

# 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)  <b>IA20101001</b>				
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 <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	
8. Project/Grant Period (Month, Day, Year) From: <b>March 28, 2018</b> To: <b>September 30, 2019</b>						9. Reporting Period End Date (Month, Day, Year) <b>September 30, 2020</b>			
<b>10. Transactions</b>								Cumulative	
(Use lines a-c for single or combined multiple grant reporting)									
<b>Federal Cash (To report multiple grants separately, also use FFR Attachment):</b>									
a. Cash Receipts								\$9,786,087.00	
b. Cash Disbursements								\$2,015,646.59	
c. Cash on Hand (line a minus b)								\$7,770,440.41	
(Use lines d-o for single grant reporting)									
<b>Federal Expenditures and Unobligated Balance:</b>									
d. Total Federal funds authorized								\$9,786,087.00	
e. Federal share of expenditures								\$2,015,646.59	
f. Federal share of unliquidated obligations								\$46,477.19	
g. Total Federal share (sum of lines e and f)								\$2,062,123.78	
h. Unobligated balance of Federal funds (line d minus g)								\$7,723,963.22	
<b>Recipient Share:</b>									
i. Total recipient share required								\$1,274,293.40	
j. Recipient share of expenditures								\$0.00	
k. Remaining recipient share to be provided (line i minus j)								\$1,274,293.40	
<b>Program Income:</b>									
l. Total Federal share of program income earned								\$164,125.92	
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)								\$164,125.92	
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: Expenditure of CARES Act HAVA funds to respond to the COVID-19 pandemic during the 2020 General Election cycle delayed									
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>Accountant 3</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>February 4, 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

**FEDERAL FINANCIAL REPORT**

(Additional Page)

---

Federal Agency & Organization : ELECTION ASSISTANCE COMMISSION

Federal Grant ID : IA20101001

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 : September 30, 2020

Status :

Remarks :

---

**Federal Agency Review**

Reviewer Name :

Phone # :

Email :

Review Date :

Review Comments :

# EAC Progress Report

Response ID:30 Data

## 1. Login

Please enter your userword and password to begin the Progress Narrative. If you require assistance or have any questions, please contact [grants@eac.gov](mailto:grants@eac.gov)

## 2. Verification

## 3. EAC Progress Report

### 1. State or Territory:

Iowa

### 2. Grant Number:

IA20101001

### 3. Report:

Annual (Oct 1 - Sept 30)

### 4. Grant:

Please select only one.

Election Security

### 5. Reporting Period Start Date

10/01/2019

### 6. Reporting Period End Date

09/30/2020

### 7. DUNS/UEI:

### 8. EIN:

### 9. Recipient Organization:

#### Organization Name

Iowa Secretary Of State

#### Street Address

321 E 12th Street

**City**

Des Moines

**State**

IA

**Zip**

50319

#### 4. Progress and Narrative

##### **10. Describe in detail what happened during this reporting period and explain how you implemented the approved grant activities.**

The Secretary of State's Office continued full-scale government partnerships at local, state, and federal levels to secure Iowa's elections with unprecedented cooperation and information sharing. The Secretary of State's Office receives election threat intelligence from the Fusion Center, the Iowa Department of Homeland Security and Emergency Management, the Federal Bureau of Investigation, and the Election Infrastructure Information Sharing and Analysis Center (EI-ISAC). The intelligence comes in many forms. Frequently, they are technical "indicators of compromise." That is, suspicious network activity or IP addresses that we need to have our technical defenses alert to. However, much of the intelligence is descriptive and provides a (mostly) plain-language overview of threats that the intelligence community has identified as important to distribute throughout the election community. Iowa's election community receives technical support and guidance from the Department of Homeland Security's (DHS) Cybersecurity and Infrastructure Security Agency (CISA), Iowa's Office of Chief Information Officer, and Iowa Counties Information Technology (ICIT). The Secretary of State's Office worked with ICIT to better understand the IT demands and needs of counties. The office has undergone quantitative and qualitative assessments by CISA (and several others) to baseline our security posture. That information is then leveraged to identify training opportunities for county auditors and staff. People are the front of any cybersecurity defensive line.

The Secretary of State's Office welcomed the U.S. Department of Homeland Security (DHS) to conduct weekly scans on SOS systems. An Albert sensor provided by DHS resides on Iowa's State Voter Registration Database (I-Voters). The sensor is a unique network monitoring solution that provides automated alerts on both traditional and advanced network threats, allowing organizations to respond quickly when their data may be at risk.

Secretary Pate continued to strengthen Iowa's election cybersecurity by adding the positions of Election Cybersecurity Adviser and hiring Jeff Franklin as our Chief Cyber Officer (CCO). Franklin served for several years as the State of Iowa's Chief Information Security Officer (CISO). He also served as the state's interim-Chief Information Officer (CIO). At the end of his CIO stint, Secretary Pate recruited Franklin to the Secretary of State's Office and tasked him with helping us to continue to mature Iowa's election's security posture.

Secretary Pate and his staff take cybersecurity very seriously. Several steps were made to enhance election cybersecurity in FY 2020. The Secretary's Elections Division conducted numerous cybersecurity workshops for county election commissioners and staff. Partnering with the Iowa Office of the Chief Information Officer (OCIO) and the U.S. Department of Homeland Security (DHS), free cybersecurity resources and training were offered throughout the year. The goal was ensuring all 99 counties' systems were protected. The Secretary of State's Office adopted administrative rules to formalize requirements that county auditors need to take to improve cyber defenses.

