

# 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%;" type="text" value="United States Election Assistance Commission"/>		<b>2. Federal Grant or Other Identifying Number Assigned by Federal Agency (To report multiple grants, use FFR Attachment)</b> <input style="width: 90%;" type="text" value="CDFA90.404 HAVA,\$101Elect.Sec."/>	
<b>3. Recipient Organization (Name and complete address including Zip code)</b> Recipient Organization Name: <input style="width: 90%;" type="text" value="Wisconsin Elections Commission"/> Street1: <input style="width: 90%;" type="text" value="212 East Washington Ave, 3rd Floor"/> Street2: <input style="width: 90%;" type="text" value="P.O. Box 7984"/> City: <input style="width: 30%;" type="text" value="Madison"/> County: <input style="width: 30%;" type="text" value="Dane"/> State: <input style="width: 30%;" type="text" value="WI: Wisconsin"/> Province: <input style="width: 30%;" type="text"/> Country: <input style="width: 30%;" type="text" value="USA: UNITED STATES"/> ZIP / Postal Code: <input style="width: 30%;" type="text" value="53707-7984"/>			
<b>4a. DUNS Number</b> <input style="width: 90%;" type="text"/>	<b>4b. EIN</b> <input style="width: 90%;" type="text"/>	<b>5. Recipient Account Number or Identifying Number (To report multiple grants, use FFR Attachment)</b> <input style="width: 90%;" 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: 30%;" type="text" value="03/23/2018"/> To: <input style="width: 30%;" type="text" value="03/22/2023"/>	<b>9. Reporting Period End Date</b> <input style="width: 90%;" type="text" value="09/30/2019"/>
<b>10. Transactions</b> (Use lines a-c for single or multiple grant reporting)			<b>Cumulative</b>
<b>Federal Cash (To report multiple grants, also use FFR attachment):</b>			
a. Cash Receipts			<input style="width: 80%;" type="text" value="0.00"/>
b. Cash Disbursements			<input style="width: 80%;" type="text" value="0.00"/>
c. Cash on Hand (line a minus b)			<input style="width: 80%;" type="text" value="0.00"/>
(Use lines d-o for single grant reporting)			
<b>Federal Expenditures and Unobligated Balance:</b>			
d. Total Federal funds authorized			<input style="width: 80%;" type="text" value="6,978,318.00"/>
e. Federal share of expenditures			<input style="width: 80%;" type="text" value="1,100,332.82"/>
f. Federal share of unliquidated obligations			<input style="width: 80%;" type="text" value="1,561,582.08"/>
g. Total Federal share (sum of lines e and f)			<input style="width: 80%;" type="text" value="2,661,914.90"/>
h. Unobligated balance of Federal Funds (line d minus g)			<input style="width: 80%;" type="text" value="4,316,403.10"/>
<b>Recipient Share:</b>			
i. Total recipient share required			<input style="width: 80%;" type="text" value="348,916.00"/>
j. Recipient share of expenditures			<input style="width: 80%;" type="text" value="348,916.00"/>
k. Remaining recipient share to be provided (line i minus j)			<input style="width: 80%;" type="text" value="0.00"/>
<b>Program Income:</b>			
l. Total Federal program income earned			<input style="width: 80%;" type="text" value="199,584.31"/>
m. Program Income expended in accordance with the deduction alternative			<input style="width: 80%;" type="text" value="0.00"/>
n. Program Income expended in accordance with the addition alternative			<input style="width: 80%;" type="text" value="0.00"/>
o. Unexpended program income (line l minus line m or line n)			<input style="width: 80%;" type="text" value="199,584.31"/>

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:

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).


a. Name and Title of Authorized Certifying Official

Prefix:  First Name:  Middle Name:

Last Name:  Suffix:

Title:

b. Signature of Authorized Certifying Official



c. Telephone (Area code, number and extension)

d. Email Address

e. Date Report Submitted

14. Agency use only:

FFY2018 & FFY2019, 10/1/2017 - 9/30/2019  
Categorized Actual Revenues and Expenditures

