

STATE OF MINNESOTA

Office of Minnesota Secretary of State Mark Ritchie

November 23, 2009

The Honorable Gineen Bresso-Beach Chair, Election Assistance Commission 1225 New York Avenue, N.W., Suite 1100 Washington, DC 20005

Dear Chair Bresso-Beach:

Pursuant to Section 255 of the Help America Vote Act of 2002 (P.L. 107-252) (HAVA), I am pleased to file this letter which outlines amendments to Minnesota's State Plan with the Election Assistance Commission for publication in the Federal Register. The amendments outlined below provide for compliance with the Military and Overseas Voter Empowerment Act (MOVE Act) and were developed pursuant to HAVA section 254 (a)(11), and consistent with the procedures set forth in HAVA sections 254, 255, and 256.

In accordance with section 256, the State published notice in the State Register on October 19, 2009 to alert the public of the proposed amendments to the plan and the opportunity to comment. No comments were received. Discussion at the Advisory Committee meeting was taken into account in preparing the amended plan, which is now submitted to the Commission for publication.

As required by HAVA, section 254(a)(12), when amending a state plan, Secretary of State Ritchie also proposes changing the plan by adding to Section 12, which provides a description of how the change in the State Plan differs from the prior State Plan and how Minnesota succeeded in carrying out the state plan in previous years. Section 13 is amended by adding section 13.5, listing the 2009 Minnesota State Plan Amendment Advisory Committee Membership Roster.

The plan is amended by adding a new Section 14:

Section 14

Use of Requirements Payment Funds to meet the Military and Overseas Voter Empowerment Act

14.1 Electronic Communication of Election Information to UOCAVA Voters

Minnesota will provide voter registration and absentee ballot applications and information related to voting, balloting and election information for UOCAVA voters through the use of a customized website. A link to the site will be available on the Office of the Secretary of State's website and local election administrators will be encouraged to place a link to the site on their own webpages.

14.2 Allowing UOCAVA Voters to Track Marked Ballots

Minnesota will expand the Statewide Voter Registration System to provide a free web-based access mechanism for UOCAVA voters to ascertain the status of their absentee ballot. It will allow voters to determine whether the ballot has been sent to the voter, has been received by the county election office, has been accepted or rejected, and whether a replacement ballot has been issued (to voters whose ballots are lost in transit or rejected).

14.3 Enhancements to the Statewide Voter Registration System

Minnesota will modify the Statewide Voter Registration System in ways that facilitate the administration of voting by UOCAVA voters.

14.4 Budget

Informational Website, Ballot Tracker and Enhancements to SVRS

\$275,000 - \$1 million

Section 12 is amended by adding text to the introduction of the section and by adding new sections 12.6 and 12.7:

The addition of Section 14 to the Minnesota State Plan in 2009 will allow the Minnesota Secretary of State to take the actions necessary to implement the Military and Overseas Voter Empowerment Act.

12.6 2008

- Updated Statewide Voter Registration System to implement electronic ballot delivery to military and overseas voters (UOCAVA voters), add UOCAVA ballot board processing module, and improve domestic absentee ballot processing.
- Conducted 2008 county auditor training conference on general election administration, featuring new procedures for county UOCAVA absentee ballot boards and electronic ballot delivery to UOCAVA voters.
- Provided informational website for UOCAVA voters.
- Updated County Auditor, City Clerk, Election Judge, Mail Election, School Clerk, Town Clerk, Train the Trainer, Election Terminology, Recount, Post Election Review, and Equipment Testing guides for local officials to improve election administration.
- Provided WebX training on use of Statewide Voter Registration System upgrades for county election administrators.
- Upgraded Statewide Voter Registration System to facilitate entry of election day registrations using National Change of Address Data.
- Attended 170 outreach events to provide information on voting procedures and voting rights.
- Upgraded on-line polling place finder to display county-provided precinct sample ballots and polling place maps.

12.7 2009

- Upgraded Statewide Voter Registration System software and infrastructure to facilitate use by designated municipalities for administering absentee voting.
- Trained several municipalities to use the Statewide Voter Registration System to administer absentee voting as part of a plan for statewide availability in 2010.
- Provided Web X training on use of new functionality of statewide voter registration system.
- Upgraded Statewide Voter Registration System to add National Change of Address process to update voter records with changed in-state residential addresses and to cancel registrations for voters who move from Minnesota.
- Created web-based training modules for local officials using Statewide Voter Registration System to administer absentee ballots in federal elections.

Section 13 is amended by adding section 13.5, as follows:

13.5 2009 Minnesota State Plan Amendment Advisory Committee Membership Roster

MEMBER OFFICE / REPRESENTING
Mark Ritchie Minnesota Secretary of State

Beth Fraser Dir. of Governmental Affairs, Office of the Secretary of State
Gary Poser Director of Elections, Office of the Secretary of State

Jim Knoblach Governor's Office

Senator Joe Gimse

Senator Linda Higgins

Rep. Bill Hilty

Minnesota Senate (R—Willmar)

Minnesota Senate (DFL—Minneapolis)

Minnesota House (DFL—Finlayson)

Minnesota House (R—Blaine)

Col. Eric Ahlness

Minnesota National Guard

Graeme Allen Minnesota University Students Association

Marcia AvnerMinnesota Council of NonprofitsRoger BanksCouncil on Black MinnesotansMargot Imdieke CrossState Council on Disability

Michelle DesJardin Hennepin County Elections Manager Eugene Dufault Association of Minnesota Townships

Dennis Distad Freeborn County, MN Association of County Officers

Oscar Enchandi Council on Chicano/Latino Affairs
Kao Ly Her Council on Asian Pacific Minnesotans

Ann Higgins League of Minnesota Cities
Pamela Hoopes Minnesota Disability Law Center
Joe Mansky Ramsey County Elections Manager

Patty O'Connor Blue Earth County, MN Association of County Officers

Judy Sanders National Federation of the Blind

Jolynn Shopteese Minnesotan American Indian Affairs Council

Scott Simmons Association of Minnesota Counties

Cynthia Weitzel Council on Deaf, DeafBlind, and Hard of Hearing Minnesotans

Graeme Allen Minnesota University Students Association

On behalf of the State of Minnesota, I submit the above amendments for publication in the Federal Register, and thank the Election Assistance Commission for its help in the amendment process.

Sincerely,

MARK RITCHIE

Minnesota Secretary of State

State of Minnesota

Minnesota State Plan

Developed pursuant to Public Law 107-252, Help America Vote Act of 2002, Section 253(b)

"The Act appropriately respects the primacy of state and local governments in the administration of elections, while helping to ensure the integrity and efficiency of voting processes in federal elections by providing federal governmental support for that vital endeavor."

PRESIDENT GEORGE W. BUSH THE WHITE HOUSE October 29, 2002

"The four pillars of voter rights—access, accuracy, privacy, and integrity—need to be strong and in balance in order for the election system to be as good as it can be. HAVA is a major national reinforcement of those four pillars."

MINNESOTA SECRETARY OF STATE MARY KIFFMEYER ST. PAUL

MINNESOTA STATE PLAN ADVISORY COMMITTEE

Mary Kiffmeyer Minnesota Secretary of State

Scott Simmons *Minnesota State Election Director*

Bob Schroeder Deputy Chief of Staff, Office of the Governor

Cal Larson Minnesota Senate (R-Fergus Falls)

Chuck Wiger Minnesota Senate (DFL-North St. Paul)

Jim Knoblach Minnesota House of Representatives (R-St. Cloud)

Mary Ellen Otremba Minnesota House of Representatives (DFL-Long Prairie)

Patrick O'Connor Hennepin County Auditor

Dorothy McClung Ramsey County Director of Property Records & Revenue

Roy Luukkonen Crow Wing County Auditor

Fran Windschitl Rice County Auditor/Treasurer

James Backstrom Dakota County Attorney

Gene Short Redwood County Commissioner / AMC President

Susanne Griffin City of Minneapolis Director of Elections

Irene Bright Kimberly Township, Aitkin County

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Margot Imdieke Cross State Council on Disability

Pamela Hoopes Minnesota Disability Law Center

Kathie Battle African-American Community

Gabriela Mangieri Harper Hispanic Communications Consultant

Stacy Doepner-Hove League of Women Voters of Minnesota

Zachary Coelius Votes for Students, University of Minnesota

Bruce Corrie Concordia University, St. Paul

Cliff Olsen Abelconn

Introduction by Secretary of State Mary Kiffmeyer

St. Paul, Minnesota July 2003

Fellow Minnesotans:

I am pleased to share this document, Minnesota's plan for implementing the Help America Vote Act, P.L. 107-252 (HAVA) of 2002.

HAVA—the federal response to the 2000 election—requires state and local governments to improve election processes and systems, and it provides federal funding to help with these improvements. I am grateful to President Bush and the U.S. Congress for making election improvement a priority and for getting this historic legislation passed. It was an honor to work with Senators Wellstone and Dayton and with the rest of Minnesota's congressional delegation in crafting HAVA.

Through the years, Minnesota has demonstrated excellence in citizen participation. Our young people, 18- to 24-years-old, typically participate at twice the national average for voters of that age. In 2000 and in 2002, we had the highest overall voter turnout in the nation. Additionally, in 2002 we had the highest voter turnout in our state in a non-presidential election year since 1954.

