

**FEDERAL FINANCIAL REPORT**

(Follow form instructions)

1. Federal Agency and Organizational Element to Which Report is Submitted  <b>ELECTION ASSISTANCE COMMISSION</b>				2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)				
3. Recipient Organization (Name and complete address including Zip code)  <b>SECRETARY OF STATE, IOWA</b> <b>State Capitol Rm 105, Des Moines, IA 50319</b>								
4a. DUNS Number	4b. EIN	5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)		6. Report Type	7. Basis of Accounting			
				<input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	<input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual			
8. Project/Grant Period (Month, Day, Year) From: <b>March 28, 2018</b>				9. Reporting Period End Date (Month, Day, Year) <b>September 30, 2021</b>				
To: <b>September 30, 2019</b>								
<b>10. Transactions</b>					Cumulative			
<i>(Use lines a-c for single or combined multiple grant reporting)</i>								
<b>Federal Cash (To report multiple grants separately, also use FFR Attachment):</b>								
a. Cash Receipts					\$9,786,086.00			
b. Cash Disbursements					\$3,204,713.99			
c. Cash on Hand (line a minus b)					\$6,581,372.01			
<i>(Use lines d-o for single grant reporting)</i>								
<b>Federal Expenditures and Unobligated Balance:</b>								
d. Total Federal funds authorized					\$9,786,086.00			
e. Federal share of expenditures					\$3,204,713.99			
f. Federal share of unliquidated obligations					\$122,377.91			
g. Total Federal share (sum of lines e and f)					\$3,327,091.90			
h. Unobligated balance of Federal funds (line d minus g)					\$6,458,994.10			
<b>Recipient Share:</b>								
i. Total recipient share required					\$1,266,005.00			
j. Recipient share of expenditures					\$0.00			
k. Remaining recipient share to be provided (line i minus j)					\$1,266,005.00			
<b>Program Income:</b>								
l. Total Federal share of program income earned					\$176,643.78			
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)					\$176,643.78			
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  <b>Basnet, Samita</b> <b>Director of Accounting</b>					c. Telephone (Area code, number, and extension)			
					d. Email Address			
b. Signature of Authorized Certifying Official  <b>Basnet, Samita</b>					e. Date Report Submitted (Month, Day, Year)  <b>December 15, 2021</b>			

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

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(Additional Page)

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Federal Agency & Organization : ELECTION ASSISTANCE COMMISSION

Federal Grant ID

Recipient Organization : SECRETARY OF STATE, IOWA  
State Capitol Rm 105, Des Moines, IA 50319

DUNS Number

DUNS Status when Certified

EIN

Reporting Period End Date

Status

Remarks

State interest earned (current fiscal year): \$438.64  
State interest expended (current fiscal year): \$0.00  
Program income earned (current fiscal year): \$0.00  
Program income earned breakdown (current fiscal year): \$ Source: e.g. Sale of  
registration list  
Program income expended (current fiscal year): \$0.00  
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**Federal Agency Review**

Reviewer Name

Phone #

Email

Review Date

Review Comments

# 2021-2022 EAC Progress Report

## 3. EAC Progress Report

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**1. State or Territory:**

Iowa

**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

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**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.)**

Iowa shattered turnout records after more than 1.7 million voters cast ballots in the November 2020 general election. Secretary Pate credited the success of the election to Iowa voters, poll workers and county auditors. Despite the COVID 19 pandemic, Iowans made their voices heard in record numbers.

The majority of funds expended during this reporting period were spent on cybersecurity needs such as staffing, assessments, monitoring, and the purchase of technology updates or upgrades. Our internal cybersecurity team partners with vendors, state/federal agencies, and others to keep on the forefront of cybersecurity preparedness and response. Having an in-house team enables us to respond quickly to highly publicized zero day vulnerabilities like Exchange proxyshell, Print Nightmare and log4j in 2021.

The Iowa Secretary of State's cybersecurity team follows best practices and uses state of the art tools for improved cybersecurity resilience, which includes endpoint protection, extended endpoint protection, zero trust networking, vulnerability, patch management, threat hunting, incident response and more.

The Iowa Secretary of State's Office conducts regular vulnerability scans/assessments, penetration tests and code analysis, along with supporting a vulnerability disclosure program for Secretary of State web sites and online applications using private and public sector partners.

Funds were also expended on communications costs to educate voter on Iowa's voting processes and to provide posters to each of Iowa's United States Postal Service locations regarding deadlines for returning absentee ballots.

