

FEDERAL FINANCIAL REPORT

(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted ELECTION ASSISTANCE COMMISSION	2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)
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3. Recipient Organization (Name and complete address including Zip code)

State Library, Archives & Public Records, Arizona

4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)	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
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8. Project/Grant Period (Month, Day, Year) From: March 28, 2018 To: September 30, 2019	9. Reporting Period End Date (Month, Day, Year) September 30, 2021
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10. Transactions Cumulative
(Use lines a-c for single or combined multiple grant reporting)

Federal Cash (To report multiple grants separately, also use FFR Attachment):	
a. Cash Receipts	\$15,860,974.00
b. Cash Disbursements	\$10,360,461.57
c. Cash on Hand (line a minus b)	\$5,500,512.43

(Use lines d-o for single grant reporting)

Federal Expenditures and Unobligated Balance:	
d. Total Federal funds authorized	\$15,860,974.00
e. Federal share of expenditures	\$10,360,461.57
f. Federal share of unliquidated obligations	\$0.00
g. Total Federal share (sum of lines e and f)	\$10,360,461.57
h. Unobligated balance of Federal funds (line d minus g)	\$5,500,512.43

Recipient Share:	
i. Total recipient share required	\$2,052,644.00
j. Recipient share of expenditures	\$2,052,644.00
k. Remaining recipient share to be provided (line i minus j)	\$0.00

Program Income:	
l. Total Federal share of program income earned	\$308,876.87
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 and line n)	\$308,876.87

11. Indirect Expense	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
g. Totals:					\$0.00	\$0.00	\$0.00

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

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 intent set forth in the award documents. I am aware that any false, fictitious, or fraudulent information may subject me to criminal, civil, or administrative penalties. (U.S. Code, Title 18, Section 1001)

a. Typed or Printed Name and Title of Authorized Certifying Official Schnupp, Sarah Chief Financial Officer	c. Telephone (Area code, number, and extension) d. Email Address
b. Signature of Authorized Certifying Official Schnupp, Sarah	e. Date Report Submitted (Month, Day, Year) December 28, 2021

Standard Form 425
OMB Approval Number: 4040-0014
Expiration Date: 02/28/2022

Paperwork Burden Statement
According to the Paperwork Reduction Act, as amended, no persons are required to respond to a collection of information unless it displays a valid OMB Control Number. The valid OMB control number for this information collection is 4040-0014. Public reporting burden for this collection of information is estimated to average 1 hour per response, including time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. If you have comments concerning the accuracy of the time estimate(s) or suggestions for improving this form, please write to: US Department of Health & Human Services, OS/OCIO/PRA, 200 Independence Ave, SW, Suite 336-E, Washington DC 20201. Attention: PRA Reports Clearance Officer

FEDERAL FINANCIAL REPORT
(Additional Page)

Federal Agency & Organization :

Federal Grant ID

Recipient Organization

DUNS Number

DUNS Status when Certified

EIN

Reporting Period End Date : Report Certified/Pending Agency Approval

Status : "Please provide the following information:

Remarks

State interest earned (current fiscal year): \$0

State interest expended (current fiscal year): \$0

Program income earned (current fiscal year): \$0

Program income earned breakdown (current fiscal year): \$0 Source: e.g. Sale of registration list

Program income expended (current fiscal year): \$0

"

Note on line L: We discovered some errors in how the state treasurer setup the interest accounts on our federal share of income and have worked with them to correct the issues and asked them to calculate and post interest for some missed months. The interest earned on the federal share for the missed months will post in FFY22.

Federal Agency Review

Reviewer Name :

Phone # :

Email :

Review Date :

Review Comments :

2021-2022 EAC Progress Report

3. EAC Progress Report

1. State or Territory:

Arizona

2. Grant Number:

3. Report:

Annual (Oct 1 - Sept 30)

4. Grant:

Election Security

5. Reporting Period Start Date

10/01/2020

6. Reporting Period End Date

09/30/2021

4. Progress and Narrative

7. Describe in detail what happened during this reporting period and explain how you implemented the approved grant activities in accordance with your State Plan/Program Narrative. (Note: Your activities should align with your Grant Cost Categories Table.)

The Arizona Secretary of State's Office performed various approved grant activities throughout the state during this reporting period.

Our FFY21 spending included several cyber security initiatives. We purchased an NTA/UEBA solution to detect unusual and

known malicious network behavior, upgraded our firewall to provide greater segmentation and prevent lateral movement of cyber threats across our network, and distributed USB flash drives to counties for secure upload of results into the election night reporting system from their election management systems. Additionally, our Office funded the placement of Threat Liaison Officers in County offices throughout the state on Election Day and brought on a contractor to work on election security assessment remediation.