We are fortunate in Minnesota because our state also has demonstrated a commitment to voting system improvements to support the high citizen involvement. In 2000, the state legislature established a voting equipment grant account to encourage local governments to replace hand-count and central-count voting systems with modern optical-scan in-the-precinct tabulators.

The additional federal funds will enable us to provide Minnesota with a HAVA-compliant statewide system. We will be able to train election officials effectively, efficiently, and more cost-effectively with uniform systems and materials.

HAVA will allow us to enhance the integrity of our voter registration process, increase privacy and independence for voters with disabilities, improve the election systems that support the absentee voting process, and provide all Minnesotans with better information on how to vote.

The four pillars of voter rights—access, accuracy, privacy, and integrity—need to be strong and in balance in order for the election system to be as good as it can be. HAVA is a major national reinforcement of those four pillars.

We are on schedule to make sure Minnesota complies with federal HAVA deadlines. I thank the HAVA Advisory Committee members who committed considerable time and showed great dedication to giving input on this plan. Their involvement has helped to ensure that Minnesota will have an accessible, uniform, statewide voting system that strives to meet both the spirit and letter of the law.

Sincerely.

Mary Kiffmeyer Secretary of State

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Overview: State of Elections in Minnesota

Minnesota has a proud tradition of citizen participation, always ranking nationally at or near the top for voter turnout. Minnesota has a population of 4,919,479, according to the 2000 census. The state's rural population comprises about 28 percent of the total, and the urban population comprises about 72 percent. The largest cities are Minneapolis (population approximately 382,000), St. Paul (287,000), Rochester (89,000), Duluth (86,000), and Bloomington (85,000). Minnesota has 87 counties. By population, Hennepin is the largest (over 1 million) and Traverse is the smallest (4,100). By area, St. Louis is the largest (over 4 million acres) and Ramsey is the smallest (101,190 acres).

2002 General Election Data:

For the 2002 General Election, the Office of the Secretary of State estimated the voting age population to be 3,712,500. This is the voting age population (VAP) or the pool of potential voters. These voters are spread throughout Minnesota and vote in a variety of jurisdictions.

Minnesota Jurisdictions:

8	Congressional Districts
67	Senate Districts
87	Counties
134	House of Representatives Districts
425	School Districts
850	Charter and Statutory Cities
1800	Townships
4106	Precincts

Unorganized Territories:

Fifteen counties also have unorganized territories. Unorganized territories are portions of counties that do not fall inside the corporate boundaries of a city or an organized township. These areas do not have their own local government and fall under the direct control of the county board of commissioners.

Most unorganized territories are in Northern Minnesota with Cook, Lake, Koochiching, and Lake of the Woods Counties being comprised largely of unorganized territories. The most densely populated unorganized territory is West Crow Wing County unorganized territory, located directly north of the city of Baxter. The West Crow Wing unorganized territory is comprised of three precincts and has a total population of over 5,000 people. Hennepin County is the only metropolitan county with unorganized territory. The Fort Snelling unorganized territory is located directly south of Minneapolis and is in the vicinity of Fort Snelling, the VA hospital, and the Twin Cities Metropolitan Airport.

Voter Turnout:

For the 2002 General Election, the Office of the Secretary of State estimated the voting age population to be 3,712,500. With 2,282,860 ballots cast, the estimated voter turnout in Minnesota was 61.5 percent. This is the highest voter turnout for a mid-term (Minnesota constitutional offices and U.S. Congressional offices) election since 1952.

Ballots Cast by Precinct:

In 2002 there were 4,106 precincts in the state of Minnesota. The average precinct had 556 ballots cast. A majority of voters cast their ballot in large precincts. The five largest precincts account for 7.4 percent of all ballots cast, 13 percent from the ten largest, and 30 percent of all ballots cast were cast in the 25 largest precincts.

On the other hand, the 1,858 smallest precincts, accounting for over 45 percent of precincts, produced only 8.8 percent of ballots cast in 2002. The were 13 designated precincts with zero (0) ballots cast, 58 precincts with ten or fewer ballots cast, 394 with fifty or fewer, and 934 precincts with 100 or fewer ballots cast. Precincts with 250 voters or less cast 8.8 percent of ballots and 21 percent of ballots were cast in precincts with 556 or fewer voters.

In terms of the number of ballots cast, 24 precincts had over 2,500 ballots cast. There also were 101 precincts with over 2,000 ballots, 348 precincts with over 1,500, and 880 precincts with over 1,000 ballots cast in the 2002 General Election.

Absentee Ballots:

For each precinct, ballots may be cast in person at the polling place or by absentee ballot. There were 2,282,860 ballots cast at the 2002 General Election. Of those ballots, 2,169,556, or 95 percent, were cast by voters in the polling place and 110,885 (5 percent) were cast as absentee ballots. Of the absentee ballots 110,168 were regular absentee ballots and 717 were federal absentee ballots.

The average number of in-person ballots cast in a precinct was 528. The five precincts with the largest number of in-person voters had between 2,841 and 3,439 votes cast in the precinct. On the small end, there were 56 precincts with zero in-person voters and nearly 100 precincts with 10 or fewer in-person voters. In Minnesota nearly one-fifth of all precincts have 100 or fewer in-person voters.

Pre-Registered Voters:

In addition to the number of ballots cast statewide and in each precinct, important statistics include the number of registered voters, voters registering on Election Day, and voter turnout.

As of 7:00 on the morning of the 2002 General Election, the total number of pre-registered voters was 2,844,428. The average number of pre-registered voters in each precinct was 693.

Election Day Registrations:

The total number of persons registering on Election Day was 342,978. Election Day registrants accounted for approximately 15 percent of all ballots cast at the 2002 General Election. The average number of Election Day registrations in each precinct was 84 Election Day registrations.

Precincts with large college student populations have the largest number of Election Day registrations. The University of Minnesota, Midwest Bible College, the Minneapolis College of Art and Design in Minneapolis, St. Olaf College in Northfield, and the College of St. Benedict in St. Joseph are among the schools with the largest number of Election Day registrants.

A total of 28 precincts had 500 or more Election Day registrations, while 1,121 precincts had 10 or fewer Election Day registrations.

	Est. Voting	7:00 AM	Election Day	Absentee	Total
County	Age Pop	Registrations	Registrations	Ballots Cast	Ballots Cast
Aitkin	12,618	9,974	804	709	8,106
Anoka	220,095	162,310	19,985	4,824	140,361
Becker	22,423	16,835	1,748	924	13,539
Beltrami	29,056	20,292	2,723	1,186	15,547
Benton	25,695	16,238	2,965	415	13,724
Big Stone	4,314	3,368	231	782	2,741
Blue Earth	44,398	28,718	4,918	961	24,306
Brown	20,172	15,485	1,202	484	11,560
Carlton	24,125	16,580	2,040	658	14,389
Carver	51,001	42,425	5,242	1,444	35,007
Cass	21,250	16,398	1,293	1,021	12,734
Chippewa	9,779	7,427	595	354	5,965
Chisago	30,183	27,436	3,885	805	22,253
Clay	38,478	27,520	3,109	863	20,722
Clearwater	6,290	4,598	514	183	3,717
Cook	4,344	3,329	190	175	2,909
Cottonwood	9,062	7,033	489	268	5,659
Crow Wing	43,168	32,469	3,345	2,507	26,882
Dakota	263,486	193,715	25,551	8,479	170,671
Dodge	12,683	9,528	1,588	288	8,302
Douglas	25,720	19,658	1,760	1,096	15,629
Faribault	12,177	9,824	693	439	7,753
Fillmore	15,710	12,110	1,293	334	9,450
Freeborn	24,792	18,512	1,925	1,072	15,987
Goodhue	33,018	26,935	3,442	865	20,859
Grant	4,809	4,140	409	186	3,325
Hennepin	858,579	679,019	82,719	28,287	521,318
Houston	14,573	11,602	1,013	302	8,857
Hubbard	14,445	11,090	1,113	663	9,360
Isanti	23,187	18,471	2,553	525	15,018
Itasca	34,009	25,400	1,987	914	20,009
Jackson	8,489	6,530	481	236	5,139
Kanabec	11,244	8,233	865	281	6,533
Kandiyohi	30,681	22,794	2,261	933	18,309
Kittson	3,894	3,008	155	161	2,467
Koochiching	10,672	8,031	757	355	6,155
Lac qui Parle	5,987	4,944	464	220	4,098
Lake	8,726	7,612	504	356	6,148
Lake of the Woods	3,490	2,496	127	145	2,234
Le Sueur	18,865	14,576	1,694	404	12,022
Lincoln	4,861	3,799	306	120	3,114
Lyon	18,895	13,834	1,561	482	10,154
Mahnomen	3,711	2,673	332	120	2,397
Marshall	7,511	5,871	484	181	4,923

