

**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>PA20101001</b>			
3. Recipient Organization (Name and complete address including Zip code)  <b>STATE, PENNSYLVANIA DEPARTMENT OF</b> <b>401 NORTH ST RM 308 N OFC BLDG, HARRISBURG, PA 171200500</b>							
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 checked="" type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input type="checkbox"/> Final	<input type="checkbox"/> Cash <input checked="" type="checkbox"/> Accrual		
8. Project/Grant Period (Month, Day, Year) From: <b>March 28, 2018</b>				9. Reporting Period End Date (Month, Day, Year) <b>September 30, 2019</b>			
				<b>March 31, 2021</b>			
<b>10. Transactions</b>					Cumulative		
<i>(Use lines a-c for single or combined multiple grant reporting)</i>							
<b>Federal Cash (To report multiple grants separately, also use FFR Attachment):</b>							
a. Cash Receipts					\$28,651,723.00		
b. Cash Disbursements					\$28,651,723.00		
c. Cash on Hand (line a minus b)					\$0.00		
<i>(Use lines d-o for single grant reporting)</i>							
<b>Federal Expenditures and Unobligated Balance:</b>							
d. Total Federal funds authorized					\$28,651,723.00		
e. Federal share of expenditures					\$19,217,989.68		
f. Federal share of unliquidated obligations					\$8,831,360.09		
g. Total Federal share (sum of lines e and f)					\$28,049,349.77		
h. Unobligated balance of Federal funds (line d minus g)					\$602,373.23		
<b>Recipient Share:</b>							
i. Total recipient share required					\$3,708,921.00		
j. Recipient share of expenditures					\$922,178.75		
k. Remaining recipient share to be provided (line i minus j)					\$2,786,742.25		
<b>Program Income:</b>							
l. Total Federal share of program income earned					\$500,065.28		
m. Program income expended in accordance with the deduction alternative					\$0.00		
n. Program income expended in accordance with the addition alternative					\$118,019.67		
o. Unexpended program income (line l minus line m and line n)					\$382,045.61		
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  <b>Rivera, Alfredo</b> <b>ACCOUNTANT 3</b>				c. Telephone (Area code, number, and extension)			
				d. Email Address			
b. Signature of Authorized Certifying Official  <b>Rivera, Alfredo</b>				e. Date Report Submitted (Month, Day, Year)  <b>April 20, 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)

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Federal Agency & Organization : ELECTION ASSISTANCE COMMISSION

Federal Grant ID : PA20101001

Recipient Organization : STATE, PENNSYLVANIA DEPARTMENT OF  
401 NORTH ST RM 308 N OFC BLDG, HARRISBURG, PA 171200500 :

DUNS Number

DUNS Status when Certified : ACTIVE (as of 04/20/2021)

EIN :

Reporting Period End Date : March 31, 2021

Status : Report Certified/Pending Agency Approval

Remarks : Please provide the following information:

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): \$ Source: e.g. Sale of registration list

Program income expended (current fiscal year): \$0

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**Federal Agency Review**

Reviewer Name :

Phone # :

Email :

Review Date :

Review Comments :

# EAC Progress Report

Response ID:276 Data

## 1. Login

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## 2. Verification

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## 3. EAC Progress Report

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### 1. State or Territory:

Pennsylvania

### 2. Grant Number:

PA20101001-01

### 3. Report:

Other - Write In: Mid-Year

### 4. Grant:

**Please select only one.**

Election Security

### 5. Reporting Period Start Date

10/01/2020

### 6. Reporting Period End Date

03/31/2021

### 7. Recipient Organization:

#### Organization Name

Pa Dept Of State

**Street Address**

401 North Street 308 North Office Building

**City**

Harrisburg

**State**

PA

**Zip**

17120

## 4. Progress and Narrative

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

During this rating period, the PA Department of State used Election Security funds for the following:

- RLA software (Arlo) Hosting and Support: The department utilized grant funds during this period to host and support Risk Limiting Audit (RLA) software to facilitate statewide post-election risk limiting audit pilots.
- Initial Licensure Fees for the new SURE IT System development: The department utilized grant funds during this period to fund the initial licensing fees for the department's replacement of its aging statewide voter registration database (SURE). Customization development for the new statewide voter registration database will occur throughout 2021 and early 2022, and the new system will be deployed in 2022.
- Albert Sensors for county election offices: The department utilized grant funds during this period to support its ongoing initiative to provide network sensors and monitoring to all 67 counties in the Commonwealth to aid them in securing their own networks and identifying potentially harmful traffic.
- Necessary changes to the Statewide Uniform Registry of Electors (SURE) system: The department utilized grant funds to make necessary changes to the statewide voter registration database and the department's election management system to support Act 77 election reforms primarily related to vote by mail, including the following:
  - Changes to help counties better manage absentee and mail-in balloting workflow and to manage voters who signed up for the new "permanent" absentee or mail-in voter lists.

