

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) IN20101001				
3. Recipient Organization (Name and complete address including Zip code) Secretary Of State, Indiana 200 W WASHINGTON ST STE 201, INDIANAPOLIS, IN 462042731									
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 checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual	
8. Project/Grant Period (Month, Day, Year) From: March 28, 2018 To: September 30, 2019						9. Reporting Period End Date (Month, Day, Year) September 30, 2020			
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								\$16,140,537.00	
b. Cash Disbursements								\$8,816,792.90	
c. Cash on Hand (line a minus b)								\$7,323,744.10	
(Use lines d-o for single grant reporting)									
Federal Expenditures and Unobligated Balance:									
d. Total Federal funds authorized								\$16,140,537.00	
e. Federal share of expenditures								\$8,816,792.90	
f. Federal share of unliquidated obligations								\$0.00	
g. Total Federal share (sum of lines e and f)								\$8,816,792.90	
h. Unobligated balance of Federal funds (line d minus g)								\$7,323,744.10	
Recipient Share:									
i. Total recipient share required								\$2,088,844.00	
j. Recipient share of expenditures								\$379,754.00	
k. Remaining recipient share to be provided (line i minus j)								\$1,709,090.00	
Program Income:									
l. Total Federal share of program income earned								\$190,781.00	
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)								\$190,781.00	
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: Enter the current year amount earned or enter \$0. - \$12,098.56									
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 Stanton, Christina Accounting Director						c. Telephone (Area code, number, and extension) d. Email Address			
b. Signature of Authorized Certifying Official Stanton, Christina						e. Date Report Submitted (Month, Day, Year) February 3, 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

FEDERAL FINANCIAL REPORT

(Additional Page)

Federal Agency & Organization : ELECTION ASSISTANCE COMMISSION

Federal Grant ID : IN20101001

Recipient Organization : Secretary Of State, Indiana
200 W WASHINGTON ST STE 201, INDIANAPOLIS, IN 462042731

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:37 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

2. Verification

3. EAC Progress Report

1. State or Territory:

Indiana

2. Grant Number:

in20101001

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

Indiana Secretary Of State

Street Address

200 West Washington St

City

Indianapolis

State

IN

Zip

46204

4. Progress and Narrative

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

December 29, 2020
U.S. Election Assistance Commission
1335 East-West Highway, Suite 4300
Silver Spring, MD 20910

Re: Indiana HAVA Election Security Grant Annual Report

Dear Election Assistance Commission:

This letter provides a narrative of Indiana's Annual Progress Report that covers the HAVA Election Security Grant Funds reporting period of October 1, 2019 to September 30, 2020 and the investments Indiana has expended out of the Indiana Secretary of State's office (INSOS) to qualify for the required matched funds. As outlined in our previous reports to the EAC, we have continued to improve the state's cybersecurity posture while making significant investments in election integrity.

We appreciate the release of \$7,595,088 in HAVA election security funds in 2018 and the additional \$8,545,449.00 in 2019, which in combination with the state match requirement, will be used to continue Indiana's investment in election security. Indiana anticipates to spend these funds by December 2021.

Assessment of Indiana's Cybersecurity Profile:

Since the 2016 election, Indiana has been working to modernize and maximize security through the implementation of cybersecurity projects across the Statewide Voter Registration System (SVRS) and the election infrastructure. Indiana has partnered with the U.S. Department of Homeland Security (DHS) and multiple state partners to assess risk and vulnerabilities, develop best practices, and provide access to 24/7 security information, threat notifications, and security advisories. Additionally, the Indiana Executive Council for Cybersecurity was established by Governor Holcomb in January 2017 to form an understanding of Indiana's cyber risk profile, identify priorities, establish a strategic framework of Indiana's cybersecurity initiatives, and leverage strategic cybersecurity partnerships across the public and private sector. My office serves as co-chair of the Cybersecurity Council's Election Committee.

In 2018, Indiana expanded its cybersecurity footprint through the sharing of cybersecurity best practices with local officials, conducted a risk and vulnerability assessment across the election infrastructure, and piloted a post-election risk limiting audit in our state's largest county to validate optical scan voting tabulation system results.

During this reporting period, INSOS implemented many cybersecurity improvements, which included cybersecurity training at the county and state level that covered spear-phishing, implementation of security enhancements to improve password

protections, hardening the validation protocols required for user access, implementation of SVRS network multifactor authentication protocols, and migrated SVRS to a new hosting environment with added security features.

Election Integrity Initiatives:

Election Communications and Media Advertisements:

As Indiana prepared for the 2020 elections, we purchased media advertisements with available HAVA funds to promote election security and voter participation. These ads ran throughout the year and, in response to the COVID-19 Pandemic, were later supplemented with additional advertisements paid for with CARES dollars.

Voting Equipment Replacement and Upgrades:

During this reporting period and consistent with the plans submitted to the EAC in our program narratives from 2018 and 2019, Indiana has begun deploying auditable voting equipment. The first priority was the purchase of new voting machines and voting equipment for some counties. As Indiana worked to bring these counties into compliance with present-day election security expectations, counties with the greatest needs were offered an opportunity to upgrade voting systems. This comes at a significant cost, but aids in expanding public confidence in election integrity. As we continue these efforts into the next reporting period, we expect to complete these upgrade deployments by mid-2021.

The second priority was the purchase of voter-verifiable paper audit trail (hereon 'VVPAT') equipment. We are happy to report that the election equipment vendor for a majority of counties designed an attachment compatible with current equipment. As Indiana has previously provided and funded, we purchased these on the counties' behalf using the HAVA funds. We will continue to purchase new VVPAT equipment as needed into the next reporting period.

While the State of Indiana planned to exhaust the majority of these funds prior to the 2020 General Election, COVID-19 disrupted this priority. In March 2020, we were on track to purchase VVPAT compatible equipment for the chosen counties. However, these efforts were put on hold to respond to the growing pandemic. In summer 2020, we resumed these discussions to move forward in purchasing the voting machines.

As previously stated, our top priority was purchasing new voting machines and voting equipment for counties with the greatest needs. These counties were all offered the opportunity to upgrade their election equipment before the 2020 General Election, but in light of COVID-19 we allowed the counties to delay the deployment of the new equipment until after the 2020 General Election. However, four counties deployed the new voting equipment before the 2020 General Election. The cost of these counties' pre-election deployment was approximately \$1,216,244.90.

State Match Requirement:

The plans in this narrative are consistent with those submitted in previous reports, and Indiana's implementation has experienced little modification. In 2019, Indiana was appropriated \$10,000,000 by the Indiana General Assembly for election security, which we have used toward our state match requirements. Expenses incurred from the implantation of a statewide cybersecurity solution have been put toward Indiana's 5% state match requirement for the release of the HAVA election security funds from 2018. Additionally, to meet this state match, Indiana incurred costs associated with conducting risk and vulnerability assessments and incident response planning for local election offices.

With regard to our 20% match requirement, as of the date of this letter, Indiana has approximately \$2,822,000 remaining in state-appropriated election security funds. The Indiana Legislature has also identified election security as a top priority and has funded it as such. The remaining state balance accounts for approximately 39% of the 2019 HAVA funds, well beyond our 20% match.

Sincerely,

Connie Lawson
Indiana Secretary of State

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.

Assessment of Indiana's Cybersecurity Profile:

Since the 2016 election, Indiana has been working to modernize and maximize security through the implementation of cybersecurity projects across the Statewide Voter Registration System (SVRS) and the election infrastructure. Indiana has partnered with the U.S. Department of Homeland Security (DHS) and multiple state partners to assess risk and vulnerabilities, develop best practices, and provide access to 24/7 security information, threat notifications, and security advisories.

Additionally, the Indiana Executive Council for Cybersecurity was established by Governor Holcomb in January 2017 to form an understanding of Indiana's cyber risk profile, identify priorities, establish a strategic framework of Indiana's cybersecurity initiatives, and leverage strategic cybersecurity partnerships across the public and private sector. My office serves as co-chair of the Cybersecurity Council's Election Committee.

In 2018, Indiana expanded its cybersecurity footprint through the sharing of cybersecurity best practices with local officials, conducted a risk and vulnerability assessment across the election infrastructure, and piloted a post-election risk limiting audit in our state's largest county to validate optical scan voting tabulation system results.

During this reporting period, INSOS implemented many cybersecurity improvements, which included cybersecurity training at the county and state level that covered spear-phishing, implementation of security enhancements to improve password protections, hardening the validation protocols required for user access, implementation of SVRS network multifactor authentication protocols, and migrated SVRS to a new hosting environment with added security features.

Election Integrity Initiatives:

Election Communications and Media Advertisements:

As Indiana prepared for the 2020 elections, we purchased media advertisements with available HAVA funds to promote election security and voter participation. These ads ran throughout the year and, in response to the COVID-19 Pandemic, were later supplemented with additional advertisements paid for with CARES dollars.

Voting Equipment Replacement and Upgrades:

During this reporting period and consistent with the plans submitted to the EAC in our program narratives from 2018 and 2019, Indiana has begun deploying auditable voting equipment. The first priority was the purchase of new voting machines and voting equipment for some counties. As Indiana worked to bring these counties into compliance with present-day election security expectations, counties with the greatest needs were offered an opportunity to upgrade voting systems. This comes at a significant cost, but aids in expanding public confidence in election integrity. As we continue these efforts into the next reporting period, we expect to complete these upgrade deployments by mid-2021.

The second priority was the purchase of voter-verifiable paper audit trail (hereon 'VVPAT') equipment. We are happy to report that the election equipment vendor for a majority of counties designed an attachment compatible with current equipment. As Indiana has previously provided and funded, we purchased these on the counties' behalf using the HAVA funds. We will continue to purchase new VVPAT equipment as needed into the next reporting period.

While the State of Indiana planned to exhaust the majority of these funds prior to the 2020 General Election, COVID-19 disrupted this priority. In March 2020, we were on track to purchase VVPAT compatible equipment for the chosen counties. However, these efforts were put on hold to respond to the growing pandemic. In summer 2020, we resumed these discussions to move forward in purchasing the voting machines.

As previously stated, our top priority was purchasing new voting machines and voting equipment for counties with the greatest needs. These counties were all offered the opportunity to upgrade their election equipment before the 2020 General Election, but in light of COVID-19 we allowed the counties to delay the deployment of the new equipment until after the 2020 General Election. However, four counties deployed the new voting equipment before the 2020 General Election. The cost of these counties' pre-election deployment was approximately \$1,216,244.90.

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.

Voting Equipment Replacement and Upgrades:

During this reporting period and consistent with the plans submitted to the EAC in our program narratives from 2018 and 2019, Indiana has begun deploying auditable voting equipment. The first priority was the purchase of new voting machines and voting equipment for some counties. As Indiana worked to bring these counties into compliance with present-day election security expectations, counties with the greatest needs were offered an opportunity to upgrade voting systems. This comes at a significant cost, but aids in expanding public confidence in election integrity. As we continue these efforts into the next reporting period, we expect to complete these upgrade deployments by mid-2021. As of the date of this letter, we have purchased a total of 786 machines distributed among the select counties.

While the State of Indiana planned to exhaust the majority of these funds prior to the 2020 General Election, COVID-19 disrupted this priority. In March 2020, we were on track to purchase voter verifiable paper audit trail (VVPAT) compatible equipment for the chosen counties. However, these efforts were put on hold to respond to the growing pandemic. In summer 2020, we resumed these discussions to move forward in purchasing the voting machines.

As previously stated, our top priority was purchasing new voting machines and voting equipment for counties with the greatest needs. These counties were all offered the opportunity to upgrade their election equipment before the 2020 General Election, but in light of COVID-19 we allowed the counties to delay the deployment of the new equipment until after the 2020 General Election. However, four counties deployed the new voting equipment before the 2020 General Election. The cost of these counties' pre-election deployment was approximately \$1,216,244.90.

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

Otherwise enter - no security training conducted during this period.

Assessment of Indiana's Cybersecurity Profile:

Since the 2016 election, Indiana has been working to modernize and maximize security through the implementation of cybersecurity projects across the Statewide Voter Registration System (SVRS) and the election infrastructure. Indiana has partnered with the U.S. Department of Homeland Security (DHS) and multiple state partners to assess risk and vulnerabilities, develop best practices, and provide access to 24/7 security information, threat notifications, and security advisories. Additionally, the Indiana Executive Council for Cybersecurity was established by Governor Holcomb in January 2017 to form an understanding of Indiana's cyber risk profile, identify priorities, establish a strategic framework of Indiana's cybersecurity initiatives, and leverage strategic cybersecurity partnerships across the public and private sector. My office serves as co-chair of the Cybersecurity Council's Election Committee.

In 2018, Indiana expanded its cybersecurity footprint through the sharing of cybersecurity best practices with local officials, conducted a risk and vulnerability assessment across the election infrastructure, and piloted a post-election risk limiting audit in our state's largest county to validate optical scan voting tabulation system results.

During this reporting period, INSOS implemented many cybersecurity improvements, which included cybersecurity training at the county and state level that covered spear-phishing, implementation of security enhancements to improve password protections, hardening the validation protocols required for user access, implementation of SVRS network multifactor authentication protocols, and migrated SVRS to a new hosting environment with added security features.

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.

State Match Requirement:

The plans in this narrative are consistent with those submitted in previous reports, and Indiana's implementation has experienced little modification. In 2019, Indiana was appropriated \$10,000,000 by the Indiana General Assembly for election security, which we have used toward our state match requirements. Expenses incurred from the implantation of a statewide cybersecurity solution have been put toward Indiana's 5% state match requirement for the release of the HAVA election security funds from 2018. Additionally, to meet this state match, Indiana incurred costs associated with conducting risk and vulnerability assessments and incident response planning for local election offices.

With regard to our 20% match requirement, as of the date of this letter, Indiana has approximately \$2,822,000 remaining in state-appropriated election security funds. The Indiana Legislature has also identified election security as a top priority and has funded it as such. The remaining state balance accounts for approximately 39% of the 2019 HAVA funds, well beyond our 20% match.

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.

Voting Equipment Replacement and Upgrades:

During this reporting period and consistent with the plans submitted to the EAC in our program narratives from 2018 and 2019, Indiana has begun deploying auditable voting equipment. The first priority was the purchase of new voting machines and voting equipment for some counties. As Indiana worked to bring these counties into compliance with present-day election security expectations, counties with the greatest needs were offered an opportunity to upgrade voting systems. This comes at a significant cost, but aids in expanding public confidence in election integrity. As we continue these efforts into the next reporting period, we expect to complete these upgrade deployments by mid-2021.

The second priority was the purchase of voter-verifiable paper audit trail (hereon 'VVPAT') equipment. We are happy to report that the election equipment vendor for a majority of counties designed an attachment compatible with current equipment. As Indiana has previously provided and funded, we purchased these on the counties' behalf using the HAVA funds. We will continue to purchase new VVPAT equipment as needed into the next reporting period.

5. Expenditures

20. Current Period Amount Expended and Unliquidated Obligations

GRANT COST CATEGORIES

	Federal	Match
Voting Equipment:	\$1,221,704.90	\$4,444,269.50
Post-Election Auditing:		
Voter Registration Systems:		\$357,126.45
Cyber Security:	\$435,098.94	\$1,643,376.87
Communications:	\$225,000.00	\$2,805.00
Total	\$1,881,803.84	\$6,447,577.82

OMB CONTROL NUMBER: 3265-0020

6. Certification

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

First Name

Mackenzie

Last Name

Nicol

Title

Executive Assistant

Phone Number

Email Address

Signature of Certifying Official:

A handwritten signature in black ink, appearing to read "Mackenzie Nicol". The signature is written in a cursive, flowing style.

Signature of: Mackenzie Nicol

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.