

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) ME20101CARES					
3. Recipient Organization (Name and complete address including Zip code) SECRETARY OF STATE, MAINE DEPT OF THE 101 STATE HOUSE STATION CROSS OFC B, AUGUSTA, ME 043330101									
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 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: March 28, 2020 To: December 31, 2020				9. Reporting Period End Date (Month, Day, Year) March 31, 2021					
10. Transactions						Cumulative			
<i>(Use lines a-c for single or combined multiple grant reporting)</i>									
Federal Cash (To report multiple grants separately, also use FFR Attachment):									
a. Cash Receipts						\$974,099.00			
b. Cash Disbursements						\$974,099.00			
c. Cash on Hand (line a minus b)						\$0.00			
<i>(Use lines d-o for single grant reporting)</i>									
Federal Expenditures and Unobligated Balance:									
d. Total Federal funds authorized						\$3,299,827.00			
e. Federal share of expenditures						\$974,099.00			
f. Federal share of unliquidated obligations						\$0.00			
g. Total Federal share (sum of lines e and f)						\$974,099.00			
h. Unobligated balance of Federal funds (line d minus g)						\$2,325,728.00			
Recipient Share:									
i. Total recipient share required						\$659,965.44			
j. Recipient share of expenditures						\$245,043.00			
k. Remaining recipient share to be provided (line i minus j)						\$414,922.44			
Program Income:									
l. Total Federal share of program income earned						\$19,841.00			
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)						\$19,841.00			
11. Indirect Expense	a. Type	b. Rate	c. Period From	Period To	d. Base	e. Amount Charged	f. Federal Share		
	Provisional	6.62	March 28, 2020	June 30, 2020	\$32,439.00	\$2,147.46	\$2,149.00		
	Provisional	6.7	July 1, 2020	December 31, 2020	\$880,546.00	\$58,996.58	\$58,965.00		
	g. Totals:					\$912,985.00	\$61,144.04	\$61,114.00	
12. Remarks: Attach any explanations deemed necessary or information required by Federal sponsoring agency in compliance with governing legislation: The Indirect Expense rate in 11(b)(1) actually is 6.626 and the rate in 11(b)(2) actually is 6.709, which leads to a small difference.....									
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 Flynn, Julie Deputy Secretary of State					c. Telephone (Area code, number, and extension) d. Email Address				
b. Signature of Authorized Certifying Official Flynn, Julie					e. Date Report Submitted (Month, Day, Year) June 25, 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/OIG/PPRA, 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 : ME20101CARES

Recipient Organization : SECRETARY OF STATE, MAINE DEPT OF THE
101 STATE HOUSE STATION CROSS OFC B, AUGUSTA, ME 043330101

DUNS Number :

DUNS Status when Certified :

EIN :

Reporting Period End Date : March 31, 2021

Status : Awarding Agency Approval

Remarks : The Indirect Expense rate in 11(b)(1) actually is 6.626 and the rate in 11(b)(2) actually is 6.709, which leads to a small difference in the amount of the federal share we were charged as compared to what we were able to report. The amount that was charged for the federal share in 11(f)(1) actually was \$2,149 and the amount in 11(f)(2) actually was \$58,965 for an actual total federal share in 11(g) of \$61,114, which is \$32 less than what was auto calculated in the report. The remaining differences are due to rounding errors.

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

Federal Agency Review

Reviewer Name :
Phone # :
Email :
Review Date :
Review Comments :

EAC Progress Report

1. Login

3. EAC Progress Report

1. State or Territory:

Maine

2. Grant Number:

ME20101CARES

3. Report:

Final (Start of Grant - End)

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

Maine Department Of The Secretary Of State

Street Address

101 State House Station

City

Augusta

State

ME

Zip

04333-0101

4. Progress and Narrative

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.

