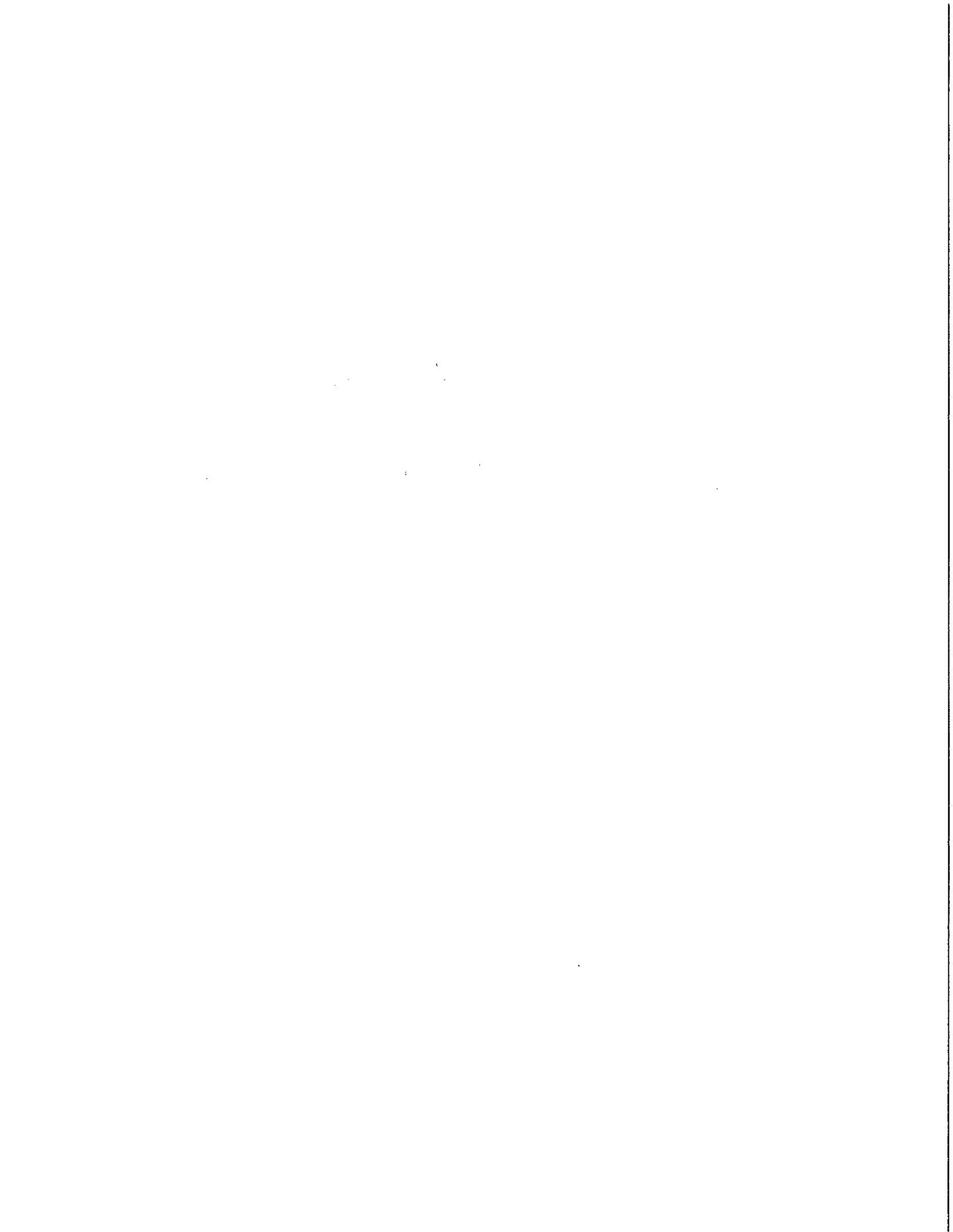


Assessment of Learning for Indiana Election Personnel on Electronic Poll Books

Guidelines by VSTOP

APPROVED: Connie Lawson
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Secretary of State of Indiana

DATED: 1-13-16



Preamble: The Indiana Code (IC 3-11-8-10.3 (b) (16)) states that the procedures for setting up, using, and shutting down an electronic poll book (ePB) must be reasonably easy for a precinct election officer to learn, understand, and perform. Recently, the Indiana General Assembly added a stipulation to this code, shown in bold below:

