Hawkins,C.	FW: RE: Crawford County.	E-mail
80	21-Apr-06	Hoyt-Stewart, K	RE: Marion County--Comm Packs.	E-mail
281		Hoyt-Stewart, K.	AGENDA FOR USER MEETINGS # 1.	Agenda
15		Hoyt-Stewart, K.	AGENDA FOR USER MEETINGS # 1.	Agenda
7		Hoyt-Stewart, K.	Memorandum.	Memorandum
27	01-Dec-05	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
28	15-Dec-05	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
34	31-Jan-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report (2).	Status Report
33	31-Jan-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
29	07-Feb-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
30	15-Feb-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
31	17-Feb-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
32	26-Feb-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
35	03-Mar-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
36	12-Mar-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
37	18-Mar-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
38	26-Mar-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
39	03-Apr-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
23	07-Apr-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
24	17-Apr-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
78	21-Apr-06	Hoyt-Stewart, K.	RE: update on programming	E-mail
25	24-Apr-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
91	14-May-06	Hoyt-Stewart, K.	Status Report for your Records.	email
41	14-May-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report (2).	Status Report
40	14-May-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
26	14-May-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
1	15-May-06	Hoyt-Stewart, K.	Status Reports for your records.	E-mail
42	22-May-06	Hoyt-Stewart, K.	Account Services Group Weekly Status Report.	Status Report
83	10-Apr-06	Humphries, T.	Election System Information .	Memorandum
180	24-Apr-06	Humphries, T.	RE: County info, (Scott and Franklin)	List,
53	09-May-06	Kelley, M.	ARDailyUpdate5_6.	Schedule

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
55	09-May-06	Kelley, M.	ARDailyUpdate5_6.	Schedule
87		Newkirk, G.	Responses to written questions submitted prior to July 18, 2005 at 5:00PM (Central). (File name is Newkirk_Suggested_Responses_to_Vendor_Questions_20050727).	RFP
86	28-Jul-06	Newkirk, G.	Request for Proposals Amendment 1. (File name is ARSOS_Voting_System_RFP_Amendment-1_20050722.)	RFP
85	28-Jul-06	Newkirk, G.	QandA and Amendment Draft.	E-mail
95		Office of the AR Secretary of S	Arkansas Secretary of State Elections Division.	Organization Chart
51	11-May-06	Palmer, R.	Re: Ballot story from Jonesboro TV station.	E-mail
49	11-May-06	Seibert, C	Searcy County.	E-mail
77	25-Apr-06	Seibert, C.	Counties called by state.	E-mail
72	26-Apr-06	Seibert, C.	Arkansas Coding Documents.	E-mail
73	26-Apr-06	Seibert, C.	VOTING MACHINE SYSTEMS IN ARKANSAS. (File name is Ballot Info.)	Spreadsheet
74	26-Apr-06	Seibert, C.	ES&S County Training.	E-mail
70	27-Apr-06	Seibert, C.	Voting Machines in Arkansas. (File name is ballot info.)	Spreadsheet
68	28-Apr-06	Seibert, C.	FW: AR letter to clients who will not be receiving scanable ABS ballots tomorrow	E-mail
52	10-May-06	Seibert, C.	Jefferson County, AR.	E-mail

<b>ID</b>	<b>Document date</b>	<b>Document Author</b>	<b>Document Title</b>	<b>Document Type</b>
181	24-Apr-06	Sheffield, N.	Lee County.	E-mail
178	24-Apr-06	Sheffield, N.	Saline, Lonoke, Prairie, Arkansas, Monroe, Lee, St. Francis, and Grant.	List
116	15-Mar-06	The Express-Times	Counties told to move on machines: voting machine crisis.	News Story

## **Attachment 3: Issue List Developed by the Secretary of State's Office**

**Arkansas Secretary of State**  
**Memorandum**  
**May 5, 2006**

To: Janet Buchanan, Director of Account Services  
Mark Kelley, Regional Account Manager

From: Janet Harris, Deputy Secretary of State

Re: Voting System Implementation Status

CC: Charlie Daniels, Arkansas Secretary of State  
Carder Hawkins, SOS Project Manager  
Tim Humphries, SOS General Counsel

Date: Friday, May 05, 2006

I submit to ES&S's Arkansas project management team the following list of issues for which we must see resolution in a timely manner in order to complete our voting system implementation as planned.

1. **2<sup>nd</sup> Congressional District readiness for early voting** – 6 counties in our 2<sup>nd</sup> Congressional District do not at this writing have PEB's or flash cards in order to test and deploy accessible iVotronics for early voting, which begins Monday, May 8. The Project Management office has been unable thus far to give the Secretary of State a definite ETA for those items. These counties will be conducting a Federal election beginning May 8, and ES&S's failure to provide accurately programmed electronic ballots and memory cards to these counties will force them into using paper ballots for early voting. In addition to being programmed properly, ES&S is responsible for delivery of the PEB's and to provide on-site assistance for the Logic and Accuracy testing required by State law. We have no definite status report at this writing and accordingly, we have advised our counties to prepare for printing paper ballots.
2. **Equipment Delivery** – The Arkansas Secretary of State's office is aware that many counties were lacking communication packs and headphones necessary to operate accessible iVotronics for early voting and on May 23, and we have requested, but not received, a final delivery schedule for those items.
3. **L&A Testing** – We have received no definite schedule of L&A Testing for our counties. Any L&A testing being performed in the project office is obviously not adequate, since the PEB's for Pulaski County contained omission of State House races and other serious errors. Please reference

