

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) Elections System of the Virgin Islands 93 Sunny Isles Anx Ste AB, Christiansted, VI 00823								
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, 2019								
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					\$1,200,000.00			
b. Cash Disbursements					\$1,027,815.35			
c. Cash on Hand (line a minus b)					\$172,184.65			
<i>(Use lines d-o for single grant reporting)</i>								
Federal Expenditures and Unobligated Balance:								
d. Total Federal funds authorized					\$1,200,000.00			
e. Federal share of expenditures					\$1,027,815.35			
f. Federal share of unliquidated obligations					\$0.00			
g. Total Federal share (sum of lines e and f)					\$1,027,815.35			
h. Unobligated balance of Federal funds (line d minus g)					\$172,184.65			
Recipient Share:								
i. Total recipient share required					\$0.00			
j. Recipient share of expenditures					\$0.00			
k. Remaining recipient share to be provided (line i minus j)					\$0.00			
Program Income:								
l. Total Federal share of program income earned					\$5,172.45			
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)					\$5,172.45			
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 Fawkes, Caroline Supervisor					c. Telephone (Area code, number, and extension)			
					d. Email Address			
b. Signature of Authorized Certifying Official Fawkes, Caroline					e. Date Report Submitted (Month, Day, Year) December 13, 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

Reporting Period End Date

Status : Awarding Agency Approval

Remarks : "Please provide the following information:

State interest earned (current fiscal year): \$

State interest expended (current fiscal year): \$

Program income earned (current fiscal year): \$

Program income earned breakdown (current fiscal year): \$ Source: e.g. Sale
of registration list: \$ 0.00

Program income expended (current fiscal year): \$

"

Federal Agency Review

Reviewer Name

Phone #

Email

Review Date

Review Comments :

2021-2022 EAC Progress Report

3. EAC Progress Report

1. State or Territory:

Virgin Islands

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.)

1. Voting Equipment Replacement and Upgrades

An assessment was conducted in 2019 of the current hardware and software to determine whether they can adequately address the needs of all stakeholders. Some voting equipment was purchased with the 2019 HAVA Grant, however, we still

have other voting equipment to purchase with this current Grant. Changes will be made to the overall system based on the results of the planned risk assessment (see item #4), the current needs of the voters of the US Virgin Islands and the available systems based on EAC certification requirement for voting systems.

Timeframe: August 2020 – December 2020

Cost: \$200,000.00

The Elections System of the Virgin Islands was in dire need of obtaining new E-Poll books since the last time they were purchased over ten years ago from Election Systems & Software. ES&S was selected in 2012 as the vendor for our voting machines and voter registration services. ES&S provides ESVI with services which includes but not limited to hosting our voter registration database and providing maintenance of our voting machines, technical support, and any other Election related services. ESVI can only obtain the ExpressPoll books from ES&S as it is compatible with our current voting software and systems. Currently the E-Poll books that is being utilized by the Office of the Supervisor territorially for election day is slow and non-functional. The ExpressPoll gives poll workers a simple-to-operate device that reduces check-in and verification waiting time for voters, increases the accuracy of ballots issued and improves the Election Day experience for all. The ExpressPoll application runs on a tablet which gives poll workers an intuitive, easy-to-understand user interface that's similar to the digital devices they use every day. This payment of \$74,788.00 was for forty-four (44) ExpressPoll Tablets, forty-four (44) ExpressPoll External Printer, software and training to utilize the machines. We received the ExpressPoll books in June of 2021 and conducted training for staff, board members, and voting technicians from November 29, 2021, until December 3, 2021.

2. Election Auditing (Section Not Applicable)

3. Voting Registration Systems and Management

The USVI Voter registration system will be updated so that the capabilities of the current system will be enhanced to make it more compatible with the required security upgrades. The new system will support the interoperability with the elections system's website that will allow voters to update their registration, support document scanning into the system, registration online, support all mail out ballots, support transition to voting centers, and eventually voting online.

Motor Voter Registration Process

The current voter registration process in the Virgin Islands is paper based and is heavily dependent on the voter visiting the election system offices to register to vote. In addition to the various plans for upgrading the website, BOE intends to implement several projects to modernize the entire voter registration process in the territory to make it easier and more efficient for individuals to register to vote; reduce the administrative and logistical burden on election officials; and reduce costs associated with carrying out voter registration processes.

In most states on average, more than half of all voter registration activities are initiated at the Department of Motor Vehicles. This makes DMV a key partner in the voter registration process and integral to the success of the state's electoral process. The US Virgin Island Bureau of Motor Vehicles and the BOE will work in partnership to implement an electronic system of voter registration is efficient, user-friendly, cost effective timely and accurate. process leads to data entry errors, delays in processing registrations, and registration forms lost during transit.

