

Federal Financial Report

(Follow form Instructions)

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

1. Federal Agency and Organizational Element to Which Report is Submitted <div style="border: 1px solid black; padding: 2px; min-height: 20px;">Election Assistance Commission</div>		2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment) <div style="border: 1px solid black; padding: 2px; min-height: 20px;">CDFA 90.404 CT18101001</div>	
3. Recipient Organization (Name and complete address including Zip code) Recipient Organization Name: <div style="border: 1px solid black; padding: 2px; width: 90%;">Office of the Secretary of the State of Connecticut</div> Street1: <div style="border: 1px solid black; padding: 2px; width: 80%;">P.O. Box 150470</div> Street2: <div style="border: 1px solid black; padding: 2px; width: 80%;">30 Trinity St.</div> City: <div style="border: 1px solid black; padding: 2px; width: 30%;">Hartford</div> County: <div style="border: 1px solid black; padding: 2px; width: 30%;">Hartford</div> State: <div style="border: 1px solid black; padding: 2px; width: 40%;">CT: Connecticut</div> Province: <div style="border: 1px solid black; padding: 2px; width: 40%;"></div> Country: <div style="border: 1px solid black; padding: 2px; width: 50%;">USA: UNITED STATES</div> ZIP / Postal Code: <div style="border: 1px solid black; padding: 2px; width: 40%;">06115-0470</div>			
4a. DUNS Number <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	4b. EIN <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	5. Recipient Account Number or Identifying Number <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	
6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	7. Basis of Accounting <input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual	8. Project/Grant Period From: <div style="border: 1px solid black; padding: 2px; width: 60px;">03/23/2018</div> To: <div style="border: 1px solid black; padding: 2px; width: 60px;">03/22/2023</div>	9. Reporting Period End Date <div style="border: 1px solid black; padding: 2px; width: 100px; text-align: center;">09/30/2019</div>
10. Transactions <i>(Use lines a-c for single or multiple grant reporting)</i> Federal Cash (To report multiple grants, also use FFR attachment): a. Cash Receipts <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">0.00</div> b. Cash Disbursements <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">0.00</div> c. Cash on Hand (line a minus b) <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">0.00</div> <i>(Use lines d-o for single grant reporting)</i> Federal Expenditures and Unobligated Balance: d. Total Federal funds authorized <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">5,119,354.00</div> e. Federal share of expenditures <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">919,703.35</div> f. Federal share of unliquidated obligations <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">0.00</div> g. Total Federal share (sum of lines e and f) <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">919,703.35</div> h. Unobligated balance of Federal Funds (line d minus g) <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">4,199,650.65</div> Recipient Share: i. Total recipient share required <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">256,027.70</div> j. Recipient share of expenditures <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">256,027.70</div> k. Remaining recipient share to be provided (line i minus j) <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">0.00</div> Program Income: l. Total Federal program income earned <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">88,431.26</div> m. Program Income expended in accordance with the deduction alternative <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">0.00</div> n. Program Income expended in accordance with the addition alternative <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">0.00</div> o. Unexpended program income (line l minus line m or line n) <div style="float: right; border: 1px solid black; padding: 2px; width: 100px; text-align: right;">88,431.26</div>			Cumulative

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:

SF425Backup_9_3-19.pdf

Add Attachment

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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: Denise Middle Name: W.
Last Name: Merrill Suffix:
Title: Secretary of the State of Connecticut

b. Signature of Authorized Certifying Official



c. Telephone (Area code, number and extension)

d. Email Address

e. Date Report Submitted

01/03/2020

14. Agency use only:

The State of Connecticut has received an award of \$5,120,554 to assist us in improving the administration of elections for federal office, enhancing election technology, and making election security improvements.

State Match Requirement: We have secured the required 5% match of \$256,027 as follows: We expended \$91,833 (April 10 and June 30, 2018) for hardware maintenance of our accessible voting system and a contracted expenditure of \$99,360.00 to be completed between June and December of 2018 for a cybersecurity upgrade to our centralized voter registration system for our local election officials. The remainder of \$64,834.00 will be expended in subsequent years before the required deadline.

