

**FEDERAL FINANCIAL REPORT**

(Follow form instructions)

|  |         |         |                |   |  |  |  |
|--|---------|---------|----------------|---|--|--|--|
| 1. Federal Agency and Organizational Element to Which Report is Submitted<br><b>ELECTION ASSISTANCE COMMISSION</b>   |         |         |                |   | 2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)<br><b>PA20101CARES</b> |  |  |
| 3. Recipient Organization (Name and complete address including Zip code)<br><br><b>STATE, PENNSYLVANIA DEPARTMENT OF<br/>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<br><input type="checkbox"/> Quarterly<br><input type="checkbox"/> Semi-Annual<br><input checked="" type="checkbox"/> Annual<br><input type="checkbox"/> Final | 7. Basis of Accounting<br><input type="checkbox"/> Cash<br><input checked="" type="checkbox"/> Accrual |
| 8. Project/Grant Period (Month, Day, Year)<br>From: <b>March 28, 2020</b> To: <b>December 31, 2020</b>   |         |         |                |   | 9. Reporting Period End Date (Month, Day, Year)<br><b>December 31, 2020</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   |         |         |                |   |  | \$14,223,603.00  |  |
| b. Cash Disbursements  |         |         |                |   |  | \$8,406,340.71   |  |
| c. Cash on Hand (line a minus b)   |         |         |                |   |  | \$5,817,262.29   |  |
| <i>(Use lines d-o for single grant reporting)</i>  |         |         |                |   |  |  |  |
| <b>Federal Expenditures and Unobligated Balance:</b>   |         |         |                |   |  |  |  |
| d. Total Federal funds authorized  |         |         |                |   |  | \$14,223,603.00  |  |
| e. Federal share of expenditures   |         |         |                |   |  | \$8,406,340.71   |  |
| f. Federal share of unliquidated obligations   |         |         |                |   |  | \$4,116,872.48   |  |
| g. Total Federal share (sum of lines e and f)  |         |         |                |   |  | \$12,523,213.19  |  |
| h. Unobligated balance of Federal funds (line d minus g)   |         |         |                |   |  | \$1,700,389.81   |  |
| <b>Recipient Share:</b>  |         |         |                |   |  |  |  |
| i. Total recipient share required  |         |         |                |   |  | \$2,844,721.00   |  |
| j. Recipient share of expenditures   |         |         |                |   |  | \$504,702.48   |  |
| k. Remaining recipient share to be provided (line i minus j)   |         |         |                |   |  | \$2,340,018.52   |  |
| <b>Program Income:</b>   |         |         |                |   |  |  |  |
| l. Total Federal share of program income earned  |         |         |                |   |  | \$20,107.22  |  |
| m. Program income expended in accordance with the deduction alternative  |         |         |                |   |  | \$0.00   |  |
| n. Program income expended in accordance with the addition alternative   |         |         |                |   |  | \$15,619.10  |  |
| o. Unexpended program income (line l minus line m and line n)  |         |         |                |   |  | \$4,488.12   |  |
| 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:<br>10.C Funding received in advance.  |         |         |                |   |  |  |  |
| <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 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)</b> |         |         |                |   |  |  |  |
| a. Typed or Printed Name and Title of Authorized Certifying Official<br><br><b>Rivera, Alfredo<br/>ACCOUNTANT 3</b>  |         |         |                |   | c. Telephone (Area code, number, and extension)  |  |  |
|  |         |         |                |   | d. Email Address   |  |  |
| b. Signature of Authorized Certifying Official<br><br><b>Rivera, Alfredo</b>   |         |         |                |   | e. Date Report Submitted (Month, Day, Year)<br><br><b>March 9, 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 : PA20101CARES

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

DUNS Number :

EIN :

Reporting Period End Date : December 31, 2020

Status : Awarding Agency Approval

Remarks : 10.C Funding received in advance.  
10i and 10j. State interested earned or expended \$0.  
10i. Program income \$0

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# EAC Progress Report

Response ID:128 Data

## 1. Login

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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

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## 3. EAC Progress Report

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### 1. State or Territory:

Pennsylvania

### 2. Grant Number:

PA20101CARES

### 3. Report:

CARES (Off-cycle report only due February 28, 2021)

### 4. Grant:

Please select only one.

