



COMMONWEALTH OF KENTUCKY
STATE BOARD OF ELECTIONS
ALISON LUNDERGAN GRIMES
Secretary of State & Chief Election Official

July 26, 2018

Brian Newby, Executive Director
U.S. Election Assistance Commission
1335 East-West Highway, Suite 4300
Silver Spring, MD 20910

Dear Mr. Newby,

As Kentucky's chief elections official and chair of the State Board of Elections, I sincerely appreciate the Election Assistance Commission's expeditiousness in issuing the recently appropriated 2018 HAVA Election Security Funds, authorized under Title I Section 101 of the Help America Vote Act (HAVA) of 2002.

Please find enclosed Kentucky's narrative and budget for the more than \$5.7 million in HAVA funds available to the Commonwealth, which we requested earlier this year. Careful consideration has been given to the opportunities this funding provides for increasing election security and election technology as well as future implementation of post-election audits. Kentucky will move quickly to utilize this critical funding for the maximum benefit of our elections.

If I may be of any assistance as it relates to the Commonwealth's use of these funds, please do not hesitate to contact me.

Sincerely,

A handwritten signature in blue ink that reads "Alison Lundergan Grimes".

Alison Lundergan Grimes

Commonwealth of Kentucky 2018 Help America Vote Act Security Grant Narrative

The Kentucky State Board of Elections (“SBE”), chaired by Secretary of State Alison Lundergan Grimes, submits this narrative as a plan for the 2018 Help America Vote Act (“HAVA”) Security Grant. The SBE proposes these spending recommendations for the purposes of creating opportunities to increase security for election systems, election technology and physical security for election administrators. It is further recommended that the SBE use a portion of these funds to begin the process of implementing post-election accountability programs, specifically with the use of risk-limiting audits (“RLAs”).

The SBE will continue to work with our security partners – The Office of the Secretary of State, the Commonwealth of Kentucky HAVA Advisory Board, the United States Department of Homeland Security, and local election officials – throughout the upcoming fiscal cycles to ensure the appropriate allocation and use of funds as the grant is drawn down. Further, the Commonwealth of Kentucky will comply with all matching commitments and obligations. The following expenditures account for a \$5,773,423 budget.

| Project Categories | FY 2018 | FY 2019 | Total |
|---|--------------------|--------------------|------------------|
| Voting Equipment Replacement & Upgrades | \$2,300,000 | \$2,300,000 | \$4,600,000 |
| Election Auditing | \$50,000 | \$100,000 | \$150,000 |
| Cybersecurity Personnel: | | | |
| CISO..... | \$125,000 | \$125,000 | \$250,000 |
| Systems Architect..... | \$123,423 | | \$123,423 |
| Physical Security | See Total | See Total | \$250,000 |
| Security Software Solutions | \$150,000 | \$150,000 | \$300,000 |
| Training | \$50,000 | \$50,000 | \$100,000 |
| Total: | \$2,798,423 | \$2,725,000 | 5,773,423 |

Voter Verified Paper Audit Trail and Training:

The Commonwealth of Kentucky does not exclusively utilize voting machines which create a Voter Verified Paper Audit Trail (“VVPAT”) at the point of the voter casting his or her ballot. Approximately twenty-nine of Kentucky’s one hundred and twenty counties utilize what are commonly referred to as direct-recording electronic voting machines (“DRE’s”) for all ballot submissions, while the majority of Kentucky counties rely on DRE’s only for voting machines designated as voter accessibility compliant machines. These two categories of usage represent approximately 13,000 voting machines. To replace these machines completely will cost approximately \$18,000,000 - \$28,000,000 depending on the vendor and type of solution.

Commonwealth of Kentucky 2018 Help America Vote Act Security Grant Narrative

The SBE recently resolved to require all future purchases of voting equipment in the Commonwealth of Kentucky to provide a VVPAT. This resolution requires counties to begin planning for the replacement of DRE machines. The SBE recommends that a majority of the federal funding be utilized in this replacement endeavor and training on election equipment and communications. While it will not account for the complete statewide replacement purchase price, it will assist the counties who solely use DRE's to make this transition immediately. Once the Commonwealth of Kentucky has adopted a statewide VVPAT system we will then have the ability to begin risk-limiting audits as a standard post-election accountability protocol.

Critical Infrastructure Security:

Cyber Security Personnel / Cyber Security Systems

Chief Information Security Officer (CISO)

A portion of the 2018 HAVA funding will be used to hire a full-time SBE Chief Information Security Officer ("CISO"), who will work exclusively on matters related to elections cyber security. The CISO's responsibilities will include the coordination of all SBE cyber security and cyber hygiene efforts. These efforts will include, but may not be limited to, securing the Commonwealth's Voter Registration Database ("VRS"), internal office software and hardware, election software and hardware, and the training of and service to all 120 county clerks and county boards of elections.

Security Architecture Consultant

Over the next two fiscal years, the SBE will develop and produce an updated version of the Commonwealth's Voter Registration System with additional cybersecurity tools built into the architecture. To this end, SBE intends to hire a full-time systems architect who is proficient in fundamental database languages as well as having a strong background in systems and security architecture.

Physical Security

A portion of funding will be used in the Commonwealth of Kentucky's efforts to identify and rectify all physical security needs and concerns specific to the SBE physical location. While the SBE servers are housed within a secure hardened state-owned facility it is of equal importance that the physical SBE property and systems are secured to a level appropriate for critical infrastructure. SBE facilities should ultimately meet the United States Department of Homeland Security ("DHS") physical security standards and protocols. The SBE is collaborating with the DHS to identify deficiencies in our current facility and is working to implement proposed solutions.

Post-Election Accountability:

Risk Limiting Audits (RLA) Research and Implementation

A portion of the HAVA funding will be used to research national best practices and standards for Risk Limiting Audits with the goal of statewide implementation once the Commonwealth of Kentucky is fully VVPAT compliant.