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	

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

Secretary Of State, Minnesota

100 Rev Martin Luther King Jr, Saint Paul, MN 551550001

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
			☐ Quarterly ☐ Semi-Annual ☒ Annual ☐ Final	☐ Cash ☒ Accural

8. Project/Grant Period (Month, Day, Year)		9. Reporting Period End Date (Month, Day, Year)
From: **March 28, 2018**	To: **September 30, 2099**	**September 30, 2021**

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	$14,014,282.00
b. Cash Disbursements	$1,813,428.05
c. Cash on Hand (line a minus b)	$12,200,853.95
(Use lines d-o for single grant reporting)	
Federal Expenditures and Unobligated Balance:	
d. Total Federal funds authorized	$14,014,282.00
e. Federal share of expenditures	$1,813,428.05
f. Federal share of unliquidated obligations	$0.00
g. Total Federal share (sum of lines e and f)	$1,813,428.05
h. Unobligated balance of Federal funds (line d minus g)	$12,200,853.95
Recipient Share:	
i. Total recipient share required	$1,825,889.56
j. Recipient share of expenditures	$167,712.87
k. Remaining recipient share to be provided (line i minus j)	$1,658,176.69
Program Income:	
l. Total Federal share of program income earned	$377,547.60
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)	$377,547.60

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	c. Telephone (Area code, number, and extension)
Black, Bert (Bibi) **General Counsel**	d. Email Address
b. Signature of Authorized Certifying Official **Black, Bert (Bibi)**	e. Date Report Submitted (Month, Day, Year) **December 29, 2021**

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

Federal Agency & Organization	:	ELECTION ASSISTANCE COMMISSION

Federal Grant ID

Recipient Organization

DUNS Number

DUNS Status when Certified

EIN

Reporting Period End Date	:	September 30, 2021
Status	:	Awarding Agency Approval
Remarks	:	"Please provide the following information:

State interest earned (current fiscal year): $ 5,855.60

State interest expended (current fiscal year): $ 0
Program income earned (current fiscal year): $ 0
Program income earned breakdown (current fiscal year): $ Source: e.g. Sale of registration list N/A
Program income expended (current fiscal year): $ 0
"

Federal Agency Review

Reviewer Name

Phone #

Email

Review Date

Review Comments   :

2021-2022 EAC Progress Report

3. EAC Progress Report

1. State or Territory:

Minnesota

2. Grant Number:

MN20101001

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.)*

During the most recent annual period, the office maintained system software and hardware and installed new equipment, including:
Network taps for the albert sensor;
Maintenance on SAN's;

Maintenance on brocade switches;

F5 IP intelligence;

Maintenance on Entrust multifactor authentication; Maintenance on Netwrix Cisco switches;

Maintenance on our Thycotic Secret server;

Maintenance on our F5 appliances;

Checkpoint management server;

Exagrid maintenance (backup storage)

Commvault maintenance (backup software)

Datacore maintenance (storage)

Storcentric maintenance (storage)

Veracode licenses (application security scanning software);

Octopus maintenance (automated deployment software)

and

Maintenance on Syncplify Me FTP server software.

The office also continued the SVRS Modernization project and continued SVRS Absentee Ballot enhancements in preparation for the 2020 Election Cycle, and continued our Cybernavigator services to improve cybersecurity generally throughout the system especially with county offices.

The CyberNavigator continues to help local governments improve their cybersecurity and overall elections security posture. The state continues to:

Engage with all 87 counties to improve elections IT security;

Meet with all contacts (virtually);

Engage county contacts on election cyber security topics;

Engage counties through regular email communication on security best practices as well as communicating on specific threat alerts or notifications;

Provide communication resource information to all 87 counties (invites to events, links to partner resources, announcements of initiatives, etc.).

The state continues to improve and modernize the Statewide Voter Registration System (SVRS) piece by piece. After the election, the office Elections IT Development team has returned to this improvement and modernization.

The state is also investigating the establishment of a grant program to local jurisdictions.

- In the run-up to the 2020 statewide elections, efforts were focused on linking together state, county, and local election officials to share situational awareness of security-related concerns with potential impact on the conduct of the November election. Specifically, a virtual platform was established and introduced to allow broad, persistent connectivity amongst election and IT officials to collaborate on all matters of cyber and physical security. The platform was particularly valuable in working through a pre-election voter registration system outage and confirming that it was indeed NOT the result of a security breach.

- Post November 2020 election, concentration shifted to shoring up remote access to the statewide voter registration system. By researching available multi-factor authentication options, collaborating with county users, and ensuring viable solutions would be embraced by local election officials, a way-ahead was crafted that promises significantly-enhanced overall election security upon full implementation.

