Federal Financial Report

(Follow form Instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted	2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)
Election Assistance Commission	R118101001

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

Recipient Organization Name: State of Rhode Island

Street1: 82 Smith Street

Street2: State House - Room 217

City: Providence   County:

State: RI: Rhode Island   Province:

Country: USA: UNITED STATES   ZIP / Postal Code: 02903-1120

4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)
963568303	56-000522	

6. Report Type	7. Basis of Accounting	8. Project/Grant Period	9. Reporting Period End Date
☐ Quarterly ☐ Semi-Annual ☒ Annual ☐ Final	☒ Cash ☐ Accrual	From: 03/23/2018 To: 03/22/2023	09/30/2019

10. Transactions

	Cumulative
(Use lines a-c for single or multiple grant reporting)	
Federal Cash (To report multiple grants, also use FFR attachment):	
a. Cash Receipts	0.00
b. Cash Disbursements	0.00
c. Cash on Hand (line a minus b)	0.00
(Use lines d-o for single grant reporting)	
Federal Expenditures and Unobligated Balance:	
d. Total Federal funds authorized	3,000,000.00
e. Federal share of expenditures	1,147,779.82
f. Federal share of unliquidated obligations	581,973.41
g. Total Federal share (sum of lines e and f)	1,729,753.23
h. Unobligated balance of Federal Funds (line d minus g)	1,270,246.77
Recipient Share:	
i. Total recipient share required	150,000.00
j. Recipient share of expenditures	150,000.00
k. Remaining recipient share to be provided (line i minus j)	0.00
Program Income:	
l. Total Federal program income earned	51,524.89
m. Program Income expended in accordance with the deduction alternative	0.00
n. Program Income expended in accordance with the addition alternative	0.00
o. Unexpended program income (line l minus line m or line n)	51,524.89

11. Indirect Expense

a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
		g. Totals:				

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

[ ] **Add Attachment** | Delete Attachment | View 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: | First Name: Rob | Middle Name:

Last Name: Rock | Suffix:

Title: Director of Elections

b. Signature of Authorized Certifying Official	c. Telephone (Area code, number and extension)
	401.222.2340

d. Email Address	e. Date Report Submitted	**14. Agency use only:**
rrock@sos.ri.gov	12/31/2019	

Standard Form 425

Help America Vote Act (HAVA) 2019

2019 Election Security Grant Funding – Rhode Island
Annual Report

Secretary of State Nellie M. Gorbea

Help America Vote Act (HAVA) Project Funding – Rhode Island – 2019

This document contains expenditures (as of September 30, 2019) for elections infrastructure and security improvement projects to enhance Rhode Island's election systems at the Department of State, Board of Elections, and the 39 cities and towns as recommended by the HAVA 2018 Task Force.

Funds were expended on the technology and security enhancements listed below as of September 30, 2019.

	As of September 30, 2018 (expended)	From October 1, 2018 - September 30, 2019	Total
Central Voter Registration System (CVRS) Upgrade	$39,904.00	$420,822.14 (expended) $419,700.00 (obligated)	$460,726.14 (expended) $419,700.00 (obligated)
Laptops		$3,747.00 (expended) $191.00 (obligated)	$3,747.00 (expended) $191.00 (obligated)
Database Activity Monitoring (DAM) and File System Security	$159,000.00	$24,364.80 (expended)	$183,364.80 (expended)
Asset Management Appliance and Software	$45,468.40		$45,468.40 (expended)
Security Information and Event Management (SIEM) System	$177,535.20		$177,535.20 (expended)
Software Assurance for Database Platform		$10,000.00 (expended)	$10,000.00 (expended)
Cyber Security Implementation		$26,541.00 (expended) $147,888.00 (obligated)	$26,541.00 (expended) $147,888.00 (obligated)
Cyber Security Summit		$4,611.00 (obligated)	$4,611.00 (obligated)
Mail Ballot Envelope Industrial Opener	$4,999.00	$4,999.00 (expended)	$9,998.00 (expended)
Polling Place Operational Improvement		$129,856.00 (expended)	$129,856.00 (expended)
E-poll Book Support		$54,050.00 (expended)	$54,050.00 (expended)
Online Voter Registration Database Server		$15,261.83 (expended)	$15,261.83 (expended)
Local Grant Program		$29,705.69 (expended) $9,583.41 (obligated)	$29,705.69 (expended) $9,583.41 (obligated)
Audit Fees (RI Department of Administration)	$3,000.00	-$1,474.24 (expended)	$1,525.76 (expended)
Total	$429,906.60 (expended)	$717,873.22 (expended) $581,973.41 (obligated)	$1,147,779.82 (expended) $581,973.41 (obligated)

Upgrade elections-related computer systems to address cybersecurity vulnerabilities

Central Voter Registration System (CVRS) Upgrade
Expended Funds: $460,726.14 Obligated: $419,700.00

The Department of State is working with vendors to build a new voter registration system, replacing the prior application which was in place for 14 years. The new system enhances the security of voter registration data and streamlines election processes for the Department of State, Board of Elections, and Rhode Island's 39 cities and towns. The state will own the source code and will be able to perform timely updates and maintenance of the system.