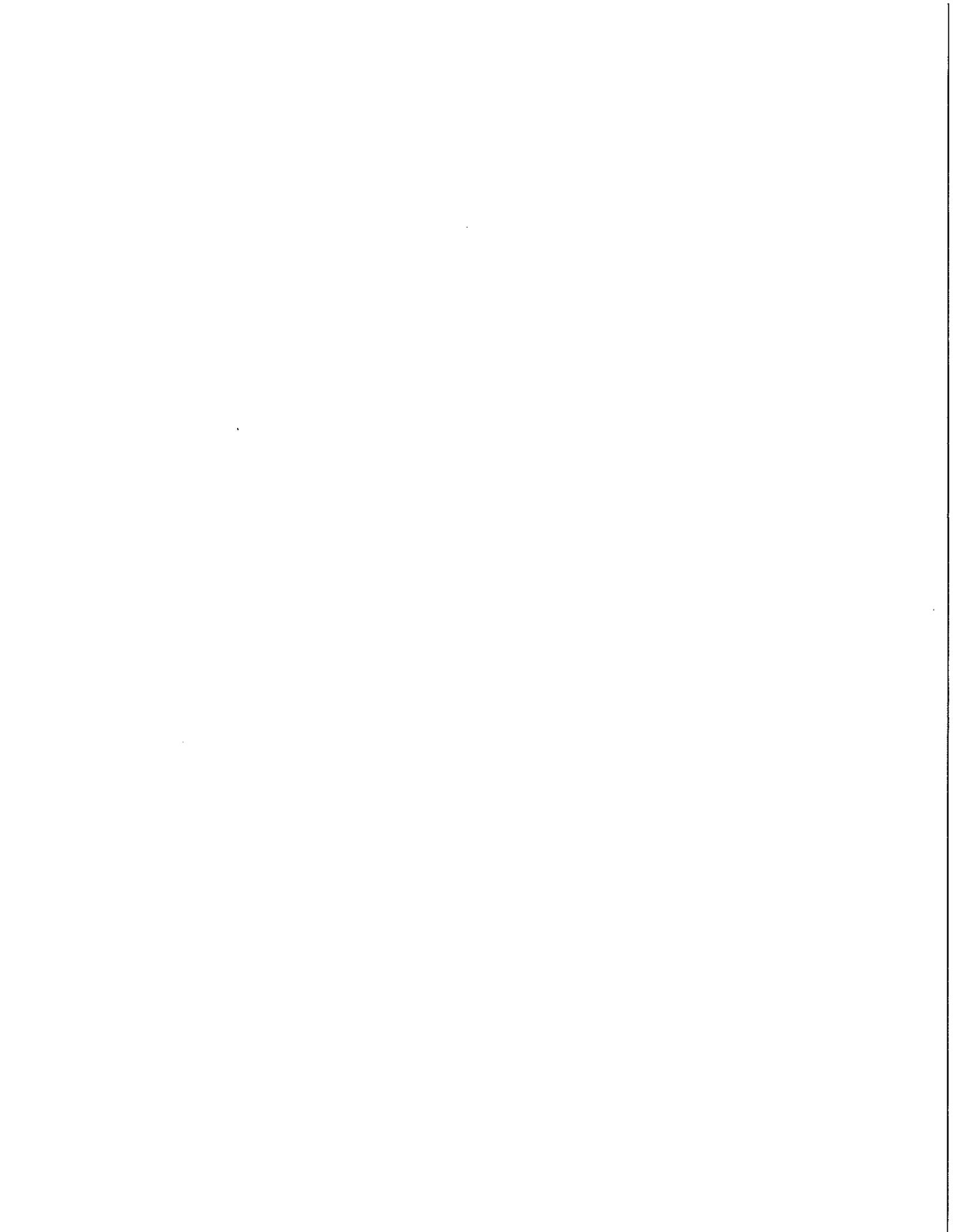
IC 3-11-8-10.3 (b) (16) The procedures for setting up, using, and shutting down an electronic poll book must be reasonably easy for a precinct election officer to learn, understand, and perform. **After December 31, 2015, a vendor shall provide sufficient training to election officials and poll workers to completely familiarize them with the operations essential for carrying out election activities. A vendor shall provide an assessment of learning goals achieved by the training in consultation with VSTOP (as described in IC 3-11-18.1-12).**

This document sets forth specific recommendations from VSTOP that vendors may consult as they develop and refine their training modules on ePBs. These suggestions are intended to assist vendors in formulating and employing clear training modules that will satisfy the statutory language requirements of “sufficient training;” “completely familiarize;” and “provide an assessment of learning goals achieved by the training.”

I. Purpose and Reporting Requirements:

The purpose of the assessment is to:

- Ensure that all election personnel operating electronic poll books have demonstrated the ability to perform assigned ePB tasks during the training period. The sample grading rubric included in the attached document provides a means of tracking performance of each individual trained;
- Provide vendors with the feedback necessary to consistently improve training to enhance performance by election personnel.



Reporting Requirements

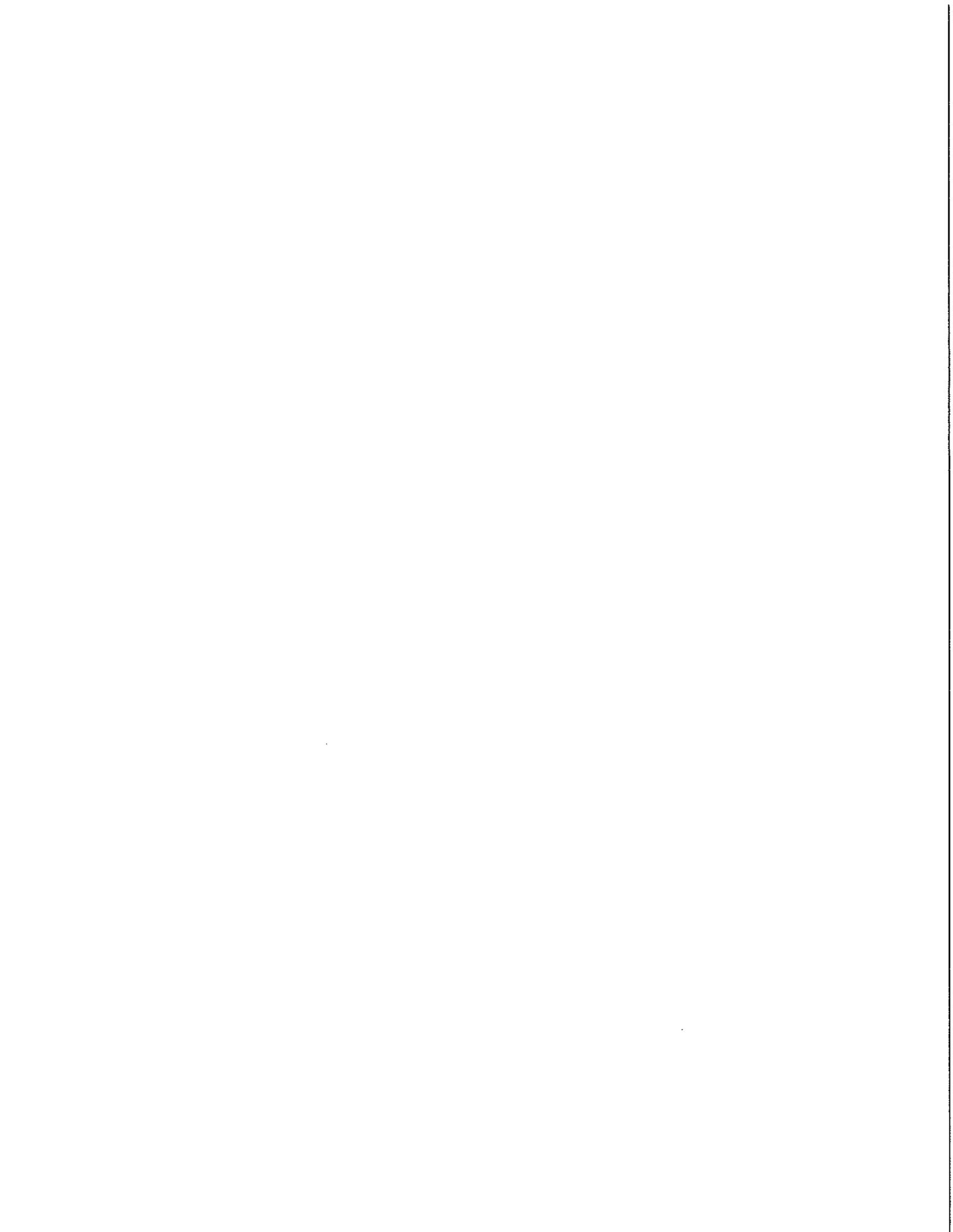
By February 28 of each year:

- Vendors must provide VSTOP with copies of the materials used to train election personnel, as well as with any materials they create for remediation.
- Vendors must supply copies of the rubrics they plan to use in assessment of training.

By December 31 of each year:

- Vendors must submit a report to VSTOP documenting the pass rate (number of trainees achieving a rating of proficient) after the initial round of training as well as the number of individuals requiring remediation in each Indiana County serviced.
- A list of those procedures most often requiring remediation.
- A plan for improving training based on the results presented in this report.
- An attestation must accompany the report that verifies that all election personnel involved in the operation of ePBs have achieved proficiency.

The following includes a list of activities that should be addressed in all training of election personnel who operate and supervise the operation of ePBs. The list is not exhaustive. Vendors are encouraged to go beyond the standard steps and provide training on aspects that are unique to their certified ePB equipment. It is expected that each election personnel will be able to demonstrate his/her proficiency on each of these activities. The levels of learning objectives A through E below are meant to be sequential. A learner should not continue to the next level of training until he/she has reached a level of proficiency at the previous level of training. It is expected that County election officials will be required to complete levels A through E, while poll workers will be required to complete levels B through E.

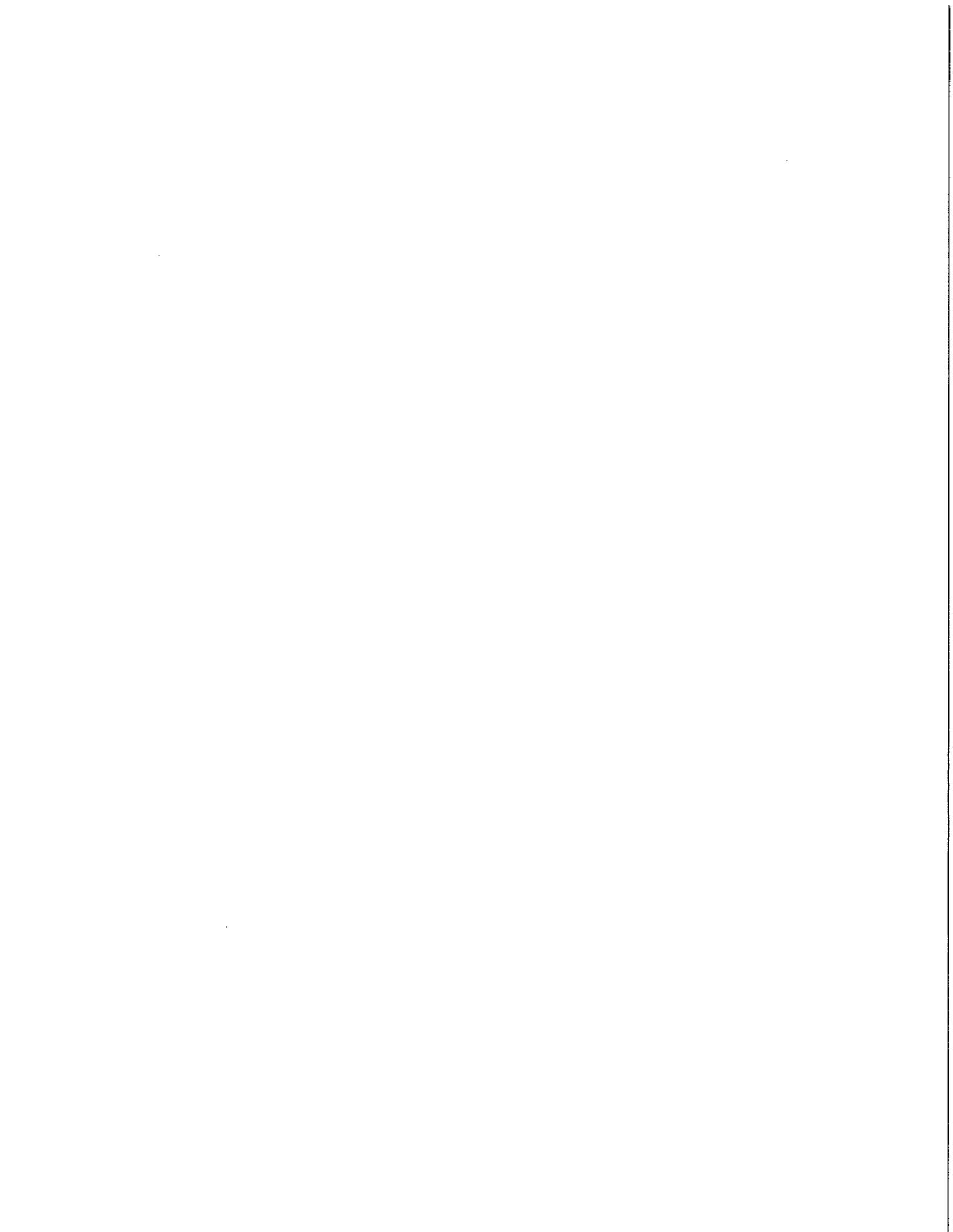


II. Learning Objectives:

A. Preparing for use of ePBs:

County election officials should be trained to oversee the receipt, acceptance testing, and set-up of all ePB equipment and software. In addition to training listed below in steps B through E, County election officials must be trained to:

