

**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>KY20101CARES</b>			
3. Recipient Organization (Name and complete address including Zip code)  <b>ELECTIONS, KENTUCKY STATE BOARD OF 140 WALNUT ST, FRANKFORT, KY 406013240</b>							
4a. DUNS  <b>157363644</b>		4b. EIN  <b>1610600439V8</b>		5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)  <b>E7653B1</b>			
6. Report Type <input type="checkbox"/> Quarterly <input type="checkbox"/> Semi-Annual <input type="checkbox"/> Annual <input checked="" 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, 2020</b> To: <b>December 31, 2020</b>			9. Reporting Period End Date (Month, Day, Year) <b>September 30, 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					\$5,574,372.23		
b. Cash Disbursements					\$5,574,372.23		
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					\$6,090,061.00		
e. Federal share of expenditures					\$5,574,372.23		
f. Federal share of unliquidated obligations					\$0.00		
g. Total Federal share (sum of lines e and f)					\$5,574,372.23		
h. Unobligated balance of Federal funds (line d minus g)					\$515,688.77		
<b>Recipient Share:</b>							
i. Total recipient share required					\$1,218,012.09		
j. Recipient share of expenditures					\$1,114,386.23		
k. Remaining recipient share to be provided (line i minus j)					\$103,625.86		
<b>Program Income:</b>							
l. Total Federal share of program income earned					\$0.00		
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)					\$0.00		
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: "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>Sellers, Karen Executive Director</b>					c. Telephone (Area code, number, and extension)  d. Email Address		
b. Signature of Authorized Certifying Official  <b>Sellers, Karen</b>					e. Date Report Submitted (Month, Day, Year)  <b>February 14, 2022</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

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(Additional Page)

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Federal Agency & Organization

Federal Grant ID

Recipient Organization

DUNS

DUNS Status when Certified

EIN

Reporting Period End Date

Status

Remarks

State interest earned (current fiscal year): \$0.00

State interest expended (current fiscal year): \$0.00

Program income earned (current fiscal year): \$0.00

Program income earned breakdown (current fiscal year): \$0.00 Source: e.g. Sale of registration list

Program income expended (current fiscal year): \$0.00

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**Federal Agency Review**

Reviewer Name

Phone #

Email

Review Date

Review Comments

# 2021-2022 EAC Progress Report

## 1. Login

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Please enter the username and password provided by the EAC to begin the Progress Report. 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:

Kentucky

### 2. Grant Number:

### 3. Report:

Final (Start of Grant - End)

### 4. Grant:

CARES

### 5. Reporting Period Start Date

10/01/2020

### 6. Reporting Period End Date

09/30/2021

## 4. Progress and Narrative

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### Final Progress Report:

The final report is your opportunity to share the significant features of your project and present information about the results your project achieved.

It should be written as if the reader has no previous knowledge of your project's activities. The report should cover the entire period of performance.

### Review and Self-Assessment:

**Review and highlight all activities that occurred during the implementation of the project, including an assessment of your performance.**

In accordance with Executive orders issued by our Governor in the time leading up to the May 2020 Primary, the Kentucky State Board of Elections established an Absentee Ballot Portal to work with our Voter Registration System in response to the no-excuse absentee ballot option within the order. Historically our state has processed a small percentage of absentee ballots in the past and the change of procedure created many hurdles to ensure a secure and efficient election. The Commonwealth is home to 120 counties, having a County Clerk in each. Small county budgets were strained with the cost of additional printing and postage of these ballots in combination with the technology required to track them. The Agency established a state wide postage permit to aid in the return postage of the ballot as well as providing printing of absentee ballot envelopes and absentee ballot tracking labels. Hand scanners for tracking purposes were purchased and distributed to the counties.

The extreme amount of absentee ballots caused an emergency need of additional employees and over time at each County Clerk's office. The Agency provided CARES dollars as pass through funding in an effort to help ease the financial burden associated with this process. Restrictions during the Primary Election were high and the need for more personnel to process ballots also increased the need for PPE and supplies to comply with CDC guidelines. These funds helped counties purchase the needed PPE and other equipment to modify their working areas to remain in compliance with social distancing practices. A portion of our funding was used to assist counties with updates of voting equipment with paper ballot tracking systems. Many of the smaller counties had equipment that was at the end of life status and the Agency assisted purchasing replacements. The staff at the Kentucky State Board of Elections is small. As counties were experiencing shut downs in the County Clerk's office, the Agency was limited in how they could assist. In normal circumstance, the Agency would travel and assist counties with training and pre-elections checks but because of the pandemic much of that assistance was transferred to virtual training and financial help. Because of the urgency of the time frame of these events, the Agency was forced to distribute funding to counties in a fair way. At the end of the election cycle, we had many counties returning unused funding. If we had had more time to allocate funding, we would have been able to run analysis in the hopes of having less unused funding.

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**7. CARES Grant Specific:**

**Describe in detail how you used the funds to address the pandemic.**

In order to combat the spread of the Coronavirus, funding was allocated to the counties for additional staffing. Many County Clerk's offices needed to employ outside help or incur overtime for current elections officers to process the surge of outgoing and incoming absentee ballots. Small county budgets could not accommodate the need for extra staffing costs and the CARES funding provided much needed help. The processing change required more office supplies, PPE and cleaning products to remain in compliance with social distancing practices.