Our Office also provided subgrants to Arizona counties in the form of formula grants that the counties could use toward any allowable HAVA grant category. Subgrants were used to purchase voting equipment, enhance security, and perform several other activities.

In addition to these activities, we paid for voter registration system items, including project deliverables for the new statewide voter registration database (AVID), project management costs associated with implementation of the system, and maintenance and enhancements on the new system.

Lastly, our office utilized HAVA funds for staff that supported HAVA grant administration, election security, and elections community outreach.

8. Describe any significant changes to your program during the project, including changes to your original State Plan/Program Narrative or favorable developments that improved program efficiency and/or service delivery.

N/A

9. Issues Encountered:

Describe all major issues that arose during the implementation of the project and the reasons why established goals were not met, if applicable. Address each issue separately and describe whether and how the issues were resolved. Also, briefly discuss the implications of any unresolved issues or concerns.

In Arizona HAVA funds are subject to legislative appropriation and we are required to submit expenditure plans to the joint legislative budget committee each year. These requirements sometimes impede and delay our ability to access the funds since the legislature and their committees do not meet year-round.

Also, we have been unsuccessful at lobbying the legislature for cash matches on the funds, and instead have relied on county general operating expenditures to meet match requirements.

10. Provide a description of any training conducted, including security training.

N/A

11. Subgrants:

Did your office provide subawards to local jurisdictions during this reporting period?

Yes

12. Describe the activities carried out by your subgrantees during the reporting period.

We disbursed \$367,688 in subgrants during FFY21 and counties expended a total of \$511,782.83 as some counties still had funding available from prior FY disbursements. Most of the grant money was used to purchase voting equipment, including ballot/barcode scanners, and headphones. Security was the second most common expenditure category. Security included cameras/recording equipment, fencing, doors, lighting, and cyber security/security software. \$13,820.64 was spent on Other (Training) which included Elections Center CERA trainings, and elections conferences. \$72,958.47 was spent on Other (Misc) which was for equipment delivery/installation, printers, funds for facilities improvements, and temporary staff for Election Day. The rest of the grant money was spent on a combination of Election Auditing and Voter Registration Systems.

Provide a breakdown of aggregate subawards expenditures across major categories.

Voting Equipment : \$316,892.72

Election Auditing : \$183.65
Voter Registration Systems : \$8,473.70
Security : \$99,403.51
Communications : \$0.00
Other (Voter Reg. Security Equipment) : \$0.00
Other (Specify above) : \$13,820.64
Other (Specify above) : \$73,008.61

Total : \$511782.83

13. Match:

Describe how you are meeting or have met the matching requirement.

We met the match obligation in FFY20 using eligible expenses from County general operating budgets.

14. Report on the number and type of articles of voting equipment obtained with the funds. Include the amount expended on the expenditure table.

N/A

5. Expenditures

15. Current Period Amount Expended and Unliquidated Obligations

GRANT COST CATEGORIES - FEDERAL

Voting Equipment and Processes: : \$0
Post-Election Auditing: : \$0
Voter Registration Systems: : \$1110888
Cyber Security: : \$294539
Voter Education/Communications: : \$0
Accessibility: : \$0
Staffing: : \$103752
Training: : \$0
Subgrants: : \$367688
Indirect Costs (If applicable, FFR Line 11): : \$0
Unliquidated Obligations (If applicable, FFR Line 10f): : \$0
Other (Specify below) : \$0
Other (Specify below) : \$0
Other (Specify below) : \$0

Total : \$1876867

Comments:

16. GRANT COST CATEGORIES - MATCH

Voting Equipment and Processes: : \$0
Post-Election Auditing: : \$0
Voter Registration Systems: : \$0
Cyber Security: : \$0
Voter Education/Communications: : \$0
Accessibility: : \$0

Staffing: : \$0
Training: : \$0
Subgrants: : \$0
Indirect Costs (If applicable, FFR Line 11): : \$0
Unliquidated Obligations (If applicable, FFR Line 10f): : \$0
Other (Specify below) : \$0
Other (Specify below) : \$0
Other (Specify below) : \$0

Total : \$0

Comments:

7. Expenditures

17. Confirm Total Grant Expenditure Amounts

Federal : \$1876867
Match : \$0

Total : \$1876867

OMB CONTROL NUMBER: 3265-0020

8. Certification

Name and Contact of the authorized certifying official of the recipient.

First Name

Sarah

Last Name

Brown

Title

Chief Financial Officer

Phone Number

Email Address

18. Add another contact to send a copy of submission confirmation and edit link?

Signature of Certifying Official:



Signature of: Sarah Brown

9. Report Submitted to EAC



Thank you. Your Annual (Oct 1 - Sept 30) progress report for Election Security has been submitted to the EAC. Please keep the PDF download of your submission as grant record.