##### **11. Provide a timeline and description of project activities funded to meet HAVA requirements. Provide an analysis of how such activities conform to the submitted State Plan or Program Narrative as applicable.**

In our 2018 Narrative, we stated, "HAVA funds will be used for a combination of statewide and county level measures. On a

statewide level, the funds will be utilized for firewall upgrades, increased security for I-VOTERS, the statewide registration database, and to add additional staff members to better serve and assist counties as they seek to enhance their security measures." As mentioned above, HAVA funds expended in FFY20 allows the Iowa Secretary of State's Office to work towards accomplishing all of these goals.

Beginning in November 2019, the Iowa Secretary of State's Office began a manual review of felony records provided to our office from the Iowa District Courts. This review process along with several new measures taken at both the state and county level were necessary to ensure the integrity of Iowa's felon database. At the time the review was announced, individuals with past felony convictions were barred from voting in Iowa unless their rights have been restored by the Governor. Prior to the review, Iowa's felon database contained more than 90,000 files. The review was completed prior to the 2020 General Election in FFY21.

---

**12. Describe any significant changes to your program during the course of the project, or if the project was implemented differently than described in your original State Plan or Program Narrative.**

**Otherwise enter - no significant changes during this period.**

No significant changes during this period.

---

**13. Describe any favorable developments which enabled meeting time schedules and objectives sooner or at less cost than anticipated or producing more or different beneficial results than originally planned.**

**Otherwise enter N/A.**

N/A

---

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

**Otherwise enter - No articles of voting equipment purchased during this period.**

No articles of voting equipment purchased during this period.

---

**15. Provide a description of any security training conducted and the number of participants.**

**Otherwise enter - no security training conducted during this period.**

The Iowa Secretary of State's Office conducted several security training opportunities including: DHS CISA TTX, six regional Incidence Response Plan Workshops with local election officials and a TTX related to said workshops. Additionally, SOS staff attended Belfer's Battlestaff Bootcamp, and SOS staff and local election officials attended TTX events in New Jersey and Colorado as observers and facilitators in preparation of Iowa's TTX.

Iowa TTX training included county auditors and election staff, county IT providers, county emergency managers, and election vendors. Participation count was approx. 150-200. Secretary of State staff also participated in OCIO cybersecurity awareness training and this training was available to county personnel also.

---

**16. Subgrants (if applicable):**

**Describe how you made funds available to local jurisdictions.**

**Provide a description of the major categories of subgrant activities local voting districts will accomplish with the funds.**

**Otherwise enter N/A.**

N/A

---

**17. Match (if applicable):**

**Describe how you are meeting the matching requirement.**

**Otherwise enter - match not required.**

As mentioned below, 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.

#### **18. Issues Encountered:**

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

**Otherwise enter - no issues encountered.**

No issues encountered.

#### **19. Upcoming Activities:**

**Provide a timeline and description of upcoming activities.**

In March 2020, Iowa Secretary of State Paul Pate announced a plan to provide \$1 million in subgrants to Iowa counties to assist them with cybersecurity resources. Throughout 2020, the U.S. Department of Homeland Security and Iowa's Office of the Chief Information Officer (OCIO) conducted scans of Iowa counties' websites and internal systems. Following those scans, the Secretary of State's Office will make an initial investment of \$1 million to help cover the expenses of recommended upgrades. Almost every Iowa county already receives at least three cyber-services from the OCIO, including training, intrusion detection, and malware prevention.

Secretary Pate is also helping counties transition their websites to .gov domains. This step will ensure the all 99 counties' websites have top level security. The Secretary of State's Office will cover the cost for counties to make the transition. The Department of Homeland Security recommends all government entities utilize the .gov domain for their websites, and the National Association of Secretaries of State has adopted a similar resolution.

The Iowa Secretary of State continues its third-party vendor contract to maintain I-Voters, the statewide voter registration system and the election night reporting program. The office made significant progress in FY 2020 to prepare for replacing I-Voters. This is a multi-year, multimillion-dollar project and remains on schedule. The Secretary of State's Office visited other states during FY 2020 to learn about their processes for making upgrades to their statewide systems in recent years. County auditors were invited to participate in these information gathering sessions.

## **5. Expenditures**

### **20. Current Period Amount Expended and Unliquidated Obligations**

#### **GRANT COST CATEGORIES**

	Federal	Match
Voting Equipment:	\$0.00	
Post-Election Auditing:	\$0.00	
Voter Registration Systems:	\$0.00	
Cyber Security:	\$762,600.64	
Communications:	\$28,164.26	
Total	\$982,864.53	
Election Administration	\$189,954.43	
Accessibility	\$2,145.20	

OMB CONTROL NUMBER: 3265-0020

## 6. Certification

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

**First Name**

Molly

**Last Name**

Widen

**Title**

Legal Counsel

**Phone Number**

**Email Address**

Signature of Certifying Official:



Signature of: Molly M. Widen

## 7. Report Submitted to EAC

---



Thank you, your progress report has been submitted to EAC. Please keep the PDF download of your submission as grant record.