**Arkansas Secretary of State**  
**Memorandum**  
**May 5, 2006**

- the "Election Support Services" section of ES&S's proposal for more information as to the commitments made in this regard.
4. Ballot signoff – Over 20 counties have failed to sign off on the PDF ballot proofs produced by ES&S because of inaccuracies in the ballot information. Some counties have submitted changes and received corrected proofs, only to find that the "corrected" version of the ballot contained more errors than the original. The Arkansas Secretary of State requested PDF's for these counties Wednesday to make layout changes here in our office with the consult of the counties. We plan to provide copies of these PDF's as a stopgap measure to allow early voting to begin on paper Monday. It appears no progress is being made by ES&S with regard to correcting proofs and sending to printers to produce scannable ballots. We have received no alternate action plan from ES&S. The State of Arkansas advised counties in Phase II of our implementation to proceed with ballot layout and printing with ES&S as in years past. ES&S advised the counties to allow all programming and ballot layout to occur in Little Rock and as a result, many counties' readiness to conduct an election is in jeopardy.
  5. Ballot order status – Our counties were given the name of a contact within ES&S to call for information regarding the printing and delivery of ballots that have been approved. That contact person is advising our counties not to call her for this information. That has not yet been resolved.
  6. Installation of ERM – We have requested but not received a schedule for the installation of ERM and/or the full Unity suite in our Phase I counties. Nor have we received a contact or schedule for training for those counties on use of ERM.
  7. Integration of legacy equipment – Additionally, we are aware of three precinct-count optical scan ES&S customers who will need the new version of Unity/ERM and an action plan for integrating results from the Eagle and the iVotronics. We have received no information from ES&S on this item.
  8. Site Support--We have asked for a deployment plan for on-site support personnel for May 23 and have yet to receive anything. The Secretary of State offered to conduct interviews of remaining site support personnel that ES&S must hire to supplement the staff promised to us, but we understand that ES&S must perform background checks on these individuals before they are hired, and we are concerned that the project office in Little Rock is not addressing this issue.
  9. Election Night Reporting – As per the requirements listed in our RFP, we asked the ES&S project office to provide a sample output of election results files from Unity for the Phase I counties who would be using Unity

**Arkansas Secretary of State**  
**Memorandum**  
**May 5, 2006**

to tabulate and report results on May 23. The Secretary of State manages an Election Night Reporting site, [www.arelections.org](http://www.arelections.org), and counties are required by law to enter results on the site. The project office has not provided the sample output in sufficient time for the Secretary of State and the Information Network of Arkansas to properly test the accurate reporting of such data. As a result, we have advised our counties that results will have to be entered manually.

The Arkansas Secretary of State's Office requests a written response on the status of these items IMMEDIATELY so that we may assess our readiness to conduct a May 23 primary election according to plan.

In addition, I have spoken to Janet Buchanan and requested a written report that will be submitted daily by ES&S's project management team. That report should include, but not be limited to, the following items:

1. The following items should be listed clearly and accurately for each of the 72 counties involved in our voting system implementation:
  - a. Has the county approved the complete set of pdf's for ALL ballot styles in the county? List the date of approval.
  - b. For counties that have not approved ballot pdf's, the dates in which proofs were sent and the date on which corrections were made.
  - c. The date in which corrected proofs were returned to the county for review, and the contact information to which the information was sent.
  - d. The date on which approved pdf's for each county were sent to the printer, the printer to which they were sent, and an estimated time of completion.
  - e. For counties that have pdf's sent to the printer, the status of their printing job and a tracking number, if available, for USPS, UPS or FedEx delivery. (The Arkansas Secretary of State requires this information for ballots sent by the ES&S project office to LOCAL printers as well, including Jim Harris and Associates). If ES&S cannot accurately ascertain the ballot status with a local printer, the SOS should be notified immediately.
  - f. A verification for each county that ES&S understands the type of legacy scanner to be used in each county and a verification that all printed ballots ordered will be capable of being read by that legacy equipment.
  - g. Has the county approved all information required to program PEB's, flash cards, memory packs, PCMCIA cards and all other

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**Memorandum**  
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- media associated with activating machines and tabulating votes. If yes, when did the county signoff?
- h. If no, what percent of the programming is completed for that county?
  - i. List the estimated date of completion for programming all electronic media, and list the corresponding delivery date for that county.
  - j. List the proposed L&A testing day, corresponding to delivery date of PEB's, etc.
  - k. List the approximate date on which the election data for each county can be loaded onto state-supplied laptops and delivered to the county.
2. The Arkansas SOS requests an inventory of units delivered to each county, and the remaining balance of units yet to be delivered for Phase I implementation. The delivery date for the remaining balance of items ordered must also be listed.
  3. Additionally, the Arkansas SOS requests a list of counties to which ES&S will provide on-site support with qualified ES&S personnel, and a list of counties for which "temps" will be assigned as on-site support.
  4. Finally, ES&S should provide their own assessment of each county's readiness to conduct the primary election according to plan.

I have requested a daily conference call at 3:00 p.m. CST to discuss the items in this report. The SOS will use the information gathered in calls and reports to discuss contingency plans with our counties and the media. If ES&S is unable to provide a FULL status report of the above items on Monday, May 8, 2006, the Arkansas SOS will proceed under the assumption that deployment for May 23 is no longer feasible and will act accordingly to conduct fair and accurate elections under whatever contingency plan deemed appropriate by our office and our counties.