- Demonstrate familiarity with all hardware, firmware, and software components which constitute the ePB solution and the transmission of data between the county connection and SVRS. Such components include, but are not limited to, setting up and maintaining network connectivity, network routers and familiarity with SVRS Web Services Framework;
- Demonstrate the ability to test Internet connections at all remote voting sites to assure conformance with minimum broadband requirements specified by the ePB vendor for use with their equipment;
- Demonstrate ability to operate and troubleshoot connectivity issues involving units at remote voting sites and the county connection used as part of the ePB solution;
- Demonstrate facility with redundant sources of Internet connectivity and procedures necessary to switch from one mode to another in case connectivity is lost;
- Demonstrate familiarity with and ability to execute all steps required for county Acceptance Testing as detailed in the Acceptance Test in Appendix D of the Indiana Electronic PollBook Certification Protocol approved by the Indiana Secretary of State. This includes completion of all testing activities for which the county is responsible, conducting all required electronic communication procedures for uploading and downloading data from SVRS through Web Services Framework, and attesting to the



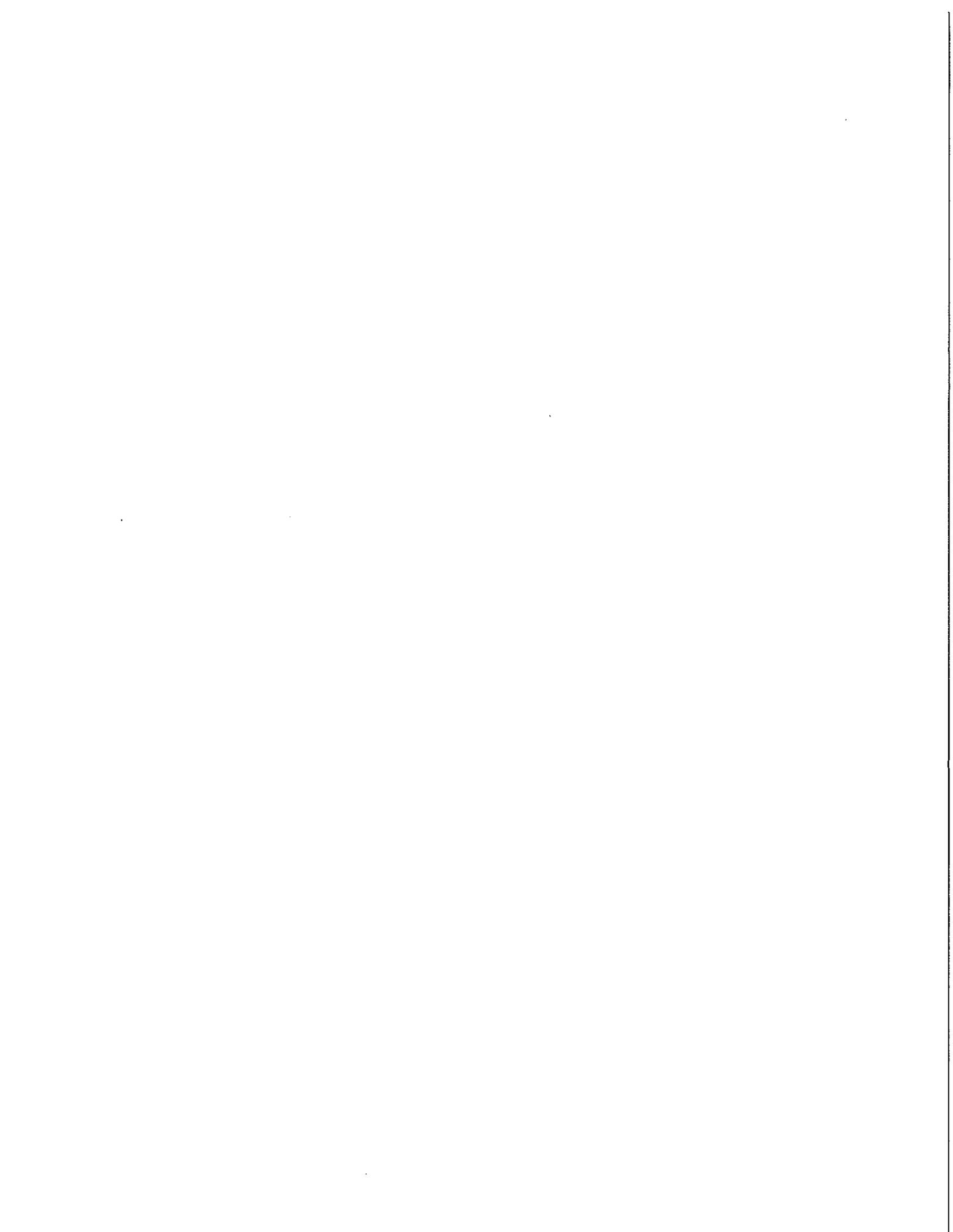
completion of all testing steps performed by the vendor and county personnel in conjunction with QUEST;

- Demonstrate the ability to troubleshoot problems that may occur with regard to ePB operation during the conduct of the election;
- Demonstrate knowledge of how to contact vendor support in case of problems with ePB operation or Internet connectivity that cannot be resolved during the course of the election.

