

# Federal Financial Report

(Follow form Instructions)

OMB Number: 4040-0014  
Expiration Date: 01/31/2019

<b>1. Federal Agency and Organizational Element to Which Report is Submitted</b> <input style="width: 90%; height: 20px;" type="text" value="General Services Administration"/>		<b>2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)</b> <input style="width: 90%; height: 20px;" type="text" value="CFDA 90.404 Election Security"/>	
<b>3. Recipient Organization (Name and complete address including Zip code)</b>			
Recipient Organization Name: <input style="width: 95%; height: 20px;" type="text" value="New York State Board of Elections"/>			
Street1: <input style="width: 95%; height: 20px;" type="text" value="40 North Pearl Street"/>			
Street2: <input style="width: 95%; height: 20px;" type="text"/>			
City: <input style="width: 80%; height: 20px;" type="text" value="Albany"/>		County: <input style="width: 80%; height: 20px;" type="text" value="Albany"/>	
State: <input style="width: 80%; height: 20px;" type="text" value="NY: New York"/>		Province: <input style="width: 80%; height: 20px;" type="text"/>	
Country: <input style="width: 80%; height: 20px;" type="text" value="USA: UNITED STATES"/>		ZIP / Postal Code: <input style="width: 80%; height: 20px;" type="text" value="12207-2729"/>	
<b>4a. DUNS Number</b> <input style="width: 90%; height: 20px;" type="text"/>	<b>4b. EIN</b> <input style="width: 90%; height: 20px;" type="text"/>	<b>5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)</b> <input style="width: 90%; height: 20px;" type="text"/>	
<b>6. Report Type</b> <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input checked="" type="checkbox"/> Annual <input type="checkbox"/> Final	<b>7. Basis of Accounting</b> <input checked="" type="checkbox"/> Cash <input type="checkbox"/> Accrual	<b>8. Project/Grant Period</b> From: <input style="width: 40%; height: 20px;" type="text" value="03/23/2018"/> To: <input style="width: 40%; height: 20px;" type="text" value="03/22/2023"/>	<b>9. Reporting Period End Date</b> <input style="width: 90%; height: 20px;" type="text" value="09/30/2019"/>
<b>10. Transactions</b>			Cumulative
<i>(Use lines a-c for single or multiple grant reporting)</i>			
<b>Federal Cash (To report multiple grants, also use FFR attachment):</b>			
a. Cash Receipts		<input style="width: 80%; height: 20px;" type="text" value="0.00"/>	
b. Cash Disbursements		<input style="width: 80%; height: 20px;" type="text" value="0.00"/>	
c. Cash on Hand (line a minus b)		<input style="width: 80%; height: 20px;" type="text" value="0.00"/>	
<i>(Use lines d-o for single grant reporting)</i>			
<b>Federal Expenditures and Unobligated Balance:</b>			
d. Total Federal funds authorized		<input style="width: 80%; height: 20px;" type="text" value="19,483,647.00"/>	
e. Federal share of expenditures		<input style="width: 80%; height: 20px;" type="text" value="6,613,982.21"/>	
f. Federal share of unliquidated obligations		<input style="width: 80%; height: 20px;" type="text" value="0.00"/>	
g. Total Federal share (sum of lines e and f)		<input style="width: 80%; height: 20px;" type="text" value="6,613,982.21"/>	
h. Unobligated balance of Federal Funds (line d minus g)		<input style="width: 80%; height: 20px;" type="text" value="12,869,664.79"/>	
<b>Recipient Share:</b>			
i. Total recipient share required		<input style="width: 80%; height: 20px;" type="text" value="974,182.00"/>	
j. Recipient share of expenditures		<input style="width: 80%; height: 20px;" type="text" value="677,095.54"/>	
k. Remaining recipient share to be provided (line i minus j)		<input style="width: 80%; height: 20px;" type="text" value="297,086.46"/>	
<b>Program Income:</b>			
l. Total Federal program income earned		<input style="width: 80%; height: 20px;" type="text" value="513,669.85"/>	
m. Program Income expended in accordance with the deduction alternative		<input style="width: 80%; height: 20px;" type="text" value="0.00"/>	
n. Program Income expended in accordance with the addition alternative		<input style="width: 80%; height: 20px;" type="text" value="0.00"/>	
o. Unexpended program income (line l minus line m or line n)		<input style="width: 80%; height: 20px;" type="text" value="513,669.85"/>	

11. Indirect Expense						
a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
g. Totals:				<input type="text"/>	<input type="text"/>	<input type="text"/>
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation:						
<input type="text"/> <input type="button" value="Add Attachment"/> <input type="button" value="Delete Attachment"/> <input type="button" value="View Attachment"/>						
<b>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 objectives set forth in the terms and conditions of the Federal award. I am aware that any false, fictitious, or fraudulent information, or the omission of any material fact, may subject me to criminal, civil or administrative penalties for fraud, false statements, false claims or otherwise. (U.S. Code Title 18, Section 1001 and Title 31, Sections 3729-3730 and 3801-3812).</b>						
a. Name and Title of Authorized Certifying Official						
Prefix:	<input type="text" value="Mr."/>	First Name:	<input type="text" value="Robert"/>	Middle Name:	<input type="text" value="A."/>	
Last Name:	<input type="text" value="Brehm"/>			Suffix:	<input type="text"/>	
Title:	<input type="text" value="Co-Executive Director, NYSBOE"/>					
b. Signature of Authorized Certifying Official				c. Telephone (Area code, number and extension)		
<input type="text" value="Robert A. Brehm"/>				<input type="text"/>		
d. Email Address				e. Date Report Submitted		14. Agency use only:
<input type="text"/>				<input type="text" value="12/17/19"/>		