Counties incurred a drastic increase in postage associated with the ballots and the Agency funded a statewide postage permit through the United States Postal Service to cover the return ballot costs for each county. In an effort to further assist with this issue, the Agency purchased inner and outer absentee ballot envelopes and absentee ballot tracking labels.

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**8. Describe the major issues you faced in dealing with the pandemic and how you addressed or resolved those issues.**

One of the major issues we faced during the pandemic was maintaining the integrity and safety of the voting processes. During the 2020 Primary, Kentucky enacted absentee voting to decrease the spread of COVID 19 and offered voters an alternative to in-person voting. To enact this process, the counties and the State Board of Elections had to implement emergency measures and funding to make this possible. During the General Election, although absentee voting was lower than in the Primary, new in-person options were implemented, requiring a different set of safety and security needs. Higher in-person voting totals increased the need for additional staffing. Many County Clerk's offices were directly impacted by COVID-19 and required more safety protocols and staffing to follow CDC guidelines. The Agency had to quickly develop processes to ensure that each county could receive necessary funding in a structured way.

Another major issue we faced in dealing with the pandemic was time. Everything was happening very fast but we had to make decisions rapidly to prevent supply chain issues. Security is our top priority, so we quickly had to develop and Absentee Ballot Portal to allow voters to request and absentee ballot with no excuse. Those ballots had to have tracking labels to ensure that all were being processed correctly. Those labels were being printed daily but some counties were being forced to process labels at such a high rate that the Agency was forced to pick up the labels and deliver them to the counties in need. This eliminated the lag time caused by mailing

**9. Provide a description of any training conducted, including security training.**

Because of the change in processing absentee ballots, many trainings by the IT team were conducted via Zoom with the County Clerk's and their office staff.

**10. Subgrants:**

**Did your office provide subawards to local jurisdictions during this reporting period?**

Yes

**11. Describe the activities carried out by your subgrantees during the reporting period.**

The Agency provided all 120 counties of the Commonwealth with funding to utilize for additional staffing, PPE, and incurred postage charges. With the high number of absentee ballots, the Agency also purchased emergency secure ballot drop boxes for the Primary election to ensure that CDC guidelines were met .

**Provide a breakdown of aggregate subawards expenditures across major categories.**

Voting Equipment : \$1,328,023.43

Voter Registration Systems : \$22,637.60

Communications : \$1,348,799.35

Other (Voter Reg. Security Equipment) : \$2,599,582.56

Other (Specify above) : \$275,329.40

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Total : \$5574372.34

**12. Match:**

**Describe how you are meeting or have met the matching requirement.**

The Agency used funding provided by the Legislature and Agency Restricted funding to meet the State Match requirement. The Agency has done so at this time.

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

18 - Verity Scan Bundles

18 - Verity Touch Writer Bundles

55 - DS200

1 - DS450

52 - ExpressVote

**14. Impact:**

**Write an assessment of how your project has impacted the problems you were trying to solve. Were there unexpected benefits? Shortfalls?**

The funds provided through CARES Act were desperately needed by the counties to accommodate the emergency needs of the pandemic. The Agency would not have been able to provide assistance with their annual budget. The Absentee Ballot Portal established during the pandemic will continue to be used throughout the upcoming election cycles. This will include continued development on ballot tracking labels and procedures to expand the security and efficiency established during the pandemic.

**15. Lessons Learned:**

**Provide a review of your successes and suggest ways that your experience may be helpful to others. Did you make permanent changes to your processes? What are some areas of potential improvement?**

The permanent use of the Absentee Ballot Portal is one of our continuing successes. Its establishment during the pandemic allows the Agency to continue to develop the processes and procedures to expound on the security and efficiency of the project.

Ballot tracking labels were printed and distributed on a mass scale because of the increase in absentee ballot requests. Those mass printings will most likely not be needed in the future so the Agency now has the technology and equipment to best determine how the counties can print and track the ballots within their own office.

## Login Capture

## 5. Expenditures

### 16. CARES COST CATEGORIES - FEDERAL

Voting Equipment and Processes: : \$1328023

Voter Registration Systems: : \$22638

Staffing: : \$65292

Supplies: : \$275329

Subgrants: : \$2580441

Other (Specify below) : \$1302649

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Total : \$5574372

**Comments:** Other cost reflects postage paid by the Agency for return absentee ballots through the designated postage permit set up by the Agency.

### 17. CARES COST CATEGORIES - MATCH

Voting Equipment and Processes: : \$19486

Voter Registration Systems: : \$5659

Voter Education/Communications: : \$70724

Staffing: : \$3916

Supplies: : \$68959

Subgrants: : \$418178

Other (Specify below) : \$527465

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Total : \$1114387

**Comments:** Other cost reflects postage paid by the Agency for return absentee ballots through the designated postage permit set up by the Agency.

## 7. Expenditures

### 18. Confirm Total CARES Expenditure Amounts

Federal : \$5574372

Match : \$1114387

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Total : \$6688759

**OMB CONTROL NUMBER: 3265-0020**

## 8. Certification

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

**First Name**

Rachel

**Last Name**

Poynter

**Title**

Staff Assistant

**Phone Number**

**Email Address**

19. Add another contact to send a copy of submission confirmation and edit link?

Signature of Certifying Official:



Signature of: Rachel Poynter

**9. Report Submitted to EAC**



Thank you. Your Final (Start of Grant - End) progress report for CARES has been submitted to the EAC. Please keep the PDF download of your submission as grant record.