Laptops
Expended Funds: $3,747.00 Obligated: $191.00

The Department of State replaced two Voter ID laptops that were running Windows 7 (which will no longer be supported as of January 2020). The Department also replaced one Election employee's workstation which was running Windows 7.

Implement cybersecurity best practices

Database Activity Monitoring (DAM) and File System Security
Expended Funds: $183,364.80

The Department of State purchased and implemented a DAM which monitors the Central Voter Registration System (CVRS) and provides alerts based on activity and prevents unauthorized activities. A DAM is also important technology for protecting sensitive data from external cyber criminals. Applied in conjunction with a File System Security application, a protection from ransomware is an added layer of security.

Asset Management Appliance and Software
Expended Funds: $45,468.40

The Department of State purchased and implemented an Asset Management appliance which tracks all endpoints (computers, phones, etc.) on a given network and any vulnerabilities, along with the software installed on those devices. This adds a critical layer of security to better understand what is on the Department's network and what threats need to be defended against.

Security Information and Event Management (SIEM) System
Expended Funds: $177,535.20

The Department of State purchased and implemented the SIEM system which provides real-time analysis of security alerts generated by applications and hardware on the network. It consumes logs from both the DAM and Asset Management appliance, along with logs from application servers, domain controllers, firewalls, etc. The SIEM provides alerts of security issues and uses machine learning and policies the Department creates to initiate action when certain events happen. For instance, it can quarantine a device if it detects there may be abnormal behavior.

Software Assurance for Database Platform
Expended Funds: $10,000.00

As part of a continuing effort to secure the elections infrastructure, software assurance was purchased on the new database software platform that will allow the Department of State to upgrade to the latest version of the software when end of support arrives or vulnerabilities arise in the version being run in the environment.

Cyber Security Implementation
Expended Funds: $26,541.00 Obligated: $147,888.00

The Department of State purchased a subscription server for Application Vulnerability Scanning which dynamically scans the application for any vulnerabilities while in production. Additionally, the product scans all source code to look for vulnerabilities with the code. The Department also purchased specific endpoint protection software for the Central Voter Registration System.

Cyber Security Summit
Obligated Funds: $4,611.00

Secretary Gorbea (the Department of State) convened over 140 local elections and IT officials for the second Cyber Security Summit. The half-day forum gave Rhode Island election officials from nearly every city and town an opportunity to learn from national and statewide cybersecurity experts on several topics, including:
- Current best practices on the state and local level to secure election systems ahead of 2020
- Combating misinformation and disinformation campaigns
- Common causes of data breaches and ways to prevent them
- Actions being taken on the federal level to protect elections

Improve elections administration for federal office
(Enhance Technology)

Mail Ballot Envelope Industrial Opener
Expended Funds: $9,998.00

The Board of Elections acquired one unit during FFY 2018 and one during FFY 2019. The units greatly improved the process of sorting and opening the 30,000-plus mail ballots voted in the 2018 general election.

Polling Place Operational Improvement
Expended Funds: $129,856.00

The Board of Elections purchased 20 additional voting machines for the 2018 election cycle. The Board used the machines in high-turnout polling places to ensure voters did not have to wait in long lines to cast a ballot. The purchase order was created before the reporting period ended (September 30, 2019) but the funds were expended after the reporting period ended.

E-Poll Book Support
Expended Funds: $54,050.00

The Board of Elections worked with a vendor to prepare the e-poll books and provide support for all 421 polling places in Rhode Island for the 2018 elections.

Online Voter Registration Database Server
Expended Funds: $15,261.83

The Department of State purchased a new database server with an updated server operating system. The current version of the operating system will reach its end of life in 2020.

Local Grant Program
Expended Funds: $29,705.69 Obligated Funds: $9,583.41

The Department of State granted Rhode Island's 39 cities/towns a combined $100,000 for improvements to elections processes. More than half of the cities/towns have requested funds for multiple items including: security assessments, upgraded computers, and secure transport methods.