12/12/2019 by Julia Billingham

2018 HAVA ELECTION SECURITY GRANT

CFDA # 90.404

FFR Line#

Budget Information

Name of Organization: State of Wisconsin Elections Commission  
Budget Period Start: 3/23/2018  
Budget Period End: 3/23/2023

SECTION A - BUDGET SUMMARY  
FEDERAL & NON-FEDERAL FUNDS (Match)

Fed Grant	6,978,318.00
State Match	348,916.00
Total	7,327,234.00

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PROGRAM CATEGORIES

51000 & 51500      52000      53000      54000      55000      50000

BUDGET CATEGORIES	(a) Voting Equipment	(b) Election Auditing	(c) Voter Registration Systems	(d) Cyber Security	(e) Communications	(f) General	TOTALS	% Fed Total
<b>1. PERSONNEL (with fringe &amp; IT Contractors)</b>	\$ 54,385.55	\$ 6,064.60	\$ 272,855.00	\$ 223,403.25	\$ 98,635.52	\$ 171,643.79	\$ 826,987.71	12%
FFY2018: 3/23/2018-9/30/2018	\$ -	\$ -	\$ 887.40	\$ 13,415.42	\$ 22,190.01	\$ 466.77	\$ 36,959.60	
FFY2019: 10/1/2018-9/30/2019	\$ 54,385.55	\$ 6,064.60	\$ 271,967.60	\$ 209,987.83	\$ 76,445.51	\$ 171,177.02	\$ 790,028.11	
<b>2. EQUIPMENT</b>	\$ -	\$ -	\$ -	\$ 29,757.58	\$ 195.00	\$ -	\$ 29,952.58	0%
FFY2018: 3/23/2018-9/30/2018	\$ -	\$ -	\$ -	\$ -	\$ 195.00	\$ -	\$ 195.00	
FFY2019: 10/1/2018-9/30/2019	\$ -	\$ -	\$ -	\$ 29,757.58	\$ -	\$ -	\$ 29,757.58	
<b>3. SUBGRANTS- to local voting jurisdictions</b>	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	0%
FFY2018: 3/23/2018-9/30/2018	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
FFY2019: 10/1/2018-9/30/2019	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	\$ -	
<b>4. TRAINING</b>	\$ -	\$ -	\$ -	\$ 1,596.85	\$ 25,796.42	\$ -	\$ 27,393.27	0%
FFY2018: 3/23/2018-9/30/2018	\$ -	\$ -	\$ -	\$ -	\$ 9,737.45	\$ -	\$ 9,737.45	
FFY2019: 10/1/2018-9/30/2019	\$ -	\$ -	\$ -	\$ 1,596.85	\$ 16,058.97	\$ -	\$ 17,655.82	
<b>5. All OTHER COSTS</b>	\$ -	\$ -	\$ 1,917.32	\$ 124,985.86	\$ 47,968.75	\$ 41,127.33	\$ 215,999.26	3%
FFY2018: 3/23/2018-9/30/2018	\$ -	\$ -	\$ -	\$ 1,483.86	\$ -	\$ 559.66	\$ 2,043.52	
FFY2019: 10/1/2018-9/30/2019	\$ -	\$ -	\$ 1,917.32	\$ 123,502.00	\$ 47,968.75	\$ 40,567.67	\$ 213,955.74	
6. INDIRECT COSTS (if applied)								
<b>7. Total Grant Expenditures</b>	\$ 54,385.55	\$ 6,064.60	\$ 274,772.32	\$ 379,743.54	\$ 172,595.69	\$ 212,771.12	\$ 1,100,332.82	16%
Total FFY2018: 3/23/2018-9/30/2018	\$ -	\$ -	\$ 887.40	\$ 14,899.28	\$ 32,122.46	\$ 1,026.43	\$ 48,935.57	
Total FFY2019: 10/1/2018-9/30/2019	\$ 54,385.55	\$ 6,064.60	\$ 273,884.92	\$ 364,844.26	\$ 140,473.23	\$ 211,744.69	\$ 1,051,397.25	
Unspent Federal Funds							\$ 5,877,985.18	
Plus Interest Revenue Earned							\$ 199,584.31	
Earned FFY2018: 3/23/2018-9/30/2018							\$ 37,118.47	
Earned FFY2019: 10/1/2018-9/30/2019							\$ 162,465.84	
Total Unspent Funds Available							\$ 6,077,569.49	85%
<b>8. Non-Federal Match</b>	\$ -	\$ 281.83	\$ -	\$ 337,460.76	\$ 230.70	\$ 10,942.71	\$ 348,916.00	
FFY2018: 3/23/2018-9/30/2018	\$ -	\$ -	\$ -	\$ 72.21	\$ 145.84	\$ 10,942.71	\$ 11,160.76	
1. Personnel				\$ 72.21		\$ 10,942.71		
2. Equipment								
3. Subgrants								
4. Training								
5. All Other Costs					\$ 145.84			
FFY2019: 10/1/2018-9/30/2019	\$ -	\$ 281.83	\$ -	\$ 337,388.55	\$ 84.86	\$ -	\$ 337,755.24	
1. Personnel		281.83		34,842.10			35,123.93	
2. Equipment				51,170.00			51,170.00	
3. Subgrants							-	
4. Training							-	
5. All Other Costs				251,376.45	84.86		251,461.31	