The new motor voter system will allow voters to complete and sign voter registration forms electronically at the local BMV offices. The information, including the electronic signature, would be transmitted from BMV to BOE electronically through a secure system. Because the information is transmitted electronically, it would greatly reduce transmission time between the BMV and the registration offices. While the information is transmitted and maintained electronically, the system would permit the staff to print paper versions of the registration forms as part of the office procedures, as is currently required. The new electronic system would also benefit other DMV functions, allowing the Territory-wide to increase the impact of any state funding spent on implementing the system.

Timeframe: January 2021 – December 2021

Cost: \$100,000.00

The Elections System of the Virgin Islands met with the Director of Motor Vehicles, Barbara Jackson-McIntosh on numerous occasions to discuss the implementation of online voter registration. These meetings focused on what each agency expects from each other and what information is expected to be shared. Delaware State Commissioner Anthony Albence provided an

overview of their online voter registration database and future demonstrations are scheduled which will allow us to form our Request for Proposals.

4. Cyber Vulnerabilities

Considering the increasing volume and sophistication of cyber threats, the US Virgin Islands Board of Elections (USVIBOE) believe that our current physical infrastructure and voter technology systems are at great risk of being penetrated and compromised. As such the USVIBOE has decided to utilize the 2020 HAVA Security Grants funds

- a) to assess and identify any potential risks
- b) determine the systems cybersecurity maturity
- c) Develop and implement a plan to prevent, mitigate and respond to threats or penetration.
- d) Monitor and evaluate the ongoing operations Risk Assessment.

The Assessment will provide the USVIBOE and the Election System with a repeatable and measurable process of assessing and identifying our risks and cybersecurity preparedness.

The Assessment will consist of two parts: Inherent Risk Profile and Cybersecurity Maturity. The Inherent Risk Profile identifies the inherent risk before implementing controls. The cybersecurity Maturity includes domains, assessment factors, components, and policies and procedures across five maturity levels to identify specific controls and practices that are in place.

To complete the Assessment, the system's inherent risk profile will first be assessed based on five categories:

- Technologies and Connection Types
- Delivery Channels
- Online Technology Services
- Organizational Characteristics
- External Threats

The Assessment is intended to be used primarily on a system-wide basis and when introducing new products and services as follows:

- System-wide. Conduct a review of the Inherent Risk Profile to understand which policies, procedures, processes, and controls are in place and should be in place system-wide and where gaps may exist. Following this review, a determination will be made of the appropriate maturity levels for the system in each domain or the target state for Cybersecurity Maturity. Management can then develop action plans for achieving the target state.
- New products, services, or initiatives. Using the Assessment before launching a new product, service, or initiative can help the Board of Elections and management understand how these might affect the system's inherent risk profile and resulting desired maturity levels.

The Inherent Risk Profile identifies activities, services, and products within the

systems and those external connections that are needed or being utilized as part of the system.

- Technologies and Connection Types. Certain types of connections and technologies may pose a higher inherent risk depending on the complexity and maturity, connections, and nature of the specific technology products or services. This category includes the number of Internet service provider (ISP) and third-party connections, whether systems are hosted internally or outsourced, the number of unsecured connections, the use of wireless access, volume of network devices, end-of-life systems, extent of cloud services, and use of personal devices.
- Delivery Channels. Various delivery channels for products and services may pose a higher inherent risk depending on the nature of the specific product or service offered. Inherent risk increases as the variety and number of delivery channels increases. This category addresses those services that are available through online and mobile delivery channels and the interactivity of the website thus the potential for data exposure.

- Online/Mobile Products and Technology Services. Different products and technology services offered by institutions may pose a higher inherent risk depending on the nature of the specific product or service offered. The Election system currently provide information to the public via the website. In order to ensure that the voter's information and other sensitive data is secured the website will be updated to add a more interactive, reliable, and timely feature.
- Organizational Characteristics. This section will consider organizational characteristics, such as number of direct employees and cybersecurity contractors, changes in security staffing or consultants, the number of users with privileged access, changes in information technology (IT) environment, locations of business presence, and locations of operations and data centers.
- External Threats. The volume and type of attacks (attempted or successful) affect the inherent risk exposure. This category considers the volume and sophistication of the attacks targeting the system.

After completion of the assessment the system's Cybersecurity Maturity level will be evaluated for each of five domains:

- Cyber Risk Management and Oversight
- Threat Intelligence and Collaboration
- Cybersecurity Controls
- External Dependency Management
- Cyber Incident Management and Resilience

Cyber risk management and oversight

Cyber risk management and oversight addresses the board's oversight and management's development and implementation of an effective system-wide cybersecurity program with comprehensive policies and procedures for establishing appropriate accountability and oversight.

Threat intelligence network reporting and sharing

Threat intelligence and collaboration includes processes to effectively discover, analyze, and understand cyber threats, with the capability to share information internally and with appropriate third parties.