Maine administers its elections at a municipal level rather than a county level and has approximately 500 municipal jurisdictions that conduct the elections with oversight and assistance from the Department of the Secretary of State. The smallest municipality, Glenwood Plantation, has 6 voters, while the largest, the City of Portland, has 63,613 voters. When the pandemic began, we knew that most of the municipalities would have difficulty sourcing PPE and cleaning products at reasonable rates and in the quantities needed to safely conduct the two federal elections held during the project period: the July 14, 2020 Congressional/State Primary Election (which was moved from June 9th) and the November 3, 2020 General Election. Accordingly, we used the State's procurement power to centrally source the needed PPE and alcohol cleaning solution, the acrylic barriers for voting places, and single-use ballot marking pens, and distribute these items to the municipalities prior to each of these elections. We also procured additional absentee ballot mailing envelopes to handle the anticipated surge in absentee voting activity; arranging for the 100 largest municipalities to receive the shipments directly from the printing contractor thereby reducing handling and delivery time and costs. Finally, we leased an additional 210 precinct tabulators for the General Election to deploy to the largest municipalities as well as 44 municipalities that still were hand-counting their ballots. This project facilitated the processing of almost double the number of absentee ballots (from 32% of voters to 62% of voters) that we had processed in the 2016 Presidential Election, which was our highest historical absentee turnout prior to 2020. We utilized some vacant secure space in the State Office Building as a receiving, storage and shipping location for the procured items, and deployed existing staff to apportion the supplies for each municipality and prepare them for delivery to the municipalities. We used other secure space in the building to receive and perform acceptance testing on the tabulator units prior to distribution to the municipalities. We used a trucking/courier delivery service to distribute to most of the jurisdictions and used special shipping for the islands and smaller jurisdictions, so that all materials were timely delivered before each election. Municipalities were appreciative of having these items provided at no cost to them - allowing the local officials to spend their money on the usual election (non-pandemic related) activities. Initially, we adopted guidelines for absentee ballot drop off boxes and offered to reimburse municipalities for the cost of procuring these boxes. After the July Primary election, some municipalities were unable to source a drop box from the vendors due to capacity issues. The Governor authorized a mini-bid process to select a Maine steel fabricating company to manufacture two sizes of drop boxes according to specifications designed by an engineering professor at the Maine Community College System. We were able to

supply these boxes to 55 municipalities and reimburse about 100 other municipalities for drop boxes that they purchased from other vendors. This was a very successful project; and municipal election officials and voters alike were extremely happy with the results. Overall, for the activities we were able to do, we believe that the activities were efficiently and effectively completed.

10. CARES Grant Specific:

Describe how you used the funds to address the pandemic.

All activities described in the previous question were used to address the conduct of safe and secure elections during the pandemic. In late Spring, we surveyed the municipalities to determine the number of election officials that would be working at each election, to supply the appropriate amount of PPE for each official across the State. We also determined the number of voter registration and voter check-in stations at each polling place so we could procure the needed number of acrylic barriers for each location to be used at each voter registration and voter check-in station. For the July 2020 Federal/State Primary, we procured and distributed to each municipality PPE kits (containing cloth face coverings, gloves, hand-sanitizer, and anti-bacterial wipes); plastic face shields; alcohol spray for cleaning high-touch surfaces at the voting places; and screen cleaner kits for cleaning tabulator display screens and accessible ballot marking device screens. We procured and distributed single-use ballot marking pens sufficient to cover the anticipated number of election day voters and the requested number of acrylic barriers (i.e., "sneeze guards") to be used at each polling place for both the July Primary and the November General Election. For the November General Election, we received donations of cloth face coverings, face shield and hand-sanitizer to supply each election official and polling place across the state (the value of these donations served as state match for the federal expenditures). We used federal funds to purchase alcohol cleaning solution for each voting place as well as single-use ballot marking pens sufficient to cover the anticipated number of election day voters for the November General Election. We printed additional absentee ballot envelopes for both the Primary and General Elections to handle the anticipated (and realized) increase in absentee voters, and used federal funds to print additional ballots needed for the General Election over the customary amount printed under the State's maintenance of effort. Absentee ballot drop off boxes, which had not been used in Maine prior to the pandemic, were procured specifically to address concerns about slow mail delivery, especially in light of the expected increase in absentee voting, and offered voters a method of returning their ballots directly to the municipal office, but in a secure, no-contact manner.

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

Our office (Secretary of State/Bureau of Corporations, Elections and Commissions) never closed during the pandemic, although many of the other State agencies working in the State Office Building implemented remote work in March of 2020, and many have still not returned. This was quite stressful for managers and staff who were trying to plan and complete the work while implementing social distancing measures and trying to stay safe. A majority of the election tasks involve receiving and processing paper filings from municipalities (such as supplies orders) or require direct collaboration between two or more team members (e.g. proofreading ballots and forms, processing UOCAVA ballots, etc.), and cannot be accomplished through remote work. We had two vacant election positions for which recruitment could not be completed before the pandemic hit, and those positions have remained vacant due to a spending curtailment order that will not expire until June 30th of this year (2021). Remaining staff worked over 73 weeks of overtime in 2020 to complete required activities. Additionally, many of the 500 municipal offices were closed for different periods during the year, or open only by appointment, which made it difficult to assist citizens with accessing information and services specific to their municipality. Due to the pandemic, the 129th Maine Legislature adjourned its Second Regular Session on March 17, 2020, before having time to consider an appropriation of the 20% state match that would have allowed us to expend all our CARES Act funds. The 20% match would have been difficult to obtain in any case, as the required match amount of \$659,965, comprises more than 80% percent of our Bureau's general fund non-personnel budget. This prevented us from committing to other election activities - such as mailing absentee applications to all voters or paying for return postage for absentee ballots - that were promoted by various voting advocacy groups. We were able to cover the state match for the expenditures we did make from donations of cloth face coverings, face shields and hand-sanitizer that were made in late August and early September for the General Election as well as 3rd party in-kind contributions that were not documented to us until early Fall. Certainly, the lack of the 20% state match was the biggest issue we faced in planning our activities to securely conduct the elections during the pandemic.