B. Starting, Set-up and Initial Data download

Election Personnel (County officials and poll workers) must demonstrate their ability to:

- Identify all equipment, hardware and software components that constitute the entire certified ePB, including any cables and/or any other peripheral objects, such as docking stations and consumables that will be used for the election;
- Identify the correct ports on the ePBs that must be connected to the voter registration database and be able to ascertain that the connection(s) are secure;
- Confirm that all information for logging in on the ePBs, such as date and time are correct, along with any additional data and information that are required for proper functioning of the equipment (e.g., precinct number; poll worker name or number, etc.);
- Verify that the ePBs are properly loaded with the correct data;
- Ascertain that the ePB is configured in such a way as to enable the poll worker to check in voters. In case of anomaly, procedures for contacting appropriate election official(s)/vendor are clearly understood.



C. Early Voting and Election Day Voting Activities

Election Personnel (County officials and poll workers) must demonstrate their ability to:

- Use the barcode scanner effectively and confirm that appropriate information is captured from the driver's license or the state identification card;
- In primary elections, demonstrate the ability to select the correct party ballot that the voter has chosen;
- Demonstrate knowledge of procedures to be taken when a voter's name does not appear in the ePB. In this situation, the training should exhaust all the procedures and steps that must be taken to determine the proper resolution;
- Demonstrate knowledge of the steps to be taken when a voter's ID is acceptable, but the address does not match the address in the voter file;
- Demonstrate knowledge of the steps to take to capture the voter's proof of residency, if required;
- Demonstrate the knowledge of the steps to take when voter indicates a name change;
- Demonstrate knowledge of the steps to take when voter DLN information is missing;
- Demonstrate knowledge of the steps to take when voter SSN4 information is missing;
- Demonstrate a full range of knowledge pertaining to when a provisional ballot may be appropriate for the voter and identify the election officials who can explain the provisional voting process to the voter.



D. Data upload and Closing

Election Personnel (County officials and poll workers) must demonstrate their ability to:

- Name and execute all the steps involved in uploading data to a server or to SVRS through Web Services Framework and in shutting down the ePB when the polls close;
- Identify the information that must be recorded in order to provide an accurate count of the number of voters checked-in on each unit.

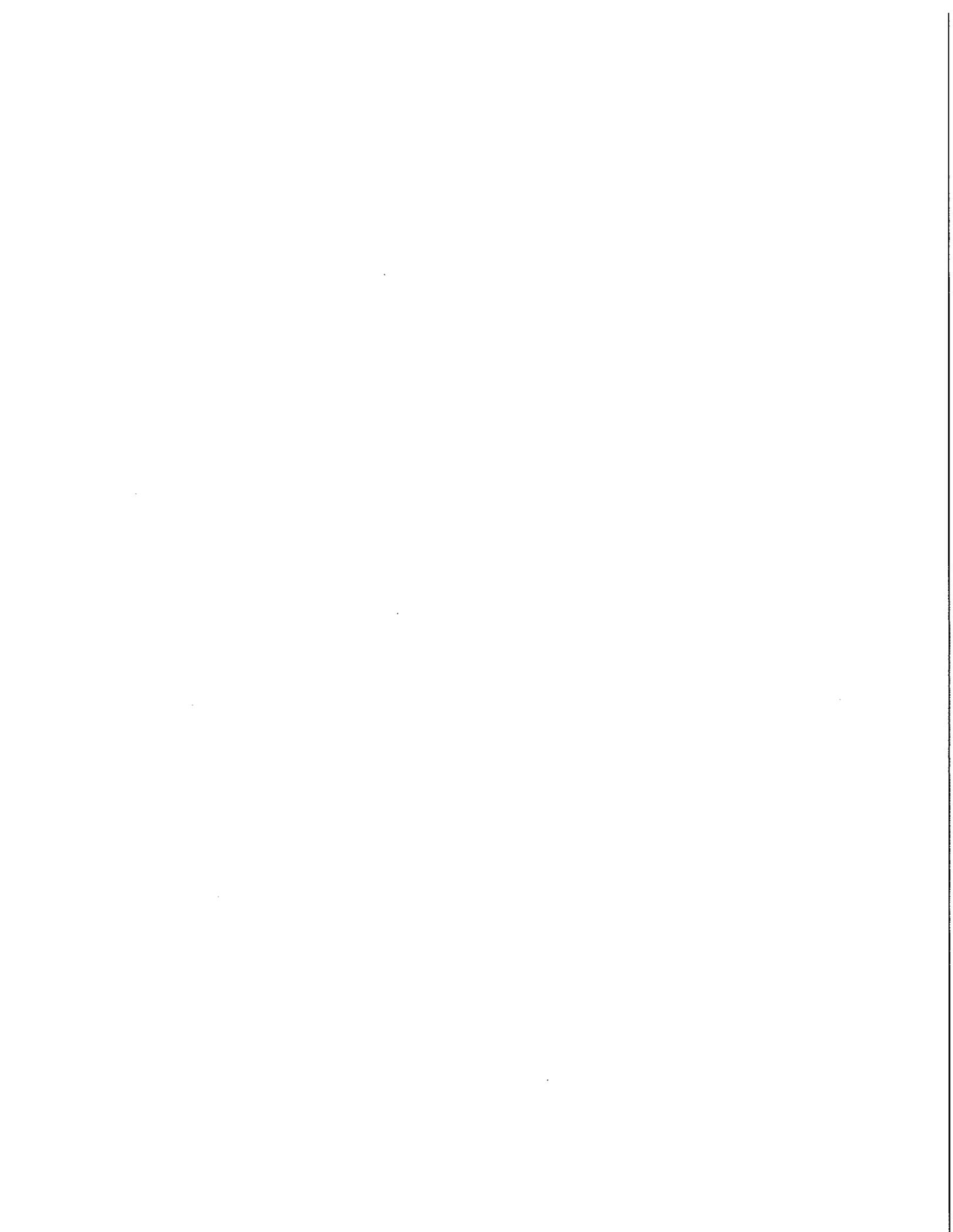
E. Troubleshooting

Election Personnel (County officials and poll workers) must demonstrate their ability to:

- Troubleshoot and handle any scenarios that may present themselves leading to suspension or stoppage of normal and expected functionality
- Follow vendor guidelines in the event that connectivity is lost with the server or the voter registration database.
- Locate a list of vendor representatives/county personnel and their contact information in the event of an emergency.