We are progressing with our plan for additional voting equipment, security enhancements to address cyber vulnerabilities, enhancements to post-election audits, improvements to voter registration systems and management, enhanced security training of officials, and improvements to voting accessibility.

With respect to voting equipment replacement and upgrades, given the useful life of our Accu-Vote Optical Scan tabulators with paper trail (purchased in 2006,) and specifically certain components of the optical scan tabulator, we have purchased 24 additional optical scan tabulators to replenish the supply of machines in the field and to hold as inventory should any of the towns experience a failure in their machines. The Accu-Vote tabulator we use in Connecticut has not been manufactured since 2007, but there is a supply of used machines on the market. We have also purchased a variety of replacement parts for our machines that can be used during our yearly maintenance program. We continue to estimate the cost of that to be 1,166,000.

With respect to election security improvements, we are progressing with our plan for comprehensive cybersecurity training for all local election officials. We will be utilizing the same online training classes that the state requires of its employees. We are estimating that cost to be \$10,000. In addition, we are developing online modules for the training and certification of registrars of voters, including a cybersecurity module and enhanced classroom modules. We are estimating that cost to be \$200,000.

We are addressing any possible cyber vulnerabilities in the centralized voter registration database, the online voter registration, and the election management system with enhanced password protection, including two-factor authentication for a projected amount of \$1,892,554 as follows: Application development is estimated to be \$200,000. We will also conduct a review of all town network connections to ensure they meet the required capacity for a new desktop infrastructure and implement upgrades that will allow the Secretary of the State's Office to extend control to the town endpoints. The virtual desktop infrastructure and town network upgrades is estimated to cost \$1,092,554. We plan to hire a full-time cybersecurity consultant for a period of four years to evaluate our security posture as it relates to all best practices and federal guidelines. In addition, this resource will be charged with the development of our

incident response plan as well as all other required documentation. We are allocating \$600,000 in total for the four year period for the consultant costs.

Because of the highly decentralized nature of local election administration in Connecticut, we have proposed hiring a trainer to travel to perform regional training for the Election Management System and the Centralized Voter Registration System at an expected cost of \$95,000.

We will conduct a forensic audit of all our election vendors, including PCC Technologies, LHS Associates, Adkins Printing, and IVS LLC. We are estimating those four audits to cost \$200,000.

We will be contracting with regional election monitors to facilitate robust post-election audits, compliance with federal and state election laws, and to ensure that cybersecurity measures are in place at the local level. We are allocating \$145,000 for this enhancement.

We are developing online videos for our web site for voters with disabilities to review the accessible ballot marking voting systems, and for users of the online voter registration, in order to assist us in improving the administration of elections for federal office, at a cost of \$75,000.

We will provide for three years of hardware maintenance to assist in providing a secure ballot marking system for voters with disabilities at a cost of \$660,000.

We are proposing to assist small towns with grant funding to replace outdated unsecure workstations at an estimated cost of \$200,000. We have provided an additional grant in the amount of \$37,000 to the State Elections Enforcement Commission for an equipment and software upgrade of their network infrastructure to secure the points of entry and the perimeter.

We will provide funding to the Center for Voting Technology Research at UConn to ensure there is a continued resource dedicated to resolving any security issues associated with our voting systems, including the optical scan tabulators, and to provide recommendations regarding the security of any implementation of electronic poll books at a cost of \$440,000.

Instructions: In column C, please enter the total 2019 federal + federal interest expenditures in each listed budget category. Do not include any state expenditures.

Budget Category	Amount Expended 2018	Amount Expended 2019	Cumulative Total
Voting Equipment	\$0	\$0	\$0
Election Auditing	\$0	\$3,200	\$3,200
Voter Registration Systems	\$0	\$275,500	\$275,500
Cyber Security	\$0	\$0	\$0
Communication	\$0	\$0	\$0
Software	\$0	\$567,174	\$567,174
Transfer Grant to Election Enforce Commission	\$0	\$72,000	\$72,000
Total	\$0	\$917,874	\$917,874