CARES

### 5. Reporting Period Start Date

03/28/2020

### 6. Reporting Period End Date

12/31/2020

### 7. DUNS/UEI:

### 8. EIN:

### 9. 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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### 10. CARES Grant Specific:

#### Describe how you used the funds to address the pandemic.

Pennsylvania received over \$14.2M to prevent, prepare for, and correspond to the effects of the pandemic on the 2020 elections. Funds were used to provide and outreach campaign for the primary election targeting multiple voting options including voting by mail, a new endeavor for the state; personal protective equipment for county election offices and polling locations throughout the state; return postage for voters returning mail-in ballots as an incentive to encourage voters to vote by mail as a means to reduce exposure on election day; a direct mailer to all voters across the state to offer information on various ways to vote as well as the change in the date of the primary election; and also provided \$6M of the grant to county election offices to provide further financial assistance during the pandemic.

### 11. Describe the major issues you faced in dealing with the pandemic in the election cycle.

Like other states, the Commonwealth faced some issue dealing with the pandemic during the election cycle. Even before COVID-19, Pennsylvania was on a path towards transforming the way people vote in Pennsylvania. In October 2019 Governor Wolf signed historic bi-partisan election reform legislation that included more changes to the way Pennsylvanian's vote than at any other time in the last 80 years. Among those changes, Pennsylvania adopted "no-excuse" mail-in voting beginning with the 2020 Primary. As a result of the COVID-19 pandemic, the adoption rate of the new mail-in voting option exponentially exceeded expectations. This presented the following challenges:

- Updating and augmenting the statewide database infrastructure to handle the volume of mail ballots.
- Experienced poll workers could not serve because they are members of two of the groups most at risk of severe symptoms of COVID - 65+ years of age with chronic health conditions.
- Logistical challenges associated with obtaining and distributing PPE and other COVID mitigation supplies for in-person voting to 67 counties for more than 9,000 precincts.
- Locating alternative polling locations for buildings within long term care facilities, retirement communities, etc.

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

Some of the lessons learned entail the following:

- After struggling to work with suppliers to timely deliver PPE, hand sanitizer, desktop shields, and other precinct supplies, the department was able to partner with the PA Emergency Management Agency (PEMA) to centrally procure, warehouse, and distribute equipment to counties prior to the November election.
- Prior to November, the department leveraged state and local organizations to generate interest among citizens to serve as poll workers. The department also developed an online poll worker interest application to collect and distribute to counties contact information for prospective poll workers.
- The department worked with the Department of Education, the Department of General Services, and other agencies to identify additional government facilities that could be used as polling places.

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**13. 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.**

The department was able to procure and provide counties with the needed supplies prior to the primary and general election. DOS worked with other agency partners such as the PA Emergency Management Agency and the PA Department of General Services to obtain and coordinate shipping efforts of supplies to county election offices.

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**14. 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.**

Throughout this, the department has begun modifying the way it assesses and mitigates risks to election infrastructure. Previously, the department's focus was primarily on assessing and mitigating security risks, misinformation/disinformation, and risks associated with weather-related disasters. Though we were able to apply lessons learned from prior planning to our response to COVID-19, we had limited our risk assessments to the attack surface and like nearly every other state, were not fully prepared for the unique challenges a health emergency presented. By incorporating planning for a health emergency's impact on things like in-person voting, poll worker resourcing, and supply chain disruptions, the department will be better prepared to mitigate these risks when such a crisis occurs.