	Est. Voting		Election Day	Absentee	Total
County	Age Pop	Registrations	Registrations	Ballots Cast	Ballots Cast
Martin	16,288	11,965	1,130	585	9,679
McLeod	25,673	19,806	1,840	513	14,503
Meeker	16,876	12,930	1,517	522	10,534
Mille Lacs	16,899	12,741	1,734	480	10,386
Morrison	23,281	17,999	1,721	669	14,676
Mower	29,091	20,296	1,619	891	16,489
Murray	6,836	5,342	710	251	4,767
Nicollet	22,711	18,204	2,733	666	14,651
Nobles	15,398	10,525	1,033	540	8,611
Norman	5,461	4,168	309	164	3,376
Olmsted	93,381	71,854	7,039	2,930	53,662
Otter Tail	43,993	33,608	2,940	1,621	26,500
Pennington	10,342	7,467	915	242	5,607
Pine	20,662	15,112	1,444	411	11,472
Pipestone	7,294	5,919	401	332	4,630
Polk	23,187	15,560	1,355	616	12,863
Pope	8,566	6,749	969	392	5,739
Ramsey	382,784	285,471	40,707	10,551	227,380
Red Lake	3,203	2,456	241	125	1,946
Redwood	12,323	8,864	764	305	7,110
Renville	12,555	9,321	879	282	7,459
Rice	43,509	33,503	5,034	1,016	25,161
Rock	7,182	5,454	494	328	4,597
Roseau	11,681	8,258	834	322	6,497
Scott	65,784	50,025	7,652	1,734	45,225
Sherburne	47,615	36,119	5,321	1,734	30,012
Sibley	11,250	8,571	698	253	7,204
St Louis		124,653		3,688	
	156,653	*	12,264		96,696
Stearns	101,388	77,162	10,071	1,700	57,951
Steele	24,710	17,789	2,704	860	15,819
Stevens	7,819	6,878	1,101	244	5,492
Swift	9,461	6,031	513	270	5,126
Todd	18,021	13,545	1,236	489	10,668
Traverse	3,042	2,379	144	94	1,959
Wabasha	16,079	12,233	1,251	347	10,233
Wadena	10,302	7,663	729	336	6,138
Waseca	14,785	10,239	1,181	303	8,697
Washington	149,771	126,345	15,450	5,596	104,759
Watonwan	8,632	6,417	422	316	5,034
Wilkin	5,098	3,693	320	132	2,915
Winona	39,038	28,859	3,165	763	20,235
Wright	65,062	53,038	8,572	1,591	45,167
Yellow Medicine	8,149	6,377	507	184	4,883
TOTALS	3,712,500	2,844,428	342,978	110,885	2,282,860

The number of precincts in each county by voting system:

Aitkin 0 48 13 61 Anoka 0 0 120 120 Becker 31 7 8 46 Beltrami 55 0 7 62 Benton 4 7 19 30 Big Stone 0 23 0 23 Blue Earth 54 0 0 54 Brown 32 0 0 32 Carlton 38 0 1 39 Carver 0 0 33 33 Cass 66 0 6 72 Chippewa 19 0 4 23 Chisago 0 0 23 23 Clay 23 0 31 54 Clearwater 0 29 0 29 Cook 12 0 0 12 Cottonwood 29 0 0 29 Crow Wing 15 0 44 59
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Hennepin 0 0 422 422
Houston 27 0 0 27
Hubbard 34 0 0 34
Isanti 0 0 17 17
Itasca 67 0 13 80
Jackson 30 0 30
Kanabec 21 0 0 21
Kandiyohi 47 0 0 47
Kittson 38 0 0 38
Koochiching 0 27 8 35
Lac qui Parle 0 33 0 33
Lake 18 0 0 18
Lake of the Woods 13 0 2 15
Le Sueur 29 0 29
Lincoln 20 0 20
Lyon 30 0 3 33
Mahnomen 0 19 0 19
County Central Count Hand Count Precinct Count Total Precincts
Marshall 0 60 0 60
Martin 29 0 8 37

McLeod	7	0	21	28
Meeker	29	0	1	30
Mille Lacs	23	0	2	25
Morrison	49	0	0	49
Mower	0	33	6	39
Murray	29	0	0	29
Nicollet	33	0	0	33
Nobles	40	0	0	40
Norman	0	31	2	33
Olmsted	1	0	74	75
Otter Tail	41	0	50	91
Pennington	21	0	13	34
Pine	$\overline{0}$	45	2	47
Pipestone	19	0	3	22
Polk	75	0	7	82
Pope	0	20	10	30
Ramsey	0	0	178	178
Red Lake	0	21	0	21
Redwood	40	0	3	43
Renville	37	0	0	37
Rice	0	0	33	33
Rock	24	0	0	24
Roseau	0	40	4	44
Scott	0	0	40	40
Sherburne	0	0	29	29
Sibley	0	0	24	24
St Louis	19	80	88	187
Stearns	0	18	84	102
Steele	26	0	0	26
Stevens	0	20	5	25
Swift	0	29	2	31
Todd	38	0	0	38
Traverse	0	13	7	20
Wabasha	19	0	14	33
Wadena	0	14	10	24
Waseca	22	0	0	22
Washington	0	1	83	84
Watonwan	0	18	3	21
Wilkin	0	0	31	31
Winona	47	0	0	47
Wright	0	7	32	39
Yellow Medicine	0	28	5	33

Voting Systems:

The voting method used in each precinct at the 2002 General Election included central count optical scan, precinct tabulator optical scan, and hand-counted paper ballots.

Of Minnesota's 87 counties, seven were entirely hand-count, 24 were entirely central count optical scan, 14 were entirely precinct tabulator optical scan, and the remaining 42 used a mix of counting systems.

In terms of number and percent of precincts, with 1,882 or 46 percent of all precincts, precinct tabulator optical scan was the predominant voting system used in Minnesota. Central count optical scan was the second most prevalent system with 1,530 or 37 percent of precincts. The remaining 694 or 17 percent of precincts used hand-counted paper ballots.

At the 2002 General Election, there were 1,816,028 ballots cast on precinct tabulator optical scan machines. This amounts to 80 percent of all ballots cast. A total of 375,432 ballots, or 16 percent of all ballots, were counted on central count optical scan equipment. Four percent of ballots cast, or 91,400, were hand-counted on election night.

The largest precincts in the state used precinct tabulator equipment. Central count optical scan equipment and hand counting options are used in substantially smaller precincts.

The statewide average number of people voting in each precinct is 556. Precincts using precinct tabulator optical scan voting systems average 965 voters. Precincts using central count optical scan and hand-counted paper ballots are much smaller, at 245 and 132 respectively.

There are some fairly large hand-counted precincts. Pine City in Pine County is the largest hand-counted precinct with a total of 1,253 voters. Pine, St. Louis, Grant, Big Stone, Mower, and Roseau Counties all have hand-counted precincts with over 600 voters.

Voting System Vendors:

In terms of vendors and equipment used, the largest numbers of precincts are using Election System and Software (ES&S) equipment. A total of 2,897 precincts use some model of ES&S precinct tabulating or central counting optical scan voting equipment. A total of 515 precincts use precinct tabulating optical scan voting equipment produced by Diebold and 694 precincts are hand-counted and do not use any voting equipment.

The Voting System Equipment:

ш	- C
#	OT

precincts	Model	System Type
853	Model 100	Precinct Tabulator
515	AccuVote	Precinct Tabulator
300	Optech IIIP Eagle	Precinct Tabulator
214	Optech IIIP	Precinct Tabulator
529	Model 150	Central Count
331	Model 115	Central Count
234	Optech IV	Central Count
# of		
precincts	Model	System Type
130	Model 315	Central Count
158	Model 550	Central Count
148	Various Precinct tabulators	Central Count
694	None	Hand Count

Minnesota State Plan Help America Vote Act of 2002

HAVA State Plan Development

The Federal Help America Vote Act (HAVA) of 2002, signed into law by President George W. Bush on October 29, 2002, provides the state of Minnesota an opportunity to enrich its already stellar election system. HAVA's purpose is to ensure fair elections and to empower voters to exercise their right to vote. HAVA embraces the goals of election improvement by expecting all levels of government to provide a process that:

- maintains an accurate list of citizens who are qualified to vote;
- encourages every eligible voter to effectively participate in the voting process;
- uses equipment that reliably enables voters to check their selections and registers the voter's choice:
- handles close elections in a predictable and fair way;
- operates with equal effectiveness for every citizen and community;
- displays limited and responsible federal participation; and
- requires providing voters with disabilities the ability to vote independently and in private.

The first step in the development of the State Plan was learning about HAVA and ensuring that everyone understood the federal mandates, the timeframes in which they were to be incorporated, and the resulting opportunities for Minnesota.

Office of the Secretary of State staff participated in workshops dedicated to the review and in-depth discussion of each Section of the Help America Vote Act. Staff also attended special sessions dedicated to HAVA, which were conducted by the National Association of Secretary of States (NASS) and the National Association of State Election Directors (NASED). Other states were consulted for advice and guidance to help assure that Minnesota's State Plan conforms to HAVA.

To inform the general public of HAVA, statewide press releases were distributed, and the topic of HAVA was discussed at various election official meetings.

A State Plan Advisory Committee was assembled pursuant to HAVA Section 255(a) with the role of reviewing the State Plan as it evolved, providing feedback on its content and offering their perspectives to election improvement in Minnesota. The committee consisted of a broad range of contributors representing counties, townships, municipalities, minority communities, disability communities, legislators, the governor's office, the League of Women Voters, students, and business.

On the topic of election accessibility improvements, Minnesota sought the insights, personal experiences, and suggestions from key stakeholders.