III. Assessing the Learning Objectives.

Vendors must develop modules for training related to each of the above learning objectives and rubrics for assessing each learning objective. Using the rubrics developed, each county election official must be assessed to determine their proficiency in preparing the ePBs for use and each county official and poll worker must be assessed to determine the extent to which



he or she has comprehended all the steps and procedures involved with the opening, operating, and shutting down the ePBs.

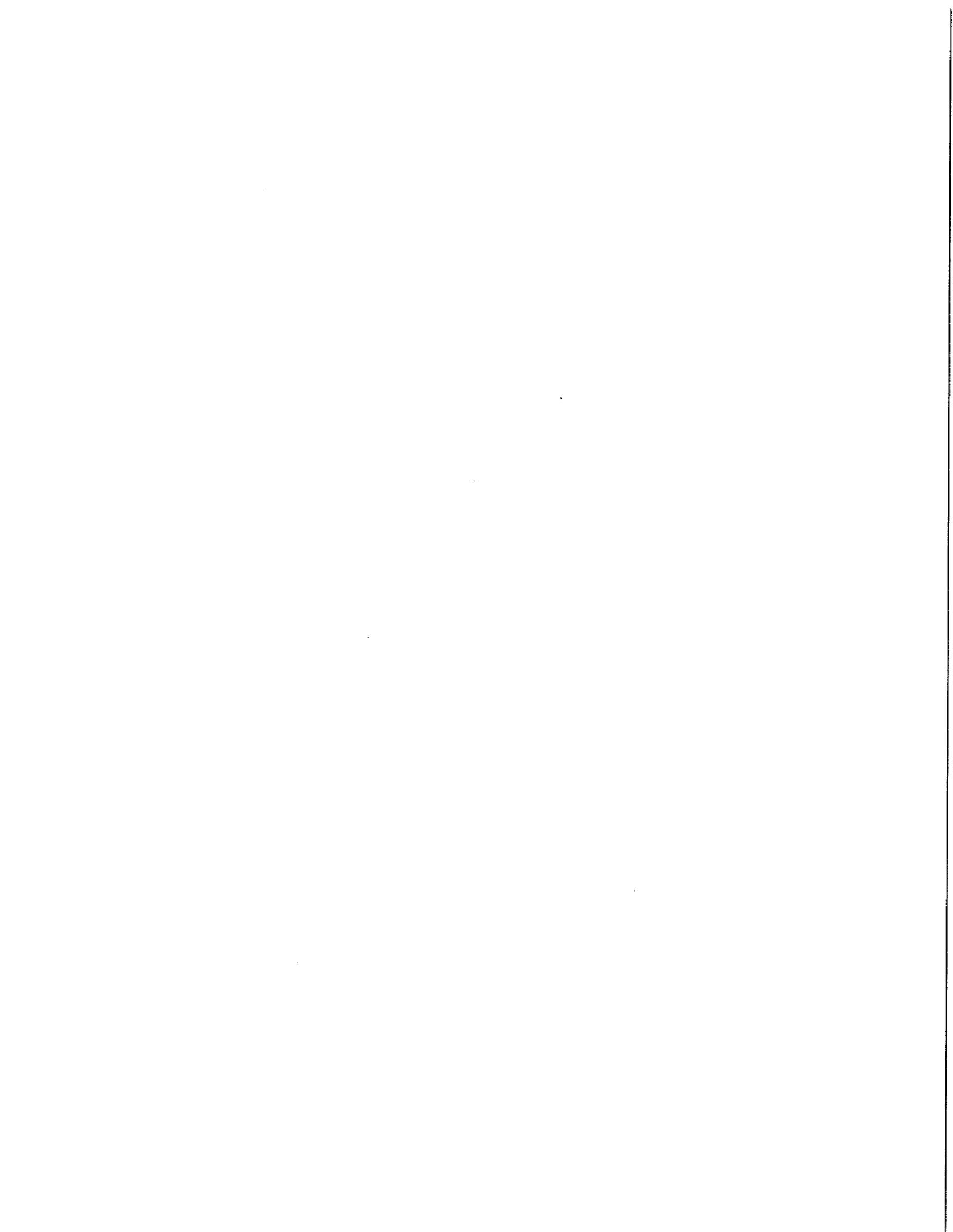
The modules developed by the vendor can be a combination of teaching/learning/experimentation approaches. For example, pictures and PowerPoint presentations of the exact equipment are appropriate to introduce the poll workers to the ePBs and the various procedures that must be followed to ensure their proper operation. Training videos may be used. Hands-on demonstrations and experimentation are preferred. Individual learning as well as team-learning may be used. Poll workers must have hardcopy or online availability of training materials. Checklists must also be developed and used to ensure that specific steps are taken with respect to opening, operating and closing the ePBs on election day.

The approach to assessing the effectiveness of the training can be an objective examination, or demonstration of the performance of the prescribed procedures before a trained examiner. Rubrics must provide sufficient information to allow examiners to pinpoint specific areas of learner deficiency that will require additional instruction. Particularly important is how a learner responds to an anomaly or a scenario that requires troubleshooting.