Peter S. Kosinski  
Co-Chair



Douglas A. Kellner  
Co-Chair

Gregory P. Peterson  
Commissioner

40 NORTH PEARL STREET, SUITE 5  
ALBANY, N.Y. 12207-2109

Andrew J. Spano  
Commissioner

Todd D. Valentine  
Co-Executive Director

Phone: 518/474-8100 Fax: 518/486-4068  
<http://www.elections.ny.gov>

Robert A. Brehm  
Co-Executive Director

December 17, 2019

Commissioner Christy McCormick  
Commissioner Benjamin W. Hovland  
Commissioner Donald L. Palmer  
Commissioner Thomas Hicks  
U.S Election Assistance Commission  
1335 East West Highway, Suite 4300  
Silver Spring, MD 20910

Dear Commissioners:

The State of New York is providing an update on state expenditures of the \$380 million Congress appropriated last year for states to purchase new voting equipment and to enhance security of election systems.

The New York State Board of Elections would like to thank your Commission for its support of appropriations to secure our nation's elections infrastructure. The \$19.5 million dollars appropriated to New York State has been invaluable to our efforts. 100% of the funding will be used to enhance the security of our election infrastructure through the 2020 presidential election. The majority of the funding will be directed at enhancing the security of our election infrastructure at our County Boards of Election.

On May 5, 2018, the New York State Board of Elections adopted a cybersecurity plan to protect our infrastructure dubbed ARMOR. The plan will **Assess the Risk, Remediate Vulnerabilities, Monitor On-Operations and Respond to Incidents.**

## **Secure Elections Center**

In response to reports of possible foreign interference in US elections, the designation of Elections as Critical Infrastructure by the US Department of Homeland Security (DHS), and an overall heightened awareness of election security issues, the New York State Board of Elections adopted a comprehensive plan to improve the security of elections within the state utilizing funds received through the 2018 HAVA Election Security Grant program along with the required five percent state/local match.

An integral part of this plan was the formation of the Secure Elections Center (SEC). The Center is comprised of dedicated staff from Information Technology, Election Operations and Public Information, and is led by the newly established Chief Information Security Officer (CISO).

The Center has also established numerous state, local, federal, private, educational, and non-profit partnerships to facilitate its efforts and promote information exchange. The State Board is also a member of the Multi-State Information Sharing and Analysis Center (MS-ISAC) and Elections Infrastructure Information Sharing and Analysis Center (EI-ISAC).

## **Incident Response**

The SEC has established an Incident Response procedure for all County Boards of Elections that requires a two-part notification to the NYS Division of Homeland Security and Emergency Services (DHSES) and the State Board, through a new toll-free number and email address established for this purpose.

During its first two years of existence, the SEC has worked with several NYS counties on malware incidents that have had a direct or indirect effect on County BOE systems or operations. SEC, working with DHSES Critical Incident Response Team (CIRT), has provided guidance to counties on improving their information security posture and, in some cases, required improvements to protect state election infrastructure.

The SEC also sets up a daily status election call leading up to, during, and after early voting and election day. State partners such as DHSES, Information

Technology, the Department of Public Service, the Department of Transportation, and other local agencies participate in these calls. Information sharing has led to better coordination and preparedness to potential cyber incidents and emergency management issues.

## **Education and Outreach**

The State Board has mandated basic Cyber Security Awareness Training for all State and County Board of Elections staff and made this training available free of charge to counties through a purchase of online end-user training from an industry-standard provider. 1,413 users successfully completed this annual web-based training program cumulatively in 2018 and 2019. Successful completion of this training is mandated for 2020.

The State Board attended train the trainer elections exercises provided by Harvard University's Belfer Center. The Board, along with partner DHS, then presented six regional Elections-based Tabletop Exercises across the state. These sessions were widely attended by County Board, IT, Executive, Public Information, and Law Enforcement staff. The regional tabletop exercise had a 100% County Board of Elections and County IT department attendance rate. Over 300 election and IT professionals representing each county attended a tabletop exercise. Our staff participated as an evaluator of New Jersey's statewide tabletop held in September 2019.

The Board participated in the Belfer Center's Election Cybersecurity Series on Social Media/Crisis Communication/Misinformation. In 2019, the Board's communication directors have been active participants in the NASS/NASED social media working group to discuss community standards relative to mis/disinformation reporting.