A listening session was conducted with the disabilities community to enlist and gather suggestions for ways in which Minnesota can meet the needs of voters with a full range of disabilities. Invitations were sent to over 30 agencies, and key points were gathered from various contributors including the National Federation of the Blind of Minnesota, the Minnesota State Council on Disability, Deaf & Hard of Hearing Services at the Minnesota Department of Human Services, United Cerebral Palsy of MN, the Minnesota Commission Serving Deaf & Hard of Hearing People, and students from Blind, Inc.

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HAVA Section 261 also has established a federal grant at the U.S. Department of Health and Human Services to establish, expand, and improve methods to ensure participation in the election process by people with disabilities. Minnesota has applied for this grant, and key points from the listening session were incorporated into the grant application.

A listening session was held with Minority communities. Some of the attendees included the Metropolitan Economic Development Association (MEDA), India Association of Minnesota, Council on Asian Pacific MN, as well as representatives from the African-American, Hispanic, and other Asian communities.

Legislation was passed creating an account in the state treasury into which all HAVA funds are being deposited and credited. (Laws 2003, First Special Session, Chapter 7) The benefits of this account are to house the funds separately to ensure it is used exclusively for election improvement and to assist the annual audit effort.

The State Plan was published and available for public comment during the comment period of June 9 through July 9, 2003, as required by HAVA, Section 256, which states:

For purposes of Section 251(a)(1)(C), a State plan meets the public notice and comment requirement of this Section if--

- (1) not later than 30 days prior to the submission of the plan, the State made a preliminary version of the plan available for public inspection and comment;
- (2) the State publishes notice that the preliminary version of the plan is so available; and
- (3) the State took the public comments made regarding the preliminary version of the plan into account in preparing the plan, which was filed with the Commission.

Legislation was prepared during the 2003 legislature by the Office of the Secretary of State to conform Minnesota state election laws to the specific, applicable requirements of the HAVA federal election law. One of the objectives of the legislation is to establish a single voter registration and election administration process that applies to all elections conducted in the state, rather than a dual system with separate processes for elections of federal offices and those for non-federal offices, which might be required if no state HAVA-conformity legislation is enacted. The legislation, HF 1006, was passed by the State House of Representatives, but was not passed by the State Senate. This legislation can still be considered by the 2004 legislature, which convenes in February 2004. Passage would avoid or minimize voter confusion and the administrative complexity of maintaining two processes.

To define the details of the plan, work groups are being formed to give input to help to analyze, identify, and clarify the work effort. Various work groups may be established for the Statewide Voter Registration System, polling place ADA compliance, election judge training regarding disabilities, same-day registration, minority issues, and voter education.

Implementation Components

Section 1 Use of Requirements Payment Funds to meet Title III

Section 1 of the Minnesota State Plan describes "how the State will use the requirements payment to meet the requirements of Title III, and, if applicable under Section 251(a)(2) *sic*, to carry out other activities to improve the administration of elections" as required by Public Law 107-252, Help America Vote Act of 2002, Section 254(a)(1).

To meet the requirements of Title III, Minnesota will expend funds from the State HAVA account established by the 2003 Minnesota state legislature as directed by the legislature. (Laws 2003, First Special Session, Chapter 7, Sections 1 and 3)

Requirements payment expenditures will be used for the Title III purposes as described in State Plan Sections 1.1 through 1.7, by expenditures for:

- equipment, software, technical or physical infrastructures, materials, services, salaries, overhead;
- other expenses related to the activities described in this Section;
- planning, development, implementation, documentation, maintenance and operation, and administration of the activities; and
- outreach, education, and training to promote the activities.

After certification by the State of Minnesota to the Election Assistance Commission that the requirements described in Title III of HAVA have been met, requirements payments received and earnings accrued in the fund may be expended for other purposes related to the improvement of the administration of federal elections, HAVA Section 251(b)(2), subject to legislative appropriation.

1.1 Voting System Standards

Minnesota will use requirements payment funds for the implementation of a uniform, statewide voting system with locally-owned, precinct-based, optical scan equipment, and direct recording electronic voting technology or other voting system equipped for individuals with disabilities to bring each polling place into compliance with the voting system standards outlined in Title III of HAVA.

To meet Minnesota and HAVA voting system standards, Minnesota will:

- maintain certification standards to ensure that only systems meeting or exceeding the voting system standards in HAVA Section 301 may be certified for use in Minnesota;
- pursue legislation to codify the requirement that voting systems certified in Minnesota meet Federal Election Commission (FEC) standards, including FEC standards for error rates;
- pursue legislation to enable certification and use of direct recording electronic voting systems or other voting system equipped for individuals with disabilities that provide accessibility, privacy and independence for individuals with disabilities;
- use requirements payments funding to bring polling places into compliance with the voting system standards outlined in HAVA Section 301; and

• develop and distribute educational materials and voting instructions on voting procedures, voting rights, and voting technology.

1.2 Standards to Define Votes Counted by Equipment Type

For each category of voting system certified for use in Minnesota, the Office of the Secretary of State as required by HAVA Section 301(a)(6) will propose uniform and nondiscriminatory standards that define what constitutes a vote on each voting system and what will be counted as a vote.

1.3 Provisional Voting Requirements

Minnesota is exempt from the provisional voting requirements of the National Voter Registration Act (NVRA). Minnesota satisfies the requirements of HAVA, Section 302(a), through the use of election-day voter registration procedures established under Minnesota State law. (*Minn. Stat. Section* 201.061).

1.4 Voters Who Vote After the Polls Close

Minnesota State law (*Minn. Stat. Section* 204B.47) authorizes the Secretary of State to establish alternate procedures as necessary to administer a court order affecting the conduct of elections. The Secretary of State as required by HAVA Section 302(c) will develop procedures to administer voting in instances when voting hours have been extended by a court beyond the time established by Minnesota State law.

1.5 Voting Information Requirements

The Office of the Secretary of State will develop, produce, and distribute materials and example posters and make them available for posting on Election Day.

To the extent that additional, supplementary, or new materials are necessary to enable each polling place to meet voting information requirements mandated in HAVA Section 302(b), those materials will be developed, produced and distributed.

Minnesota is exempt from the requirements of 42 U.S.C.1973 aa-1a and 28 CFR Part 55 with respect to requirements to provide minority language materials and assistance, including election assistance, information, ballots and other materials in languages other than English. See Appendix to 28 CFR Part 55, which lists designated jurisdictions. Minnesota does not appear in that appendix as a designated jurisdiction.

1.6 Uniform Statewide Voter Registration System

The State of Minnesota will plan, develop, and implement a statewide voter registration system to meet all HAVA Title III requirements.

The system will, as required by HAVA Section 303:

- provide a unique identifier for every voter in the system;
- coordinate with other Minnesota State agencies databases to permit verification of registration data;

Minnesota State Plan Help America Vote Act of 2002

- identify ineligible registrants;
- provide increased system access for local election administrators;
- permit the administration of requirements for voters who register by mail; and
- accommodate the use of Minnesota driver license numbers and Social Security information as identifiers in voter records.

System development will also modify existing systems that interface with the statewide voter registration system elements and functionalities to preserve system integrity, ensure quality, and to be sufficiently robust to support increases in the number of users.

The Office of the Secretary of State will coordinate database information with other Minnesota State agencies, particularly the Minnesota Department of Public Safety to improve processing of voter registration applications, and the Minnesota Department of Health, to remove deceased registrants from voting rosters.

The Office of the Secretary of State will:

- provide information and training support to county officials for voter registration data entry;
- develop technology to process registration and voter history information in an expedited basis as well as training to use the technology:
- provide for security measures in the system to preclude unauthorized system access; and
- ensure that all applicable Minnesota State laws meet voter list maintenance requirements in HAVA Section 303.

1.7 Voter Registration Cards

Minnesota voter registration cards as required by HAVA Section 303(a)(5)(A)(i) will accommodate Minnesota driver license numbers and the last four digits of Social Security numbers and any other HAVA-required information. Minn. Stat. Section 201.071, subd. 1 already authorizes the use of NVRA forms for voter registration in Minnesota.

Section 2 Distribution and Monitoring Distribution of Requirements Payment

Section 2 of the Minnesota State Plan describes "how the State will distribute and monitor the distribution of the requirements payment to units of local government or other entities in the State for carrying out the activities described in paragraph (1), including a description of (A) the criteria to be used to determine the eligibility of such units or entities for receiving the payment; and (B) the methods to be used by the State to monitor the performance of the units or entities to whom the payment is distributed, consistent with the performance goals and measures adopted under paragraph (8)" as required by Public Law 107-252, Help America Vote Act of 2002, Section 254(a)(2).

2.1 Distribution and Monitoring Distribution of Requirements Payments

The Office of the Secretary of State as required by HAVA Section 254(a)(2) will develop statewide standards for complying with HAVA requirements. The expenditure of funds will be based on availability of State and federal funds deposited in the HAVA account. The Office of the Secretary of State will centrally administer expenditures funded through HAVA to meet the requirements of HAVA and fulfill initiatives in accordance with the State Plan. The use of funds will be consistent with the State budget plan described in HAVA Section 254(a)(6).

Requirements payment funds will be paid out based on the priorities referenced in Section 6.2 of the State Plan, with the funds distributed proportionately depending on the funding available and legislative authorization. Voter registration statistics and election-related expenditures at the time of 2002 General Election or the most recent State General Election, and for existing voting systems may be taken into consideration for any expenditure of funds for local governments and other entity's initiatives.

Any expenditure of funds for the initiatives of local governments or other entities in Minnesota will be in accordance with an agreement detailing the use of the funds. The Secretary of State may revise the State Plan as needed.

2.2 Method Used to Monitor the Performance of Recipients of Requirements Payments

If the units or other entities receive payments, the State will monitor the performance of the units or entities consistent with the performance goals and measures adopted under Section 8 of the State Plan.

Section 3 Training and Education

Section 3 of the Minnesota State Plan describes "how the State will provide for voter education, election official education and training, and poll worker training which will assist the State in meeting the requirements of Title III" as required by Public Law 107-252, Help America Vote Act of 2002, Section 254(a)(3).

Minnesota's HAVA funding will allow the state to increase its outreach and communications program to educate the voting public. The Office of the Secretary of State will utilize a multitude of media options in the method of voter education, including the following:

- public notices and public service announcements;
- publications (such as brochures);
- speeches and presentations;
- continuous direct contact with the statewide media;
- toll-free telephone system for voters to obtain their polling place location and other information; and
- electronic voter guides.

3.1 Programs for Voter Education

The Office of the Secretary of State will produce instructional posters for use in polling places and other educational materials containing instructions for voter registration and election procedures pursuant to Minnesota State Law (Minn. Stat. Section 204B.27) and HAVA Title III. Polling place materials will contain information needed by voters to cast their ballots and indicate the types of assistance available for elderly voters, voters with disabilities, and other voters needing assistance registering and voting.

Voter education information may be distributed by the Office of the Secretary of State using means such as public service announcements, brochures, posters, a toll-free telephone number, or a website (www.sos.state.mn.us).

The Office of the Secretary of State will ask system vendors to collaborate with staff in the production of clear, graphically driven pamphlets and brochures that will inform voters on how the voting devices work. The Office of the Secretary of State will investigate the idea of providing simulators and internet-based simulation of new voting devices to voters so they have an opportunity to view the new technology before they enter the voting booth to cast their official ballots on Election Day.

The Office of the Secretary of State will coordinate voter education and awareness efforts with Minnesota's Native Americans and other minority groups. The Office of the Secretary of State will target voter education efforts to address the needs of the disabled community, individuals with alternative language considerations, and the state's large college student population. The Office of the Secretary of State will enlist stakeholders to help work with media and community groups, political organizations, schools, and similar groups to communicate these changes and carry the state's messages about election improvements resulting from the implementation of HAVA.

Minnesota is exempt from the requirements of 42 U.S.C.1973 aa-1a and 28 CFR Part 55 with respect to requirements to provide minority language materials and assistance, including election assistance, information, ballots and other materials in languages other than English. See Appendix to 28 CFR Part 55, which lists designated jurisdictions. Minnesota does not appear in that appendix as a designated jurisdiction.

3.1.a Information on How to Cast a Vote

The voter education program will include information on how to cast a vote on the voting system used in the polling place. The polling place materials will:

- instruct voters of the effect of casting multiple votes for an office;
- provide instructions on how to correct a ballot before it is cast and counted; and
- include instructions on how to receive a replacement ballot if the voter is unable to correct the error.

The Office of the Secretary of State will:

- investigate the development of an Internet online tutorial (website application which would display a voter's precinct number, polling place location, offices and issues on the ballot, type of voting system, and instructions on how to use the voting system that exists in the precinct); and
- develop a program for each type of voting system to educate the voter on what constitutes a legal vote for each type of voting system, and how to cast a ballot correctly for each type of voting system, and to provide on the Secretary of State website an interactive county map with specific county information.

3.1.b Information on Absentee Balloting

The Office of the Secretary of State will modify example instructions to absentee voters to include information from the voter education program. Under Minnesota State law (*Minn. Stat. Section* 203B.07), instructions provided by the Office of the Secretary of State must also be provided to voters who vote by absentee ballot.

3.1.c Information on Election Procedures

The Office of the Secretary of State will develop and provide educational materials and instructions or example educational materials and instructions for display in polling places. Materials suitable for posting will contain information for voters including:

- an example version of the ballot used for that election;
- the date of the election and the hours during which the polling place is open;
- instructions on how to register to vote;
- instructions for mail-in registrants and first-time voters under HAVA Section 303(b);
- instructions on how to vote, including how to cast a vote and the Election Day registration process;
- general information on voter rights under applicable federal and Minnesota State laws, including information on the right of an individual to register on Election Day by using the Election Day registration process and information on how to contact the proper officials if these rights are alleged to have been violated; and

• general information on federal and Minnesota State laws prohibiting voter fraud and misrepresentation.

3.1.d Review of Voter Education Efforts

Understanding more about voter behavior and non-voter behavior is a proactive step to fully embrace the spirit, intent, principles and objectives of the Help America Vote Act. Innovation is important to understand voter needs and to view our election process through the eyes of the "consumer." Information will be collected from sample voters to guide the development of relevant and meaningful training materials for election officials and poll workers and in developing voter education materials for future elections. Research suggests that get-out-the-vote messages are rendered more effective when they include voter education components—e.g., information on the technical aspects of how to cast a ballot.

Therefore, the Office of the Secretary of State will:

- create public service announcements designed specifically to entice first-time voters to the polls and to educate them on what to expect;
- collaborate with researchers to conduct communication and voter behavior research aims to learn more about people's decisions to participate or not to participate in the election process and to determine if there are programs and initiatives that can be implemented, messages conveyed, or means of communicating that entice people to the polls and prepare them for the voting experience;
- share findings nationally as potential best practices to assist other state election administrators in understanding what messages and strategies are most effective; and
- promote elementary and high school civic education.

3.2 Election Official Education and Training

The Office of the Secretary of State will produce materials for dissemination to local government officials outlining the new requirements established by HAVA. The Office of the Secretary of State will also incorporate information on procedural and legal changes resulting from the requirements of HAVA and changes in Minnesota Election Law into the Election Training Program and supporting materials.

Pursuant to Minnesota State Law (*Minn. Stat. Section* 204B.25 and *Minn. Rules chapter* 8240), county auditors, municipal clerks, and school district clerks will be trained and certified to administer elections. The Office of Secretary of State will provide direct consultation and support for the training of municipal and school district election administrators.

The Office of the Secretary of State will produce and distribute, example educational materials for use in training programs for local election officials.

The Office of the Secretary of State will provide:

- conferences and updated materials for county auditors and county election staff;
- periodic training for city, township, and school district clerks responsible for the conduct of elections; and
- direct consultation and support for the training of city, township, and school district clerks.

The Office of the Secretary of State will develop and provide example training and educational materials suitable for use in training programs for local election officials that contain information on:

- how to use the statewide voter registration system;
- how to conduct voter and election judge training;
- voting system equipment and software operation, maintenance, storage, and programming;
- ballot testing, logic and accuracy testing, and information related to the implementation of new and additional optical scan and direct recording electronic voting systems or other voting system equipped for individuals with disabilities;
- how to set up, prepare for use, operate, troubleshoot, and close voting systems on Election Day;
- the responsibility of local election officials to provide election judges with the materials specified in Section 3.1 of the State Plan and that are to be posted in polling places on Election Day; and
- how to use technology to process registration and voter history information in an expedited basis.

3.3 Election Judge Training

Pursuant to Minnesota State Law (*Minn. Stat. Section* 204B.25 and *Minn. Rules chapter* 8240), election judges who work in polling places on Election Day are required to be trained and certified to administer elections.

County auditors and city clerks will train election judges to administer elections in the manner required by HAVA and Minnesota State law. The Office of the Secretary of State will produce election judge training materials for use by election judge trainers. The Office of the Secretary of State will provide direct consultation and support for the training of election judges.

The Office of the Secretary of State will develop and provide HAVA-compliant example training and educational materials suitable for use in election judge training programs conducted by local election officials. These materials will contain the following information and instructions:

- how to setup, prepare for use, initiate, operate, troubleshoot, and close voting systems on Election Day;
- how to instruct voters in the operation of voting equipment in the polling place;
- the posting of materials, specified in Section 3.1 of the State Plan, that are required to be posted in the polling place on Election Day;
- how to assist voters with disabilities;
- how to assist new voters; and
- how to address issues surrounding the need for accurate understanding of the voting process
 with individuals who lack experience in voting, limited proficiency in the English language,
 cultural diversity or other matters.

3.4 Election Judge Trainee

The Office of the Secretary of State will promote and provide materials and resources for an election judge training program.

Section 4 Adoption of Voting System Guidelines and Processes

Section 4 of the Minnesota State Plan describes "how the State will adopt voting system guidelines and processes that are consistent with the requirements of Title III" as required by Public Law 107-252, Help America Vote Act of 2002, Section 254(a)(4).

4.1 Voting System Guidelines and Certification Processes

Minnesota will implement voting system certification standards that are consistent with requirements outlined in HAVA Section 301(a)(1)(A) and (C) and Section 301(a)(2) and (3). Those Sections read:

SEC. 301. VOTING SYSTEMS STANDARDS.

- (a) REQUIREMENTS.—Each voting system used in an election for Federal office shall meet the following requirements:
- (1) IN GENERAL.—
- (A) Except as provided in subparagraph (B), the voting system (including any lever voting system, optical scanning voting system, or direct recording electronic system) shall—
 - (i) permit the voter to verify (in a private and independent manner) the votes selected by the voter on the ballot before the ballot is cast and counted;
 - (ii) provide the voter with the opportunity (in a private and independent manner) to change the ballot or correct any error before the ballot is cast and counted (including the opportunity to correct the error through the issuance of a replacement ballot if the voter was otherwise unable to change the ballot or correct any error); and
 - (iii) if the voter selects votes for more than one candidate for a single office—
 - (I) notify the voter that the voter has selected more than one candidate for a single office on the ballot;
 - (II) notify the voter before the ballot is cast and counted of the effect of casting multiple votes for the office; and
 - (III) provide the voter with the opportunity to correct the ballot before the ballot is cast and counted.

* * *

- (C) The voting system shall ensure that any notification required under this paragraph preserves the privacy of the voter and the confidentiality of the ballot.
- (2) AUDIT CAPACITY.—
- (A) IN GENERAL.—The voting system shall produce a record with an audit capacity for such system.
- (B) MANUAL AUDIT CAPACITY.—
 - (i) The voting system shall produce a permanent paper record with a manual audit capacity for such system.
 - (ii) The voting system shall provide the voter with an opportunity to change the ballot or correct any error before the permanent paper record is produced.

(iii) The paper record produced under subparagraph (A) shall be available as an official record for any recount conducted with respect to any election in which the system is used.

(3) ACCESSIBILITY FOR INDIVIDUALS WITH DISABILITIES.— The voting system shall—

- (A) be accessible for individuals with disabilities, including nonvisual accessibility for the blind and visually impaired, in a manner that provides the same opportunity for access and participation (including privacy and independence) as for other voters; (B) satisfy the requirement of subparagraph (A) through the use of at least one direct
- (B) satisfy the requirement of subparagraph (A) through the use of at least one direct recording electronic voting system or other voting system equipped for individuals with disabilities at each polling place; and
- (C) if purchased with funds made available under title II on or after January 1, 2007, meet the voting system standards for disability access (as outlined in this paragraph).

Under current Minnesota State law (*Minn. Stat. Sections* 206.57–206.58 and *Minn. Rules chapters* 8220–8230), voting systems must be examined and certified by the Office of the Secretary of State before being adopted for use in Minnesota. An application for voting system examination must be accompanied by a certification from an approved Independent Testing Authority attesting to the conformance of the system to the standards for voting equipment issued by the Federal Election Commission (including standards for error rates).

Applications for examination must also be accompanied by:

- complete specifications for system hardware, firmware, software, related services that may be purchased separately or bundled as part of a purchased package, materials and supplies;
- all system documentation including technical manuals and instructional materials;
- vendor past history in implementation, installation and use of equipment;
- a current list of all jurisdictions where the equipment has been used or certified;
- all information, materials, and procedures required by Minnesota Statutes and Rules; and
- all other information and materials as requested by the Office of the Secretary of State.

Before certification of any voting system in Minnesota, designees of the Office of the Secretary of State must attend an acceptance demonstration conducted by the vendor to verify that the system operates in compliance with Minnesota State law and procedures. The designees of the Office of the Secretary of State must observe the system in operation under conditions closely simulating an election. The Office of the Secretary of State may impose additional testing and technical evaluation.

4.2 Current Voting System Requirements - Paper Ballots

Minnesota law currently sets a number of specific requirements for voting systems in statute and rule.

Under Minnesota Statutes, Sections 206.55 to 206.90, all voting systems that are not traditional, manually counted paper ballot systems must be certified in advance for use by the Office of the Secretary of State. At the current time, only optical scan systems have been so certified.

Changes from the current voting system requirements must be approved by the legislature as an amendment to current Minnesota law before they can be implemented. To permit a non-paper ballot

direct recording electronic voting system, the legislature must approve language amending Minnesota Statutes, Chapter 206 and Minnesota Rules, Chapter 8220.

All votes in Minnesota, other than those in pilot projects specifically authorized under Section 206.81, are currently required to be cast by marking paper ballots of one kind or another.

All optical scan voting systems in use in Minnesota are required to use ballot cards in connection with voting. Current law requires that all electronic voting systems in Minnesota are voted by marking a paper ballot card (Section 206.56, subd. 5).

4.3 Current Voting System Requirements: Audit Trail

Existing Minnesota law also sets forth strict requirements as to audit trail for ballots.

Minnesota Rules, part 8220.0250, Subp. 1a, defines the audit trail as including: "any documentation of changes made to voting system programming, the incident report, and the report generated by an electronic voting system on election day."

Furthermore, Rule 8220.0450 more specifically requires the following features on each and every voting system in Minnesota:

- C. full audit capability, with an audit trail, which includes a printout of overvotes and undervotes for each office and issue, and with the undervotes recorded directly from the ballots and not determined by subtraction of totals from ballots that were not overvoted; ...
- G. the production of reports, which include vote totals and all statistics and other information required by the secretary of state;
- H. simulation of vote counting involving a configuration of the largest number of voters, precincts, offices, and candidates with which the system is expected to be used, which vote counting includes ballots showing overvotes, undervotes, and invalid votes as well as those with no overvotes or stray marks, in many different combinations, and demonstrates rotation sequences and the ability to count votes cast on the partisan, nonpartisan, and proposal sections of the ballot independently;
- I. accuracy of vote counting and procedures or process for testing accuracy;
- J. provisions for maintaining the security and integrity of elections.

Minnesota Rules, Chapter 8220 sets forth numerous other requirements for electronic voting systems, which would include all voting systems proposed to be purchased under this Plan, including Part 8220.0750, which regulates the computer program to be used in counting the votes.

Any changes from the current voting system audit trail requirements must be adopted in rule or approved by the legislature as an amendment to current Minnesota law before they can be implemented.

4.4 Voting System Administrative Processes

The Office of the Secretary of State will adopt voting systems guidelines and processes consistent with the voting systems standards required by HAVA Section 301 as well as state law.

4.5 Direct Recording Electronic Voting System Simulation Project

HAVA, Section 301(a)(3)(b) has mandated that direct recording electronic voting systems, or other voting system equipped for individuals with disabilities (assistive voting technology or AVT), be added to each polling place in Minnesota for elections for federal office occurring after January 1, 2006.

All election administration procedures must be in place prior to complete implementation of direct recording electronic or AVT voting systems in polling places by 2006. A simulation election is planned for November 2003 to replicate the election administration processes and procedures necessary for the incorporation of direct recording electronic or AVT voting systems in Minnesota elections. The simulation election will be overseen by the Office of the Secretary of State and conducted by local election officials. The simulation election will include all administrative steps necessary for inclusion of direct recording electronic or AVT voting systems in Minnesota elections. The simulation election will not accumulate actual votes but will allow voters to operate voting equipment in the polling place to cast simulation ballots. The simulation will be used to evaluate election administration procedures, including polling place procedures, for using direct recording electronic or AVT voting systems.

The processes and procedures used in Minnesota elections assure the election integrity and accuracy. The direct recording electronic or AVT voting systems will provide for voter access and privacy for voters with disabilities, including visually impaired voters and voters with low vision.

Section 5 State Fund for Administering Minnesota's Activities

Section 5 of the Minnesota State Plan describes "how the State will establish a fund described in subsection (b) for purposes of administering the State's activities under this part, including information on fund management" as required by Public Law 107-252, Help America Vote Act of 2002, Section 254(a)(5).

5.1 Establishment of State Election Fund

The Minnesota legislature created an account in law to receive federal funds transferred to Minnesota under HAVA. The account is specifically for HAVA purposes only, is specifically compliant with Section 254(b), and is in effect as of the time of the submission of the State Plan. (See Laws 2003, First Special Session, Chapter 7.) HAVA provides that the funds deposited in the account and earnings accrued may be used for a variety of election purposes, including training election officials, educating voters, developing and implementing a HAVA-compliant statewide voter registration system and buying or developing voting systems. The account will also contain any State funds appropriated for HAVA purposes.

The State law establishes that funds previously expended on compliant voting equipment constitute the five percent match requirement that applies to the requirements payments of the HAVA authorized federal funds.

5.2 Fund Management

Laws 2003, First Special Session, Chapter 7 appropriates to the Office of the Secretary of State funds to be used for election administration purposes set forth in that legislation that are consistent with HAVA and the State Plan certified by the Governor. Federal money deposited in the account, and earnings accrued, carries over from one fiscal year to the next. The account is effective retroactively to the full extent permitted by HAVA.

Section 6 Minnesota's Proposed Budget

Section 6 of the Minnesota State Plan describes "the State's proposed budget for activities under this part, based on the State's best estimates of the costs of such activities and the amount of funds to be made available, including specific information on:

- (A) The costs of the activities required to be carried out to meet the requirements of Title III;
- (B) The portion of the requirements payment which will be used to carry out activities to meet such requirements; and
- (C) The portion of the requirements payment that will be used to carry out other activities" as required by Public Law 107-252, Help America Vote Act of 2002, Section 254(a)(6).

6.1 Minnesota's Anticipated Federal and State Funds

Fiscal Year	Federal Funds	Federal Funds	Minnesota	5% Match
	Authorized	Appropriated	Share*	
2003 Title II	\$1,400 million	\$830 million	\$14.2 million	\$712,000
2004	\$1,000 million	\$500 million**	\$8.5 million***	\$410,000***
2005	\$600 million	Unknown	***	***

^{*} Minnesota's share is based on a HAVA formula using a voting age population of 1.71 percent of total US voters. Figures are estimates.

Federal funds listed above include all money available to the 50 states, U.S. territories, and other entities with funding authorization through HAVA. Early payments and fiscal year 2003 values include the funds appropriated in 2002.

6.2 Costs of Activities Required by Title III

The State will use requirements payment funds to meet the requirements of HAVA Title III. These funds will be expended to develop or purchase uniform statewide voting equipment and systems, including related expenses, and the purchase of county-owned, optical scan precinct tabulators, voting equipment and direct recording electronic or AVT recording technology voting system equipped for individuals with disabilities.

It is recognized that accessible, accurate, and efficient election administration and the voter registration system in Minnesota requires the coordinated resources and efforts of the state, counties, cities, towns, and school districts. Because of this, it is further recognized that funds received under HAVA will be used to assist all jurisdictions to achieve the goals specified by HAVA and the Minnesota State Plan.

Funds will be used for HAVA-compliant voter registration system development. These funds will be used to plan, develop, and implement a statewide voter registration system that meets HAVA Title III requirements, including all the items specified in Section 1 of the State Plan and items required by Minnesota Election Laws.

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^{**}For federal fiscal year 2004, the President's budget proposal includes a placeholder of about \$500 million for all HAVA activities.

^{***}Figure will change depending on the actual appropriation, the proportional funding of Title III requirements, and the MN State match.

Funds will be used to update and conduct the Election Training Program as described in Section 3 of the State Plan. Educational and training materials and information developed and distributed to election administrators and election judges as required by HAVA, and materials and information about changes in Minnesota Election Law as the result of changes required by HAVA, will be included in the expenditures of requirements payment funds as described in Section 3 of the State Plan. The voter education programs necessary to implement new voting technology are included in this category of requirements payment expenditures.

As described in Section 1 of the State Plan, administrative costs will cover:

- changes due to the requirements in HAVA;
- technology planning and improvements;
- changes to the Election Night Reporting System to make that system compatible with the HAVA-compliant voter registration system;
- polling place infrastructure upgrades;
- other expenditures to implement the requirements of Title III of HAVA; and
- voter information and education programs as described in Section 3 of the State Plan.

Activity	Estimated Cost
Voter registration system enhancements	\$5 – 10 million
Election official training, election judge training, and voter	\$2 – 5 million
education	
Administrative costs	\$1.25 million
Technology planning and improvements	\$0.6 – 1.1 million
Voter information and education program	\$0.5 – 1 million
Vote tabulating equipment and systems	\$30 million
Total	\$39.35 – 48.35 million

As mentioned in Section 2.1 of the State Plan, funds will be paid out based on these priorities, with the funds distributed proportionately depending on the funding available.

6.3 Portion of Requirements Payments for Other Activities

An amount up to one-half of one percent may be reserved for activities that are consistent with other laws and requirements as provided in HAVA Section 101(c). The use of these funds will be determined by the Office of the Secretary of State and will be used to pay for expenses related to the improvement of the administration of federal elections and to fulfill initiatives in accordance with the State Plan. These may include any expenses for the planning, development, implementation, documentation, maintenance and operation, and administration of election activities, and for outreach, education, training, and promotion of election activities.

Funding shall be provided for an increased outreach and education effort to encourage voters to register prior to the pre-registration cutoff date and/or Election Day, thus easing the administrative work involved with processing Election Day information on an expedited basis as required in HAVA (Section 303, Section (a)(1)(vi)).

6.4 Use of Requirements Payment after Certification that Minnesota Has Met the Requirements Described in Title III of HAVA

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After certification by the State of Minnesota to the Election Assistance Commission that the requirements described in Title III of HAVA have been met, requirements payments received or remaining, and earnings accrued in the fund, may be expended for other purposes related to the improvement of the administration of federal elections.

Requirements payment expenditures will be used subject to legislative approval for equipment, software, technical or physical infrastructures, materials, services, salaries, overhead, and any other expenses related to the activities described in Section 1 of the State Plan. This may include any expenses for the planning, development, implementation, documentation, maintenance and operation, and administration of the activities, for outreach, education, and training to promote the activities, and for other purposes related to the improvement of the administration of federal elections.

6.5 Use of Earnings Accrued on Requirements Payment in State Election Fund

Earnings accrued on requirements payment deposited in the State Election Fund as described in Section 5 of the State Plan may be used subject to legislative approval for other purposes related to the improvement of the administration of federal elections including expenditures for equipment, software, technical or physical infrastructures, materials, services, salaries, overhead, and any other expenses related to the activities described in Section 1 of the State Plan to fulfill initiatives in accordance with the State Plan.

These additional expenses may include any expenses for the planning, development, implementation, documentation, maintenance and operation, and administration of the activities, for outreach, education, training, and promotion of the activities, and for other purposes related to the improvement of the administration of federal elections.

Section 7 Maintenance of Effort

Section 7 of the Minnesota State Plan describes "how the State, in using the requirements payment, will maintain the expenditures of the State for activities funded by the payment at a level that is not less than the level of such expenditures maintained by the State for the fiscal year ending prior to November 2000" as required by Public Law 107-252, Help America Vote Act of 2002, Section 254(a)(7).

7.1 State Maintenance of Effort

State funding for activities for which requirements payments are used will not be reduced below the fiscal year 2000 State expenditure level. In addition, the State will expend funds above that base expenditure level generally to meet the requirements of HAVA Title III and improve the administration of federal elections.

The maintenance of effort amount is based on expenditures in fiscal year 2000 for items or activities now required by HAVA Title III including:

- those activities in 2000 necessary to meet the requirements including expenditures for equipment, software, technical and physical infrastructures, materials, services, salaries, overhead; and
- other expenses in 2000 related to the requirements including expenditures for the planning, development, documentation, maintenance and operation, administration of the requirements, and for outreach, education, and training to promote the items and activities now required by HAVA Title III.

Section 8 Development and Adoption of Performance Goals and Measures

Section 8 of the Minnesota State Plan describes "how the State will adopt performance goals and measures that will be used by the State to determine its success and the success of units of local government in the State in carrying out the plan, including timetables for meeting each of the elements of the plan, descriptions of the criteria the State will use to measure performance and the process used to develop such criteria, and a description of which official is to be held responsible for ensuring that each performance goal is met" as required by Public Law 107-252, Help America Vote Act of 2002, Section 254(a)(8).

8.1 Development and Adoption of Performance Goals

The Office of the Secretary of State will develop and adopt performance goals for the implementation of the requirements of HAVA Title III and the various elements of the State Plan. The Office of the Secretary of State will collect input from county auditors and municipal election officials in the development of the goals. The goals will be reviewed and edited to reflect collected input, successes and completion of elements of the State Plan, and the availability of State and federal funds.

The goals will be set to measure successes related to the voting system standards, voting information requirements, the uniform statewide voter registration system, voter registration cards, voting system guidelines and certification processes, voting system administration processes, programs for voter education, election official education and training, and election judge training.

The Office of the Secretary of State will develop measures to evaluate the performance and successes toward meeting goals. The measures will contain criteria by which to evaluate the correct, complete, and timely performance of each goal. Tasks will be allocated to state or local officials as provided in Minnesota Election Law, if the responsible official is specified in law. Where responsible officials are not specified, the Office of the Secretary of State will solicit input from county auditors and municipal election officials and will specify the responsible official.

The performance goals will include specific deadlines for the completion of various tasks and goals to meet the requirements of HAVA Title III and the various elements of the State Plan.

Section 9 Administrative Complaint Procedures

Section 9 of the Minnesota State Plan provides "a description of the uniform, nondiscriminatory State-based administrative complaint procedures in effect under section 402" as required by Public Law 107-252, Help America Vote Act of 2002, Section 254(a)(9).

9.1 Establishment of Uniform, Nondiscriminatory State-based Administrative Complaint Procedure

A uniform, nondiscriminatory, state-based complaint system is being administered by the Office of the Secretary of State.

9.2 Overview of Complaint Procedure

The Office of the Secretary of State administers the complaint procedure, enacted in Laws 2003, First Special Session, Chapter 7, Section 2 and which is now in effect. The procedures provide for the review of complaints related to:

- voting system standards;
- computerized statewide registration lists and equipment;
- voter registration requirements; and
- other features of State implementation of Title III of the Help America Vote Act of 2002.

The Office of the Secretary of State will provide forms on which complaints may be filed. The forms require the signature of the complainant, an affidavit and notarization, and the attachment of supporting documentation.

The Office of the Secretary of State will process notarized, written complaints. The complaint must be signed and sworn to by the person filing the complaint. The Office of the Secretary of State will review the notarized, written complaints. Election judges are to be deemed notaries public for purposes of this complaint procedure.