Cybersecurity preventative controls

Cybersecurity controls are the practices and processes used to protect assets, infrastructure, and information by strengthening the system's defensive posture through continuous, automated protection and monitoring.

External dependency management

External dependency management involves establishing and maintaining a comprehensive program to oversee and manage external connections and third-party relationships with access to the system's technology assets and information.

Cyber incident management and resiliency

Cyber incident management includes establishing, identifying, and analyzing cyber events; prioritizing the system's containment or mitigation; and escalating information to appropriate stakeholders. Cyber resilience encompasses both planning and testing to maintain and recover ongoing operations during and following a cyber incident.

Timeframe: March 2021 – November 2022

Cost:\$100,000.00

5. Training

Election Officials, Office of the Supervisor of Elections and Board Staff

The US Virgin Islands Board of Elections do not conduct training for board members, the board staff or the staff of the Office of the Supervisor of Elections. This proposed annual, training will be mandatory, this will make everyone aware of changes in election laws; provide them with updated information regarding the BOE's priorities for the year; and allows the exchange of information between election officials and staff. Through the office of the Supervisor of Elections the BOE will also establish a secure website for staff and board members to access tools, training materials, and guidance documents. Meeting the BOE and Supervisor of Elections responsibility to ensure that all election

officials are adequately trained will require the deployment of innovative, effective, and convenient techniques to deliver quality and uniform training territory wide. One viable option to accomplish this goal is the development of a territory-wide, one-stop, online training portal for staff and board members.

Another viable option for training of BOE members, BOE staff and the staff of the Supervisor's office is certified training offered through national training centers such as the Election Center's Professional Education Program. The goal is to provide the highest level of professional knowledge and expert skill in election administration and voter registration practices.

Timeframe: August 2021 – August 2024

Cost:\$75,000.00

6. Communication

Coordinate with the webmaster to upgrade our webpage to incorporate the following applications:

1. Election Official Application online
2. Election Official Quiz online
3. Application for Electors to check their status and polling place – Completed in 2018
4. Comprehensive Marketing Strategy for the 2020 Election Cycle and beyond

Website Upgrade

Upgrade to a Federal Identity and Credential Access Management (FICAM) vendor with Level of Assurance 3 for identity verification when processing online forms. Provide

management dashboard with website traffic, website use, and other internal metrics.

Create secure forms that allow users to fill out all forms online and securely transmit the information to the BOE and the Election System by-passing the need to be physically present in the office to complete forms. Allow users to complete address changes online as well as change of party. Allow users to submit email and mailing addresses to be notified of election day changes to include changes in polling places or voting center. Allow users to schedule appointments for services such as ID cards or duplicate cards.

Poll worker recruitment and available positions will be online so that interested persons can apply and take a skills test prior to being interviewed and selected. The website will also be upgraded to add a Poll worker, board and staff training material (videos and slide presentation), and interactive test for potential poll workers as well as annual testing for trained workers, ADA training videos, and general information and announcements for staff, BOE and Poll workers.

As the Virgin Islands electorate becomes more reliant on their personal computers to conduct their electoral activities, BOE will be expected to provide real-time, online access to all its service offerings including customized and personalized voter information, voting information, and other information relating to elections (polling place location, polling place accessibility characteristics, candidates, registrar information, and the joint board information, etc.). Currently, most communications from BOE or the Office of the Supervisor of Elections to registered and potential voters occur through paper notices, Press Releases, letters, and telephone calls. In the future, voter notices and other information may be more efficiently transmitted using email, internet technologies, and automated telecommunications technologies. Using new transmission methods will increase the timeliness of information delivered to voters and greatly reduce costs for BOE and the office of the Supervisor of Elections. Electronic communications are essential in communicating with Virgin Islands military and overseas voters that are often unable to

reach the election offices during normal business hours due to differences in time zones and the cost of making international calls. BOE's online portal will continue to follow the best practices established by the Election Assistance Commission.

Timeframe: August 2021 – December 2024

Cost: \$125,000.00

The Elections System of the Virgin Islands is in ongoing conversation with our webmaster to complete the above upgrades by the specified deadline.

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.

N/A

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

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11. Subgrants:

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

No

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

44 ExpressVote Tablets with Printers

5. Expenditures

13. Current Period Amount Expended and Unliquidated Obligations

GRANT COST CATEGORIES - FEDERAL

Voting Equipment and Processes: : \$306106
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 : \$306106

Comments:

7. Expenditures

14. Confirm Total Grant Expenditure Amounts

Federal : \$306,106.00
Match : \$0.00

Total : \$306106

OMB CONTROL NUMBER: 3265-0020

8. Certification

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

First Name

Caroline

Last Name

Fawkes

Title

Supervisor of Elections

Phone Number

Email Address

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

Signature of Certifying Official:



Signature of: Caroline F. Fawkes

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.