A rubric must be used to assess each learner. (See sample table in Appendix A.) Scoring procedures for each learning objective will be developed by the vendor but composite scores must result in one of two outcomes:

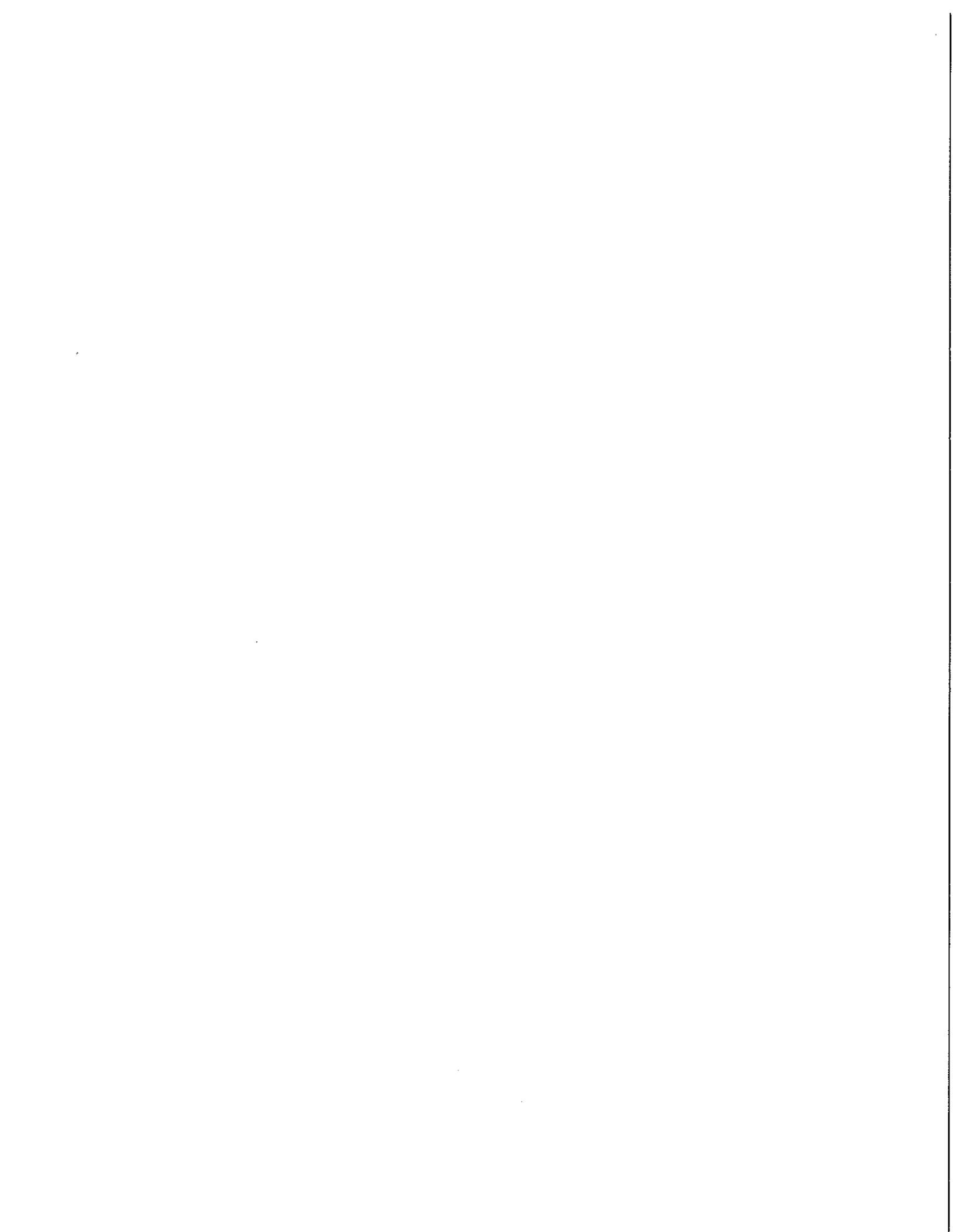
1) **Failure:** The learner has not demonstrated the ability to complete all steps in any particular level or training and requires remediation before moving to the next level of training;

2) **Proficiency:** The learner has demonstrated a satisfactory level of competency in completing all steps in any particular level with the assistance of coaching and written materials and may move onto the next level of training;



The standard rule is that “proficiency” is the minimum score necessary for a learner to achieve in order to continue to the next level of training and an overall score of “proficiency” is necessary before the vendor will certify that the learner is able to handle election duties.

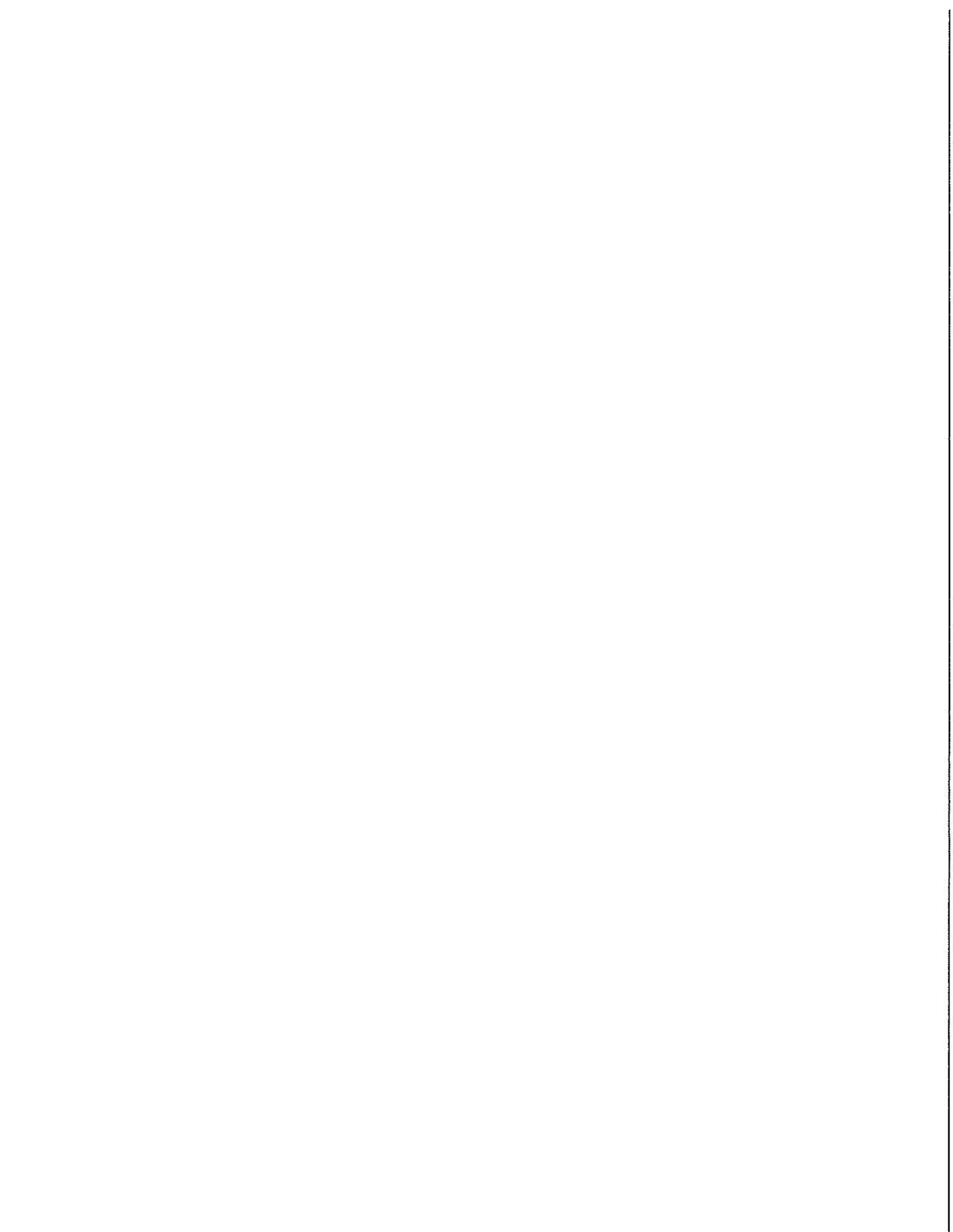
- IV. **Approval and Changes to this document:** This document has been approved by the Indiana SOS effective *Month/day/year*. This document may be changed as necessary. County, Election Worker, and Vendor input will be considered in making changes.