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

Our answers to the first two questions already provide a detailed explanation of how we implemented the approved grant activities during the reporting period.

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.

This Final Progress and Narrative Report is in support of CARES Act grant activities. No CARES Act funds were used to meet HAVA requirements.

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.

No significant changes during this period.

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.

We were fortunate to receive donations, from two Maine companies, of cloth face coverings and face shields sufficient to supply every election official for the November General Election. We also received a donation of hand-sanitizer from a national company that met the needs of each voting place in the state for the General Election. These donations dramatically reduced the cost of providing PPE and cleaning supplies for the General Election, eliminated the time required to conduct a statewide procurement process to obtain these supplies, and provided a significant state match for federal expenditures on other pandemic-related activities.

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.

Maine expended CARES Act funds to lease 210 additional DS200 precinct tabulators for use in the November General Election, to assist municipalities with scanning and tabulating the increased number of absentee ballots due to the pandemic. In November 2020, 62% of the election turnout was by absentee ballot as opposed to the 32% experienced in November 2016.

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.

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.

N/A

19. Match (if applicable):

Describe how you are meeting the matching requirement.

Otherwise enter - match not required.

We obtained a portion of the State match through State general fund expenditures on COVID-related activities. Another source of the State match was from 3rd party in-kind contributions, for both the Primary and General Elections, related to the distribution of absentee ballot applications and instructions for absentee voting safely during the pandemic as well as communications about voting place COVID measures. These informational communications were designed or approved by the Elections Division but conducted by 3rd party groups. The third source of the State match was from the value of the donations of cloth face coverings, face shields and hand-sanitizer to supply all election officials and voting places for the November General Election.

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.

As previously discussed, there were no State funds appropriated to provide a cash match to permit the expenditure of the authorized federal funds. The early planning was limited to providing the PPE and cleaning supplies for each municipality to safely conduct voting at the polls, as well as to provide the additional absentee envelopes and ballots to address the increase in absentee voting. The original plan was to reimburse only 80% of the costs of the absentee ballot drop off boxes purchased by municipalities or supplied to the municipalities by the State, and to pay the lease costs for the additional tabulator units using the HAVA Election Security Grant funds. When the unexpected donations of PPE and hand-sanitizer materialized, along with the 3rd party in-kind expenditures for voter outreach, we realized we had sufficient State Match for the initial federal expenditures as well as to pay for 100% of the absentee ballot drop off boxes and additional tabulators from federal CARES Act funds. However, the initial uncertainty and lack of the full State Match hampered our planning efforts and limited our ability to fund other activities.

Impact:

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

Maine utilized the federal funds where it was most critical – to supply the local election officials and polling places with the PPE and supplies they needed to successfully and securely conduct the General Election with the largest turnout in Maine in over 100 years. As a result of these efforts, there were no COVID outbreaks linked to voting places or the election.

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?

Given the limitations on the ability to expend the full amount of CARES Act funds authorized, we believe our efforts were successful.

5. Expenditures

21. Current Period Amount Expended and Unliquidated Obligations

CARES COST CATEGORIES

	Federal	Match
Voting Processes:	\$132,784.27	\$4,810.25
Staffing:	\$2,988.92	\$0.00
Security and Training:	\$0.00	\$0.00
Communications:	\$0.00	\$128,247.80
Supplies:	\$373,405.18	\$111,984.92
Total	\$974,099.20	\$245,042.97
State Program Overhead (indirect costs)	\$61,114.54	\$0.00
Voting Processes (Abs. Ballot Drop Off Boxes)	\$173,856.29	\$0.00
Voting Processes (Voting Equipment Lease)	\$229,950.00	\$0.00

OMB CONTROL NUMBER: 3265-0020

6. Certification

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

First Name

Julie

Last Name

Flynn

Title

Deputy Secretary of State

Phone Number

Email Address

Signature of Certifying Official:



Signature of: Julie L. Flynn

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.