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**STATE OF WISCONSIN**  
Wisconsin Elections Commission

**HAVA, Title I, Section 101**  
**Election Security Funds**  
**Analysis & Description of Activities Funded**  
(October 1, 2018 – September 30, 2019)

In Wisconsin, elections are administered at the state level by the Wisconsin Elections Commission (WEC) but are conducted at the local level by 1,922 local elections officials covering 72 counties and 1,850 municipalities. This report covers activities by the WEC during the reporting period between October 1, 2018- September 30, 2019.

**Election Security**

In March of 2018, Congress passed the Omnibus Appropriations Act of 2018 which released \$380 million of Help America Vote Act (HAVA) grant funds to state elections agencies to be used to secure elections. On March 30, the Election Assistance Commission (EAC) sent a letter to the State of Wisconsin Elections Commission (WEC) announcing Wisconsin's portion of the election security HAVA grant award of \$6,978,318 with a state match of \$348,916 for a total of \$7,327,234. The funds can be used for purposes such as purchasing hardware and software as well as funding staff positions in relation to the implementation of election security measures.

In response, the WEC developed a two-phase plan to use the new HAVA funds. The first phase addresses immediate security needs of the WEC such as purchasing software, implementation of security measures into the statewide voter registration system, the creation of federally funded staff positions, and hiring additional IT developers. The second phase involves collecting feedback from Wisconsin election partners such as local election officials and the public to determine long-term election security needs. The second phase will also allow for the reservation of some security funding to address evolving security threats.

WEC expenditures during the reporting period include:

Implementation of Multi-Factor Authentication. One of the priorities that WEC staff identified for elections security was implementing Multi-Factor Authentication (MFA) for elections applications. MFA requires users to enter a login, password, and then an additional factor utilizing something the user has (token) or is (biometrics). This requirement protects accounts even if a user's password is compromised. As of September 30, 2019, the WEC completed full fielding of MFA statewide to all users of the voter registration database and election management system. Staff is now working to expand use of MFA to other systems in order to further enhance the security of election workers and voter data.

Additional Security Training for Clerks. Following the success of the Election Security tabletop exercises in 2018, WEC staff created a second iteration of the TTX program in 2019. The Election Security TTX 2.0 training covered a wide variety of physical,

operational, and cybersecurity situations that local election officials encountered in a simulated Election Day. Multiple staff members and clerk training partners conducted these trainings across the state. As of September 30, 2019, over 1,000 local election officials have participated in one or more election security training exercises.