In its outreach efforts, the Board has provided presentations to several groups on our cyber security initiatives and offerings, as well as sharing general cyber and election security guidance. Some of these groups include New York State Local Government Information Technology Directors' Association (NYSLGITDA), New York State Association of Counties (NYSAC), New York State Election Commissioners Association (NYSECA), the MS-ISAC annual conference and others.

## **Uniform Statewide Risk Assessment**

The State Board has completed a comprehensive uniform Risk Assessment of all NYS County Boards of Elections. This on-site assessment is based on the 88 Best Practices as defined in the Center for Internet Security (CIS) "A Handbook for Elections Infrastructure Security" and covers both technology and governance.

## **Intrusion Detection and Managed Security Services**

The Board has procured Intrusion Detection Services (IDS) for all NYS County Boards of Elections for three years, ensuring protection through the 2020 General Election and beyond. Devices are being installed for all CBOE's that currently do not have an IDS capability and will provide a centralized monitoring and alerting capability directly to the counties.

A contract has also been issued for optional Managed Security Services (MSS), enabling counties to enhance existing log monitoring and security event alerting. These services were rolled out beginning in early 2019. To date, thirty-three Counties are participating in the MSS program.

## **NYSVoter Data Integrity**

The State Board has initiated a project with the State University of New York, Center for Technology in Government (CTG), to detect potential abnormalities in voter registration data. Through this project we will perform a full analysis of historical voter registration transactions to establish baselines and create a system to review current and future streams of data from the County BOE systems for variances.

## **State Board Security Enhancements**

During the past year, the State Board made significant improvements to increase our overall cybersecurity posture and bolster the security of key election systems and end-to-end infrastructure. These actions include adding additional layers of protection for public-facing systems and tightening existing security between State BOE and the counties. Various technologies have been utilized to implement multiple layers of firewalls, intrusion detection and prevention

systems (IDS/IPS), malware protection and system log monitoring. The Board has also engaged multiple third parties, including the federal DHS, to scan, monitor and assess agency networks for emerging security threats.

### **Advisory Services**

The State Board has retained Gartner and NYSTEC to provide advisory services relative to the state procurement process and to provide oversight of the risk assessment contract and to provide assistance in evaluating electronic poll book security features.

### **Funding Summary**

New York State has either spent or encumbered \$19,010,012.00 of the federal 2018 HAVA Election Security Grant toward implementation of the above cybersecurity efforts. The required five percent local match is satisfied by \$1,068,578.09 expended in state cybersecurity efforts. See attached NYS funding summary.

New York State would welcome additional cybersecurity funding from the federal government. The two largest impediments to securing our election infrastructure is the unreliability of our cybersecurity funding stream and the difficulty in retaining qualified IT staff.

If you require additional information or feedback on the use of the grant funds, please contact our office directly at 518-474-8100.

Sincerely,



Robert A. Brehm  
Co-Executive Director

## 2018 HAVA ELECTION SECURITY GRANT

**Budget Information** CFDA # 90.404 Non-Construction Program

**Name of Organization:** New York State Board of Elections

**Budget Period Start:** 3/23/2018 **SECTION A - BUDGET SUMMARY** *(Consolidated Budget for total project term-- up to 5 years as defined by grantee)*

**Budget Period End:**  **FEDERAL & NON-FEDERAL FUNDS (Match)**

### PROGRAM CATEGORIES

BUDGET CATEGORIES	(a) Voting Equipment	(b) Election Auditing	(c) Voter Registration Systems	(d) Cyber Security	(e) Communications	(f) Other _____	(g) Other _____	TOTALS	% Fed Total
1. PERSONNEL (including fringe)				\$ 2,500,000.00				\$ 2,500,000.00	13%
2. EQUIPMENT				\$ 100,000.00				\$ 100,000.00	1%
3. SUBGRANTS- to local voting jurisdictions								\$ -	0%
4. TRAINING				\$ 200,000.00				\$ 200,000.00	1%
5. All OTHER COSTS				\$ 16,683,647.00				\$ 16,683,647.00	86%
6. TOTAL DIRECT COSTS (1-6)	\$ -	\$ -	\$ -	\$ 19,483,647.00	\$ -	\$ -	\$ -	\$ 19,483,647.00	
7. INDIRECT COSTS (if applied)								\$ -	0%
<b>8. Total Federal Budget</b>	\$ -	\$ -	\$ -	\$ 19,483,647.00	\$ -	\$ -	\$ -	\$ 19,483,647.00	
<b>11. Non-Federal Match</b>				\$ 974,182.35				\$ 974,182.35	
<b>12. Total Program Budget</b>	\$ -	\$ -	\$ -	\$ 20,457,829.35	\$ -	\$ -	\$ -	\$ 20,457,829.35	
<b>13. Percentage By Category</b>	0%	0%	0%	100%	0%	0%	0%		

**Proposed State Match** 5.0%

A. Do you have an Indirect Cost Rate Agreement approved by the Federal government or some other non-federal entity? 3.10%

If yes, please provide the following information:

B. Period Covered by the Indirect Cost Rate Agreement (mm/dd/yyyy-mm/dd/yyyy):

C. Approving Federal agency:

D. If other than Federal agency, please specify:

E. The Indirect Cost Rate is: