

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)			
3. Recipient Organization (Name and complete address including Zip code) EXECUTIVE OFFICE OF STATE OF RHODE ISLAND 82 Smith St 217, Providence, RI 029031120							
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: March 28, 2018				9. Reporting Period End Date (Month, Day, Year) September 30, 2021			
To: September 30, 2029							
10. Transactions					Cumulative		
<i>(Use lines a-c for single or combined multiple grant reporting)</i>							
Federal Cash (To report multiple grants separately, also use FFR Attachment):							
a. Cash Receipts					\$6,216,181.00		
b. Cash Disbursements					\$2,822,378.00		
c. Cash on Hand (line a minus b)					\$3,393,803.00		
<i>(Use lines d-o for single grant reporting)</i>							
Federal Expenditures and Unobligated Balance:							
d. Total Federal funds authorized					\$6,216,181.00		
e. Federal share of expenditures					\$2,822,378.00		
f. Federal share of unliquidated obligations					\$0.00		
g. Total Federal share (sum of lines e and f)					\$2,822,378.00		
h. Unobligated balance of Federal funds (line d minus g)					\$3,393,803.00		
Recipient Share:							
i. Total recipient share required					\$793,236.00		
j. Recipient share of expenditures					\$150,000.00		
k. Remaining recipient share to be provided (line i minus j)					\$643,236.00		
Program Income:							
l. Total Federal share of program income earned					\$85,567.00		
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)					\$85,567.00		
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: State interest earned (current fiscal year): \$0							
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 Halloran-Villandry, Colleen Director of Finance & Personnel					c. Telephone (Area code, number, and extension)		
b. Signature of Authorized Certifying Official Halloran-Villandry, Colleen					d. Email Address		
e. Date Report Submitted (Month, Day, Year) December 29, 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

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(Additional Page)

Federal Agency & Organization : ELECTION ASSISTANCE COMMISSION

Federal Grant ID

Recipient Organization

DUNS Number

DUNS Status when Certified

EIN : September 30, 2021

Reporting Period End Date

Status : Awarding Agency Approval

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
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:

Rhode Island

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 Rhode Island Department of State, State Board of Elections, and Rhode Island's 39 local boards of canvassers utilized HAVA funds to strengthen the cybersecurity of the state's elections infrastructure.

During the reporting period, Rhode Island conducted its general election on November 3, 2020. This election saw record turnout

of more than 521,000 voters casting ballots, with Rhode Islanders voting in almost equal numbers, by mail, early in-person and on Election Day.

HAVA funds allowed Rhode Island to invest in equipment and systems that improve the efficiency and security of its elections and enhance access for voters. An important component of the investments that often gets overlooked and not funded is the ongoing maintenance costs associated with information technology (IT).

Funds were used to continue the maintenance and support of existing cybersecurity monitoring systems that protect the Central Voter Registration System (CVRS) as well as other elements of the elections infrastructure. In addition, due to the uncertainty of sustained federal funding, the Department of State included maintenance funds in its state general revenue requests to ensure these cyber monitoring programs continue to protect the elections systems.

On July 15, over 60 state and local election officials and election partners participated in the Cybersecurity & Infrastructure Security Agency's (CISA) fourth annual Tabletop the Vote exercise. The exercise centered on hypothetical scenarios that election administrators face before, during, and after Election Day. The exercise provided best practices on incident planning, preparedness, identification, response, and recovery. While the exercise was virtual, Rhode Island participants gathered at the Board of Elections for the event.

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.

Over the course of the reporting year, election officials revised some HAVA project timelines due to changes in the election calendar. For instance, Rhode Island held its election for state bond questions in March 2021, rather than the usual November 2020. This required state and local election officials to focus on an additional off-cycle election.

The main projects that has been delayed from the timeline in the original State Plan are the Cyber Assessment and Grants for local election officials as well as the Cybersecurity support and training for local election officials. The cyber assessment and grant programs commenced after the reporting period and will be reported in the next cycle.

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.

As noted above, the cybersecurity assessments and trainings for local election officials were delayed from the initial project timeline due to changes in the election calendar caused by the pandemic.

These projects were scheduled to be post-2020 election, however we intended to commence the projects earlier in 2021.

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

The Department of State utilized HAVA funds for cybersecurity training classes for elections and IT staff in network security, endpoint protection, cybersecurity guidelines and best practices for operations.

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.

The Department of State established a \$100,000 Elections Administration Improvement Grant Program for cities and towns. Most of the subgrants for this program were listed in the prior reporting period.

Two communities submitted for reimbursement during the current reporting period.

The Town of Westerly purchased security cameras for the election office and mail ballot drop box.
The City of Newport notified voters of a precinct change for the November 2020 general election.

Provide a breakdown of aggregate subawards expenditures across major categories.

Security : \$1,401.85
Communications : \$860.63

Total : \$2262.48

13. Match:

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

We have not identified any matching funds during the reporting period.

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

During the reporting period, the Department of State utilized HAVA funds to support the data and services plan for the e-poll books.

5. Expenditures

14. Current Period Amount Expended and Unliquidated Obligations

GRANT COST CATEGORIES - FEDERAL

Voting Equipment and Processes: : \$76548
Voter Registration Systems: : \$70784
Cyber Security: : \$80375
Staffing: : \$38105
Training: : \$3750
Subgrants: : \$2262
Other (Specify below) : \$4
Other (Specify below) : -\$25397
Other (Specify below) : -\$231415

Total : \$15016

Comments: \$4.24 - Audit fees to the State of Rhode Island (\$25,397) - Credit received for 50 laptops previously paid with HAVA funds and reported in the prior reporting period that we returned to the vendor. (\$231,415.19) - Expenditures that were initially reported in the prior period that were subsequently paid with state general revenue funds.

15. GRANT COST CATEGORIES - MATCH

Voting Equipment and Processes: : \$0

Total : \$0

Comments:

7. Expenditures

16. Confirm Total Grant Expenditure Amounts

Federal : \$15016

Match : \$0

Total : \$15016

OMB CONTROL NUMBER: 3265-0020

8. Certification

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

First Name

Rob

Last Name

Rock

Title

Director of Elections

Phone Number

Email Address

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

Yes!

18.

First Name

Jason

Last Name

Martiesian

Title

Chief of Staff

Email Address

Signature of Certifying Official:

A handwritten signature in black ink that reads "Rob Rock". The letters are stylized and connected, with a long horizontal line extending from the end of the "k".

Signature of: Rob Rock

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.