Creation of Election Security Subgrant Program. WEC solicited input from local government clerk partners via a subcommittee comprised of local government clerks who directly perform election work. The subcommittee members identified that their primary challenge in securing election data and systems was the lack of access to local funds for hardware and software improvements. A survey of existing clerk operating systems was conducted, finding that a substantial number of clerks were operating on the soon to be unsupported Windows 7 operating system and several in the sample reported that they had no existing concrete plan to upgrade because of a lack of local funding and a lack of local IT capacity to manage the upgrade to Windows 10. Based on feedback from the Commission, local clerks and committee members, an Election Security Subgrant program was created and announced. The subgrant program made a pool of funds available for hardware and operating system upgrades, IT support to ensure that computers accessing election systems and handling election data were configured to receive relevant security upgrades. As of September 30, 2019, over 800 Wisconsin towns, villages, and cities have used the subgrant to improve their computer hardware, software, and IT support.

Creation of an Endpoint Testing System. Due to the feedback and data gathered while assessing the current state of clerk computers accessing election data, WEC recognized that local clerks may not have insight into the security readiness and “health” of their computer systems. Without in-house IT providers, it is difficult for those working on elections to assess the state of their operating system and other security features on their endpoints. WEC purchased 2700 licenses of an endpoint testing system to both assist local clerks with bridging the gap in their IT capacity and also as a means to screen and potentially block systems with weak security measures from accessing the State of Wisconsin’s elections system. The endpoint testing system allows visibility and reporting on the state of the computer’s “health”, allowing WEC staff to aid clerks, as well as to block high risk systems from accessing the state’s system.

Adoption of an Emergency Mass Notification System. WEC procured a mass notification system for critical election information that will allow the WEC to rapidly alert a large number of clerks through a variety of mechanisms such as email, telephone and text messaging. Clerks may, in turn, use the system to communicate with chief inspectors or other staff. The system is currently undergoing testing and will be deployed to clerks within the next 90 days.

Creation of a Hardware Loaner Program. WEC recognized the need to provide continuity of operations for state and local officials if numerous computers become disabled during an election. In order to provide resources to mitigate such an event, WEC provided several options to the Commission. The Commission settled on providing a fleet of laptops that are housed at WEC. This fleet of managed laptops is available to

ship out to municipalities or counties in the event that their computers become inoperable for election work. Hardware was purchased during the reporting period and is currently being configured for use.

Creation of an Elections Security Communications Toolkit. A priority for the WEC was providing training on how local election officials can effectively communicate election security topics to their voters and local media outlets. The WEC worked with a local advertising and marketing firm to create a communications toolkit and training that covers proactive communications to build local trust and knowledge about elections, information to determine if a situation required a crisis communication response, and sample election security issues that officials can practice together. The toolkit has been provided to clerks who attend any WEC-led election security training and is also available on the WEC Learning Center.

Adoption of Password Management Tools. WEC staff maintain multiple usernames and passwords across the voter registration system, email, time logging, internal tracking systems, etc. Keeping track of the combinations of usernames and passwords can be tricky and lead to the use of unsecure methods to remember this information. The WEC has started the implementation of a password management tool. Few staff are currently using the system with all staff expected to use the new system in 2020.

Creation of Privileged Access Workstations. The WEC is in the process of implementing a privileged access workstation environment. The implementation of this environment will provide increased security for those with administrative privileges. As of September 30, the workstations have been purchased but must be imaged by the Wisconsin Department of Enterprise Technology before further steps can be taken.

Adoption of a Hardware Security Module. WEC staff have initiated the implementation of a hardware security module. The device was purchased during the reporting period. This hardened and tamper-resistant device will be used to strengthen encryption practices by generating keys, encrypting and decrypting data, and creating and verifying digital signatures.

IT Development Contractors. The WEC builds many of its IT solutions in-house using contracted developers. Staff determined that developer hours focused specifically on improving the security of IT solutions would be a significant priority in securing elections. Additionally, the developers currently contracted are using outdated workstations, introducing potential vulnerabilities into the development process. Election security funds enabled the WEC to contract for additional development time focused on security improvements and to purchase updated development tools for IT staff.