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**15. 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.**

Some of the significant features of our activities is that it's abundantly clear that the ability to support counties with PPE for poll workers and voters allowed 4.2 million Pennsylvania voters to safely vote in person with ample PPE, which otherwise would have not been provided without the funds from the CARES grant. County election offices were also able to fulfill requests for an unprecedented number of mail ballots. As a result 2.7 million mail-in and absentee voters - nearly 10 times the number in prior elections - were able to cast their ballots during a pandemic without appearing in person.

Likewise, being able to augment outreach efforts enabled the department and counties to provide timely updates to voters about safe voting options and details about mitigation measures that were in place to ensure that they could vote safely no matter how they chose to vote. We believe the numbers paint a compelling picture and demonstrate the impact and results of this funding.

The pandemic also instilled that building and maintaining relationships with key partners is, in our opinion, the most important component of successfully preparing for and responding to a major crisis. The department was fortunate to have established relationships with partners like Pennsylvania Emergency Management Agency and the Pennsylvania National Guard as part of our election security working group. These established relationships gave us a head-start on managing our response to the COVID-19 pandemic.

It is also important to develop clear and authoritative messaging to local election officials and voters to ensure that they are reassured that election officials are responding appropriately to the crisis. The department's implementation of a diverse, multilingual voter education outreach program promoted calm confidence in a time of crisis and historic change.

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**16. 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 were purchased during this period with CARES Act funds.

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

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

No security training conducted during this period.

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**18. 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.**

County block grants were distributed to county election offices using a funding distribution formula based on voter registration numbers in each county as of April 13, 2020, with a minimum grant of \$3,750. The Department chose to provide funds as a reimbursement grant which required counties to make procurements and provide documentation and proof of payment on allowable purchases to receive funding. All 67 counties, with the exception of one (1), were able to spend all or a large portion of grant funds allocated. The county unable to claim grant funds did not have sufficient expenditures outside of grant funds received directly at the county level. Counties were permitted to use funds for increased election expenses arising due to COVID-19, including but not limited to voter notifications and education, increased costs related to mail-in and absentee voting, supplies to mitigate the spread of COVID-19, and increased equipment, staffing, training, or other needs permissible under the CARES Act.

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

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

**Otherwise enter - match not required.**

Pennsylvania received multiple non-federal grants, from organizations wanting to assist with elections during the pandemic. Pennsylvania received funding from the Center for Tech and Civic Life that provided additional PPE to county polling locations, much needed hardware and IT needs with expanding and satellite election offices that allowed for social distancing and the greater demand on county elections, and additional IT assistance for both state and county election offices in the weeks prior and days following the general election to ensure any technical issues were addressed immediately. In addition, the Commonwealth provided funding for additional election call workers to man phone lines during the primary election, used funds to send out mail in ballot applications to voters upon a voters request, and additional work on the Commonwealth election database. The Department has met the state match in full using the funds from both the Commonwealth and non-federal grant partners.

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**20. 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, however, lessons learned are outlined above.

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**21. Upcoming Activities:**

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

The Department has expended as much of the federal CARES Act dollars as permitted during the grant period. Unspent federal dollars remain due to the large share of non-federal grant awards received in Pennsylvania for the 2020 general election. Unspent federal CARES dollars will be returned.

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**5. Expenditures**

## 22. Current Period Amount Expended and Unliquidated Obligations

### CARES COST CATEGORIES

|                        | Federal        | Match        |
|------------------------|----------------|--------------|
| Voting Processes:      | \$2,359,973.82 | \$337,153.49 |
| Staffing:              | \$553,976.56   | \$167,548.99 |
| Security and Training: | \$547,000.63   | \$0.00       |
| Communications:        | \$2,770,506.86 | \$0.00       |
| Supplies:              | \$2,174,882.84 | \$0.00       |
| Total                  | \$8,406,340.71 | \$504,702.48 |
|                        |                |              |
|                        |                |              |
|                        |                |              |
|                        |                |              |

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:

A handwritten signature in black ink that reads "K Mattis". The "K" is stylized with a horizontal bar.

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.