- Changes to support counties' efforts to utilize mail sorting and ballot envelope scanning equipment to efficiently record returned mail ballots.
- Changes to the online absentee and mail-in ballot request application to accommodate statutory and administrative changes to mail voting.
- Necessary poll book changes to accommodate Election Code amendments that occurred during 2020 related to tracking voters who requested and returned a mail ballot.
- Election Night Returns changes to disseminate votes cast at the polls, by mail and by provisional ballot.
- Increased technical support to support recent Act 77 changes and to respond to the demands on SURE created by the exponential increase in mail ballot requests.
- Scales for county election offices: The department utilized grant funds to provide scales to counties to support the post-election ballot polling risk limiting audits conducted throughout the Commonwealth.
- County Block Grants for county reimbursements: The department utilized grant funds during this period to provide block grants to counties to reimburse them for allowable expenditures. County Election offices used funds for permissible expenditures related to the 2020 election for increased personnel, equipment, and/or other approved expenditures related to Act 77 and expansion of vote by mail and related election administration needs; ransomware protections, DDOS protections, and other cybersecurity measures; increased security of voting systems and ballots; and/or increased expenditures to support vote by mail and other voter services.

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**9. 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.**

Otherwise enter N/A.

N/A

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**10. 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.**

Otherwise enter N/A.

While we are not encountering any issues, we have not achieved 100% participation with the Albert Sensors initiative. As of 4/29/21, 42 out of 67 counties (63%) are participating in the initiative.

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**11. Provide a description of any security training conducted.**

Otherwise enter N/A.

The Department provided training in the form of a tabletop exercise and ongoing phishing for county election officials, however, grant dollars were not used for this initiative.

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**12. 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.

The original 2018 Election Security Grant provided the entire grant award, \$13,476,156, to county election offices for the

purpose of replacing aging voting machines. The funds were distributed as reimbursements for expenditures made on voting equipment that complied with the Department's voting system directives. The grant amounts were awarded proportionately based on numbers of registered voters officially certified by the counties to the Department at the close of registration on April 17, 2018. All grant funds and the state match dollars were allocated prior to this reporting period.

Of the 2020 Election Security grant, \$7 million in sub-grants awards will be provided to counties with the award amount calculated using voter registration numbers in each county as of April 13, 2020, with a minimum grant award totaling \$3,750. County Election offices can use funds for permissible expenditures preferably related to the 2020 election for increased personnel, equipment, and/or other approved expenditures related to Act 77 and expansion of the provision and administration of election services; ransomware, DDOS protections, and other cybersecurity measures; increased security of voting systems and ballots; and/or increased expenditures to expand and support vote by mail and other voter services. As of March 31, 2021, \$1,521,536.91 has been provided to counties for reimbursement of eligible expenditures.

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

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

**Otherwise enter - match not required.**

Pennsylvania's total state match totals \$3,708,921, of which \$922,178.75 has been expended (\$248,370.70 during this reporting period). The current state match spend is the commonwealth's 5% match requirement for the 2018 Election Security grant used to reimburse counties for new voting equipment. The remainder of the state match will come from the commonwealth's initiative to upgrade the Statewide Uniform Registry of Electors (SURE) system. This contract is started on January 4, 2021. From the contract start through June 2023, the commonwealth will invest more than \$4 million in state funding towards this initiative meeting the requirements of the match.

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**5. Expenditures**

**14. Current Period Amount Expended and Unliquidated Obligations**

**GRANT COST CATEGORIES**

	Federal	Match
Voting Equipment and Processes:	\$8,519.94	
Post-Election Auditing:	\$118,318.00	\$0.00
Voter Registration Systems:	\$3,122,871.70	\$248,370.70
Cyber Security:	\$938,803.95	\$0.00
Communications:	-\$855,036.87	\$0.00
Total	\$4,720,687.58	\$248,370.70
County Block Grants (Includes additional election staff; voting services; voting system/ballot security; cyber security; equipment)	\$1,387,210.86	\$0.00

OMB CONTROL NUMBER: 3265-0020

## 6. Certification

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

**First Name**

Kimberly

**Last Name**

Mattis

**Title**

Director, Bureau of Finance and Operations, PA DOS

**Phone Number**

**Email Address**

**Signature of Certifying Official:**



Signature of: Kimberly Mattis

**7. Report Submitted to EAC**

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