9.3 Procedure for Complaints Concerning a Town, City, School, or County Employee or Official

If the person files a complaint concerning a town, city, school, or county employee or official the procedure is:

- 1. A complaint is filed with the Office of the Secretary of State;
- 2. The Office of the Secretary of State sends a copy of the complaint to the election official in the town, city, school district, or county named;
- 3. The election official, receiving the copy, either:
 - a. reaches an agreement with the complainant within 20 days; or
 - b. files a response to the complaint with the Office of the Secretary of State;
- 4. If the election official cannot reach an agreement and files a response to the complaint, then:
 - a. the Office of the Secretary of State will provide a copy of the response to the person filing the complaint; and
 - b. will provide the person filing the complaint an opportunity for hearing on the record. If a hearing is requested, the election official is notified and given an opportunity to participate;
- 5. The Office of the Secretary of State shall issue a final ruling, and, if necessary, a remedial plan within 90 days of receipt of the initial complaint;

- 6. If the Office of the Secretary of State does not issue a ruling within 90 days of receipt of the initial complaint, the Office of the Secretary of State will provide alternative dispute resolution:
- 7. The alternative dispute resolution process must be completed within 60 days of its commencement; and
- 8. Determinations by the Office of the Secretary of State or in alternative dispute resolution involving local election employees or officials may be appealed to the district court for the county in which the local election employee or official is employed.

9.4 Procedure for Complaints Concerning the Office of the Secretary of State

If the person files a complaint concerning the Office of the Secretary of State, the general procedure is:

- 1. A complaint is filed with the Office of the Secretary of State;
- 2. The Office of the Secretary of State sends a copy of the complaint to the Office of Administrative Hearings (OAH);
- 3. The Office of the Secretary of State either:
 - a. reaches an agreement with the complainant within 20 days; or
 - b. files a response to the complaint with the Office of Administrative hearings;
- 4. If the Office of the Secretary of State cannot reach an agreement and files a response to the complaint, then:
 - a. the OAH will provide a copy of the response to the person filing the complaint; and
 - b. provide the person filing the complaint an opportunity for a hearing. If the informal hearing is requested, the Office of the Secretary of State is notified and given an opportunity to participate;
- 5. The OAH shall issue a final ruling, and, if necessary, a remedial plan within 90 days of receipt of the initial complaint;
- 6. If the OAH does not issue a ruling within 90 days of the initial complaint, the OAH will provide alternative dispute resolution;
- 7. The alternative dispute resolution process must be completed within 60 days of its commencement; and
- 8. Determinations by the OAH involving the Office of the Secretary of State are subject to appellate review.

Section 10 Title I Payments

Section 10 of the Minnesota State Plan provides, "if the State received any payment under Title I, a description of how such payment will affect the activities proposed to be carried out under the plan, including the amount of funds available for such activities" as required by Public Law 107-252, Help America Vote Act of 2002, Section 254(a)(10).

10.1 Use of Title One Payments

The State of Minnesota will use HAVA Title I funds to plan, develop, and implement a uniform statewide voter registration system to meet HAVA Title III requirements.

Minnesota's Anticipated Federal and State Funds:

Fiscal Year	Federal Funds	Federal Funds	Minnesota	5% Match
	Authorized	Appropriated	Share*	
2003 Title I	\$650 million	\$650 million	\$5.3 million	Not required

^{*} Minnesota's share is based on a HAVA formula using a voting age population of 1.71 percent of total US voters. Figures are estimates.

The system will:

- provide a unique identifier for every voter in the system;
- coordinate with other State agency's databases to permit verification of registration data;
- identify ineligible registrants;
- provide increased system access for local election administrators;
- permit the administration of requirements for voters who register by mail; and
- accommodate the use of Minnesota driver license numbers and Social Security information as identifiers in voter records.

System development will also modify existing system elements and functionalities to preserve system integrity, ensure quality and be sufficiently robust to support increases in the number of users.

Minnesota also will use the funds under HAVA Title I to carry out one or more of the activities delineated in Section 101 of HAVA, and, if funds remain, HAVA Title III requirements.

Section 11 Ongoing Plan Management

Section 11 of the Minnesota State Plan describes "how the State will conduct ongoing management of the plan, except that the State may not make any material change in the administration of the plan unless the change (A) is developed and published in the Federal Register in accordance with Section 255 in the same manner as the State plan; (B) is subject to public notice and comment in accordance with Section 256 in the same manner as the State plan; and (C) takes effect only after the expiration of the 30-day period which begins on the date the change is published in the Federal Register in accordance with subparagraph (A)" as required by Public Law 107-252, Help America Vote Act of 2002, Section 254(a)(11).

11.1 Ongoing Management of the Plan

The Office of the Secretary of State will conduct ongoing management of the State Plan. The Office of the Secretary of State will review the State Plan each fiscal year. The State Plan will be evaluated on the ability of the State to meet objectives in Section 1 of the State Plan, based on the availability of State and federal funds, and the extent to which the budget defined in the State Plan reflects available funds.

The Office of the Secretary of State will establish and implement management standards such as the adoption of goals and performance measures, and review and approval processes. The Office of the Secretary of State also will be responsible for other election functions, including budget and fiscal, personnel, and office support functions.

The Office of the Secretary of State will periodically collect input from county auditors and municipal election officials to review progress and outcomes and to assess and recommend revisions to the State Plan. Based on input provided, the Office of the Secretary of State may make non-material changes in the State Plan without additional notice.

11.2 Material Changes to the State Plan

When a material change in the administration of the Plan is deemed necessary, the Office of the Secretary of State will assure the change:

- is developed and published in the Federal Register in accordance with HAVA Section 255 in the same manner as the State Plan;
- is subject to public notice and comment in accordance with HAVA Section 256 in the same manner as the State Plan; and
- takes effect only after the expiration of the 30-day period which begins on the date the change is published in the Federal Register in accordance with item (A).

Section 12 State Plan Changes and Successes in Previous Fiscal Year

Section 12 of the Minnesota State Plan provides, "in the case of a State with a State plan in effect under this subtitle during the previous fiscal year, a description of how the plan reflects changes from the State plan for the previous fiscal year and of how the State succeeded in carrying out the State plan for such previous fiscal year" as required by Public Law 107-252, Help America Vote Act of 2002, Section 254(a)(12).

12.1 2003 Minnesota State Plan

This State Plan is the 2003 version of the State Plan established under the Help America Vote Act of 2002 (HAVA). There are no changes from the previous fiscal year. As this version is the initial State Plan, there are no specific successes in carrying out any previous State Plan.

Section 13 Minnesota's State Plan Advisory Committee

Section 13 of the Minnesota State Plan provides "a description of the committee which participated in the development of the State plan in accordance with Section 255 and the procedures followed by the committee under such Section 255 and Section 256" as required by Public Law 107-252, Help America Vote Act of 2002, Section 254(a)(13).

13.1 Description of the State Plan Advisory Committee

Pursuant to Section 255 of the Help America Vote Act of 2002 (HAVA), on January 31, 2003, the chief state election official, Secretary of State Mary Kiffmeyer, appointed the State Plan Advisory Committee. Secretary Kiffmeyer invited Governor Tim Pawlenty to appoint two members to the committee. The President of the Minnesota State Senate, Honorable James Metzen and Speaker of the Minnesota House of Representatives, Honorable Steve Sviggum, each designated two members of different political parties.

The State Plan Advisory Committee included the Secretary of State (chief state election official), election officials from the two most populous jurisdictions, other local election officials, stakeholders and citizens to represent a broad spectrum of Minnesota voters. The committee appointments made by Secretary Kiffmeyer included a cross-section of Minnesotans, a representation of individuals with disabilities, a representation of ethnic minority groups, and a representation of the geographic distribution of citizens in Minnesota.

13.2 Procedures followed by the Committee

The State Plan Advisory Committee met on March 20, May 7, and May 21, 2003. The preliminary State Plan was posted on the Office of the Secretary of State website (www.sos.state.mn.us) and made available for public review and comment for a period of 30 days pursuant to HAVA Section 256(3). The State took the public comments made regarding the preliminary version of the plan into account in preparing the plan, which was filed with the Commission.

The Office of the Secretary of State announced through a notice in the State Register of June 9, 2003, and a statewide press release, the web location where the preliminary State Plan was available for public review and comment. Media outlets were requested to publish the preliminary State Plan and/or announce its availability as a public service announcement.

13.3 Minnesota State Plan Advisory Committee Membership Roster

See page 2 of the State Plan.

Glossary

The following definitions are used throughout this document for words and phrases drawn from State and federal laws.

AVT: assistive voting technology

County Auditor: person in each county with responsibility for the administration of elections

<u>DRE</u>: direct recording electronic voting system

Election Assistance Commission: board of advisors established by HAVA Section 201

<u>Election Judge</u>: individuals who administer election activities in the polling place on Election Day

HAVA: Public Law 107-252, also known as the Help America Vote Act of 2002

<u>Local Government</u>: counties, municipalities, and school districts

<u>Municipal</u>: cities, townships, and unorganized territories in which the county is responsible for the administration of elections

NVRA: National Voter Registration Act of 1993

<u>Requirements Payment</u>: federal funds, and matching state funds, deposited into the state election fund. The requirements payment funds are those monies specifically authorized by HAVA Title II for the purpose of meeting the requirements specified in HAVA Title III

<u>State Plan</u>: Plan developed pursuant to Public Law 107-252, Help America Vote Act of 2002, Section 253(b)

<u>The State</u>: Minnesota State government, generally the Office of the Secretary of State, but occasionally the Minnesota legislative process