- Direct county engagement remained a focus throughout this reporting period. Frequent and regular interaction (both virtual and in-person) with county IT and election officials ensured that Minnesota's Election Security Cyber Navigator program remained well-synchronized with both the needs and challenges of those charged with actually planning, conducting, and protecting

Minnesota's elections. Sharing of both threat awareness content, as well as available Federal, State, non-profit, and academic resources remained central to all engagement efforts.

- 2021 proved critical for designing, vetting, and ultimately implementing a HAVA Grants Program to Minnesota Counties. Upon legislative approval of funding, the cyber navigator researched and vetted a comprehensive list of cybersecurity and overall election security prerequisites for county completion prior to awarding of funding. By working closely with engaged counties, the pre-req list emerged as both a legitimate set of security enhancements while remaining accomplishable by county IT and elections staffs with limited available time.

- To maximize the future value of Minnesota's Election Security Cyber Navigator program, significant effort was expended in crafting a personnel / human resources requirement to expand the cyber navigator team. The resultant position description and hiring action will vastly expand the capacity of the program to continue the important work of protecting future elections in Minnesota.

SVRS Modernization project activities included:
• POC (Proof of Concept) to determine our client-side technology between Razor Pages and Angular. Angular was chosen by the team.
• IDS 4 (Identity Server), training, configuration, setup, and proof of concept with client-side application communicating with legacy webforms application. Identity Server will be leveraged for access control.
• Entity Framework evaluation and testing.
• Bootstrap migration from version 3.37 to 5.
• SVRS Modernization and Legacy SVRS, swapped out Forms Authentication with OWIN middleware to allow future proofing and additional security options.
• Menu structure redesign.
• Authentication and Authorization have been redesigned
• Exploring additional MFA (multi-factor authentication) options and platforms
• Exploring using GIS data and maps to aid in Address setup, Absentee Ballot Locations, and Polling Locations.
• Requirements gathered on:
o SVRS Report changes to include new reports, consolidated reports, new filter criteria for existing reports
o Absentee Ballot process changes to include redesigned screens, layout, process flow, filter criteria, data entry, and validations
o User roles and permissions have been consolidated from six to three
o Mail Ballot process flow changes and additional search filter criteria have been added
o Address Range process performance improvements, process flow changes, and ease of use changes
o Polling place changes to include updated process flows, new validations and warnings, ease of use changes
o Voter registration process flow changes to break up add/update, correct, and merge functionality.
 - Expanded voter search to include absentee and mail ballot record information along with accepted ballot information.
 - Pending applications is being redesigned to break apart queued application from actual pending applications.
 - New validations are being added to voter add/update process flows.

Legacy SVRS
• Absentee Ballot performance work
o re-writing slow running stored procedures to allow more throughput
o UI screens were modified to streamline processing and usability
• Redistricting and Address Range process improvements and performance enhancements.
• Public Information List redesign and creating an online application instead of the paper format.
• Database performance improvements for routinely ran reports and for Absentee Ballot Labels materials.

MNVotes (Online Voter Registration, Online Absentee Voter, Online Voter Registration Check, and Online Absentee Voter Check)
• Project underway to modernize the application to provide multi-language support, enhance accessibility, and provide a richer mobile device experience.
• Process flows are being streamlined for users
• Database performance improvements

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.

In the 2020 election Minnesota had the highest percentage of eligible voters in the nation for 2020 and the highest Minnesota turnout in the modern era, with the largest raw number of voters in state history while having a very secure election process. The post-election audit process confirmed the accuracy of the results.

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.

No new issues were encountered.

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

As described above, the CyberNavigator continues to work with Minnesota's 87 counties on a regular basis to improve individual county cybersecurity

11. Subgrants:

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

No

12. Match:

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

The required match was met by in-kind expenditures for election security in the amount of $167,712.87, a direct appropriation of $163,000 into the HAVA Account by the Minnesota Legislature in Laws 2019, 1st Special Session, Chapter 10, Article 1, Section 6 (b), and a direct appropriation of $1,477,901 into the HAVA Account by the Minnesota Legislature in Laws 2020, Chapter 77, Section 3, subdivision 2.

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

Voting equipment was not purchased with these funds during this period

5. Expenditures

14. Current Period Amount Expended and Unliquidated Obligations

GRANT COST CATEGORIES - FEDERAL

Voter Registration Systems: : $354196
Cyber Security: : $274344
Voter Education/Communications: : $48279
Accessibility: : $35029

Total : $711848
Comments:

15. 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

16. Confirm Total Grant Expenditure Amounts

Federal : $711848

Match : $0

Total : $711848

OMB CONTROL NUMBER: 3265-0020

8. Certification

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

First Name

Bert (Bibi)

Last Name

Black

Title

General Counsel

Phone Number

Email Address

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

Signature of Certifying Official:

Signature of: Bert (Bibi) Black

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.