# Federal Financial Report

**OMB Number:** 4040-0014  
**Expiration Date:** 01/31/2019

### 1. Federal Agency and Organizational Element to Which Report is Submitted

- US Department of Health and Human Services
- US Elections Assistance Commission

### 2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)

- IN18101001/2018 Election Sec

### 3. Recipient Organization (Name and complete address including Zip code)

- **Recipient Organization Name:** State of Indiana - Secretary of State
- **Street1:** 200 West Washington St
- **City:** Indianapolis  
- **State:** IN  
- **County:** Marion  
- **Country:** USA: UNITED STATES  
- **ZIP / Postal Code:** 46204-2731

### 4a. DUNS Number

- 360742795

### 4b. EIN

- 35-6000158

### 5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)

### 6. Report Type

- **Quarterly**
- **Semi-Annual**
- **Annual**  
- **X** Annual

### 7. Basis of Accounting

- **Cash**
- **Accrual**  
- **X** Cash

### 8. Project/Grant Period

- **From:** 03/23/2018  
- **To:** 03/22/2023

### 9. Reporting Period End Date

- **09/30/2019**

### 10. Transactions

**Cumulative**

<table>
<thead>
<tr>
<th>Transaction Description</th>
<th>Amount</th>
</tr>
</thead>
<tbody>
<tr>
<td>Cash Receipts</td>
<td>7,595,088.00</td>
</tr>
<tr>
<td>Cash Disbursements</td>
<td>6,934,989.06</td>
</tr>
<tr>
<td>Cash on Hand (line a minus b)</td>
<td>660,098.94</td>
</tr>
<tr>
<td>Total Federal funds authorized</td>
<td>7,595,088.00</td>
</tr>
<tr>
<td>Federal share of expenditures</td>
<td>6,934,989.06</td>
</tr>
<tr>
<td>Federal share of unliquidated obligations</td>
<td>0.00</td>
</tr>
<tr>
<td>Total Federal share (sum of lines e and f)</td>
<td>6,934,989.06</td>
</tr>
<tr>
<td>Un obliged balance of Federal Funds (line d minus g)</td>
<td>660,098.94</td>
</tr>
<tr>
<td>Total recipient share required</td>
<td>379,754.00</td>
</tr>
<tr>
<td>Recipient share of expenditures</td>
<td>379,754.00</td>
</tr>
<tr>
<td>Remaining recipient share to be provided</td>
<td>0.00</td>
</tr>
<tr>
<td>Total Federal program income earned</td>
<td>178,682.88</td>
</tr>
<tr>
<td>Program income expended in accordance with the deduction alternative</td>
<td>0.00</td>
</tr>
<tr>
<td>Program income expended in accordance with the addition alternative</td>
<td>0.00</td>
</tr>
<tr>
<td>Unexpended program income (line l minus line m or line n)</td>
<td>178,682.88</td>
</tr>
</tbody>
</table>
## 11. Indirect Expense

<table>
<thead>
<tr>
<th></th>
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</thead>
<tbody>
<tr>
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</tr>
</tbody>
</table>

**g. Totals:**

<table>
<thead>
<tr>
<th>g. Totals</th>
<th>g. Totals</th>
<th>g. Totals</th>
</tr>
</thead>
</table>

## 12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:

Add Attachment

## 13. Certification: By signing this report, I certify to the best of my knowledge and belief that the report is true, complete, and accurate, and the expenditures, disbursements and cash receipts are for the purposes and objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).

### a. Name and Title of Authorized Certifying Official

Prefix: Mr.  
First Name: Wade  
Middle Name:  
Last Name: Stallings  
Suffix:  
Title: Accounting Specialist

### b. Signature of Authorized Certifying Official

[Signature]

### c. Telephone (Area code, number and extension)

317-234-8009

### d. Email Address

wstallings@sos.in.gov

### e. Date Report Submitted

12/11/20
December 21, 2018
Brian Newby, Executive Director
U.S. Election Assistance Commission
1335 East-West Highway, Suite 4300
Silver Spring, MD 20910

Re: Indiana HAVA Cybersecurity Program Progress Narrative

Dear Mr. Newby:

This letter provides a narrative of progress accomplished in relation to Indiana’s current spend of the $7,595,088 in HAVA Elections Security Grant Funds to continue Indiana’s investment in election security. Since July of 2018, Indiana has completed the following objectives:

1. Established incident response plan role and responsibilities, development of cyber risk scenario and responses, communication response process flows, and an incident response checklist. Additionally, an incident response contact list was developed for all 92 counties, election management vendors, Secretary of State and Indiana Election Division offices, and local authorities;
2. All 92 counties are now using a form of multifactor authentication. 71 counties are using token authentication. Indiana will require all 92 counties to use token authentication prior to the 2019 Municipal Primary Election;
3. Developed a grant-funding program. The Secretary of state’s office received and approved 11 county grants totaling to $22,017,60;
4. Began planning for the deployment of auditable voting systems by 2020;
5. Technology evaluations for operating systems, email encryption, document scanning, password strength meters, and a system evaluation of NIST security standard, 800-63 Digital Identity Guidelines;
6. A third-party penetration testing vendor catalog was developed to enable Indiana to pursue qualified penetration-testing services for SVRS, electronic poll books, and other related election system infrastructure after the 2018 Midterm Elections;
7. Facilitated cybersecurity training to county officials during the Annual Election Administrator’s Conference.

The Secretary of State’s office is continuing to work with the Indiana General Assembly for future replacement of voting equipment since the required budget to replace direct-recording electronic voting machines without a voter-verified paper trail requires a larger amount than the available 2018 HAVA Elections Security Grant Funds.

Sincerely,

Connie Lawson
Indiana Secretary of State

The State House, 200 West Washington Street, Room 201, Indianapolis, Indiana 46204, (317) 232-6531, Fax (317) 233-3283
www.sos.IN.gov
**Instructions:** In column C, please enter the total 2019 federal + federal interest expenditures in each listed budget category. Do not include any state expenditures.

<table>
<thead>
<tr>
<th>Budget Category</th>
<th>Amount Expended 2018</th>
<th>Amount Expended 2019</th>
<th>Cumulative Total</th>
</tr>
</thead>
<tbody>
<tr>
<td>Voting Equipment</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Election Auditing</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Voter Registration Systems</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Cyber Security</td>
<td>$0</td>
<td>$6,698,448</td>
<td>$6,698,448</td>
</tr>
<tr>
<td>Communication</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Other (physical security)</td>
<td>$0</td>
<td>$236,542</td>
<td>$236,542</td>
</tr>
<tr>
<td>Other</td>
<td>$0</td>
<td>$0</td>
<td>$0</td>
</tr>
<tr>
<td>Total</td>
<td>$0</td>
<td>$6,934,989</td>
<td>$6,934,989</td>
</tr>
</tbody>
</table>