Following changes to Iowa election law during the 2021 legislative session, funds were expended to update and redesign forms used by voters, such as the absentee ballot instructions sent to every voter who requests an absentee ballot be mailed to them. Grant funds were used to provide training opportunities to Secretary of State staff, local election officials, and other state and local officials that provide support to elections.

Finally, funds were expended on election administration needs such as additional staffing to complete our felon database review project and review materials related to accessibility.

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**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

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**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.**

N/A

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

The Iowa Secretary of State's Office organized workshops in July of 2020 where county auditors, emergency managers, IT directors, vendor partners, and other stakeholders worked with Pratum, an Iowa based cybersecurity firm, to develop an incident response plan every county could utilize for a variety of scenarios. Pratum also assisted the state in boosting its cyber maturity.

The Iowa Secretary of State's Office partnered with Pratum to develop a full range of security efforts, including penetration testing, training employees to spot e-mail scams, and tracking daily network activity to stop hackers before they get in. By creating and enhancing partnerships with state and federal agencies, the military, global cyber companies, independent security researchers and local companies like Pratum, Iowa continues to make cybersecurity a top priority to help ensure Iowa's elections are protected at every level.

A training exercise designed by Iowa Secretary of State Paul Pate in collaboration with CyberDefenses helped county election officials protect the integrity of the vote. The Iowa Secretary of State's Cybersecurity Escape Room challenges officials on their election expertise as well as their general cybersecurity knowledge.

The Cybersecurity Escape Room is a new way of approaching cybersecurity training. The training exercise utilizes the Founding Fathers such as Alexander Hamilton and Aaron Barr to outline a fictitious election scenario. Election officials work together to tackle each question before moving on to solving the puzzle.

The Cybersecurity Escape Room was first unveiled in June 2021 to Iowa's county auditors during a conference in Sioux City. It is available for every county to utilize, free of charge.

During the 2021 Legislative Session, the Iowa Secretary of State's Office partnered with one of the election equipment vendors operating in our state to host an open house for legislators. The vendor's election cybersecurity team was present to answer any questions legislators had regarding the functionality of the equipment, what protections are in place to ensure ballot are properly tabulated, and the certification process.

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### 11. Subgrants:

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

Yes

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

All of Iowa's 99 County Auditors were provided with the opportunity to apply for a security grant to spend to improve election cybersecurity. The primary goal of the grants is to address technology gaps and improve cybersecurity for elections at the county level.

This grant program is ongoing. Some counties are working to spend down and report how funds were used, while other counties have yet to apply before the deadline on June 30, 2022.

In addition to covering expenses related to moving the County Auditor or County Elections webpage to the .gov domain, County Auditors have explored using the grants to mitigate vulnerabilities discovered during vulnerability scans, purchase hardware or software to protect computers and networks, hire vendors to assist in mitigating or understanding threat reports, and similar cybersecurity related expenditures. Physical security related to cybersecurity, such as adding security cameras or upgrading doors and locks to election rooms or election equipment storage rooms, has been pursued as well.

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### Provide a breakdown of aggregate subawards expenditures across major categories.

Security : \$210,065.40

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Total : \$210065.4

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### 13. Match:

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

Iowa is currently in the process of replacing its statewide voter registration database. At this time, state funds allocated for that project have been marked as the matching funds.

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### 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

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## 5. Expenditures

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## 15. Current Period Amount Expended and Unliquidated Obligations

### GRANT COST CATEGORIES - FEDERAL

Cyber Security: : \$826626

Voter Education/Communications: : \$14296

Subgrants: : \$210065

Other (Specify below) : \$138079

Unliquidated Obligations (If applicable, FFR Line 10f): : \$122378

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Total : \$1311444

**Comments:** Other 1 = Election Administration

### 16. GRANT COST CATEGORIES - MATCH

Voter Registration Systems: : \$0

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Total : \$0

**Comments:** Match funds have not been expended at this time

## 7. Expenditures

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### 17. Confirm Total Grant Expenditure Amounts

Federal : \$1189066

Match : \$0

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Total : \$1189066

**OMB CONTROL NUMBER: 3265-0020**

## 8. Certification

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

**First Name**

Molly

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**Last Name**

Widen

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**Title**

General Counsel

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**Phone Number**

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**Email Address**

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

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Signature of Certifying Official:

Molly M Widen

Signature of: Molly M. Widen

## 9. Report Submitted to EAC

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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.