Appendix A

Sample Training Rubric for Election Personnel

	FAIL	PROFICIENT
A. Preparing for use of ePBs:		
Demonstrate familiarity with all hardware, firmware, and software components which constitute the ePB solution and the transmission of data between the county server and SVRS; Such components include, but are not limited to, setting up and maintaining network connectivity, network routers and familiarity with SVRS Web Services Framework.		
Demonstrate the ability to test Internet connections at all remote voting sites to assure conformance with minimum broadband requirements specified by the ePB vendor for use with their equipment		
Demonstrate ability to operate and troubleshoot connectivity issues involving units at remote voting sites and the county server used as part of the ePB solution		
Demonstrate facility with redundant sources of Internet connectivity and procedures necessary to switch from one mode to another in case connectivity is lost		



<p>Demonstrate familiarity and ability to execute all steps required for county Acceptance Testing as detailed in the Acceptance Test in Appendix D of the Indiana Electronic PollBook Certification Protocol approved by the Indiana Secretary of State; This includes completion of all testing responsibilities for which the county is responsible, conducting all required electronic communication procedures for uploading and downloading data from SVRS through Web Services Framework, and attesting to the completion of all testing steps performed by the vendor and county personnel in conjunction with QUEST</p>		
<p>Demonstrate the ability to troubleshoot problems that may occur with regard to ePB operation during the conduct of the election</p>		
<p>Demonstrate knowledge of how to contact vendor support in case of problems with ePB operation or Internet connectivity that cannot be resolved during the course of the election.</p>		
<p>COMPOSITE SCORE FOR A.</p>		
<p>B. Starting, Set-up and Initial Data download</p>		
<p>Identify all equipment, hardware and software components that constitute the entire certified ePB, including any cables and/or any other peripheral objects, such as docking stations and consumables that will be used for the election.</p>		



Identify the correct ports on the ePBs that must be connected to the voter registration database and be able to ascertain that the connection(s) are secure.		
Confirm that all information for logging in on the ePBs, such as date and time are correct, along with any additional data and information that are required for proper functioning of the equipment (e.g., precinct number; poll worker name or number, etc.).		
Verify that the ePBs are properly loaded with the correct data.		
Ascertain that the ePB is configured in such a way as to enable the poll worker to check in voters. In case of anomaly, procedures for contacting appropriate election official(s)/vendor are clearly understood.		
COMPOSITE SCORE FOR B.		
C. Early Voting and Election Day Voting Activities		
Use the barcode scanner effectively and confirm that appropriate information is captured from the driver's license or the state identification card.		
In primary elections, demonstrate the ability to select the correct party ballot that the voter has chosen.		
Demonstrate knowledge of procedures to be taken when a voter's name does not appear in the ePB. In this situation, the training should exhaust all the procedures and steps that must be taken to determine the proper resolution.		



Demonstrate knowledge of the steps to be taken when a voter's ID is acceptable, but the address does not match the address in the voter file.		
Demonstrate knowledge of the steps to take to capture the voter's proof of residency.		
Demonstrate the knowledge of the steps to take when voter shows proof of name change.		
Demonstrate knowledge of the steps to take when voter DLN information is missing.		
Demonstrate knowledge of the steps to take when voter SSN4 information is missing.		
Demonstrate a full range of knowledge pertaining to when a provisional ballot may be appropriate for the voter and identify the election officials who can explain the provisional voting process to the voter.		
COMPOSITE SCORE FOR C.		
D. Data upload and closing		
Name and execute all the steps involved in uploading data to a server or to SVRS through Web Services Framework and in shutting down the ePB when the polls close.		
Identify the information that must be recorded in order to provide an accurate count of the number of voters checked-in on each unit.		
COMPOSITE SCORE FOR D.		
E. Troubleshooting		
Troubleshoot and handle any scenarios that may present themselves leading to suspension or stoppage of normal and expected functionality		



Follow vendor guidelines in the event that connectivity is lost with the server or the voter registration database.		
Locate a list of vendor representatives/county personnel and their contact information in the event of an emergency.		
COMPOSITE SCORE FOR E.		
OVERALL SCORE		

