July 10, 2018

Secretary of State Nellie M. Gorbea serves as Rhode Island's Chief State Elections Official under the Help America Vote Act (HAVA). Since taking office in 2015, Secretary Gorbea has undertaken several initiatives to secure and modernize the state's election systems, including:

- Procuring new voting equipment, to replace machines that were 19 years old. The new secure voting machines have enhanced the voting experience for Rhode Islanders.
- Investing in cloud based systems and signed up for the assistance to states under the critical infrastructure designation by the Department of Homeland Security to further protect our Central Voter Registration System.
- Increasing the office's IT staff by 40% to ensure that we have the technical expertise in-house necessary to respond to the ever-shifting landscape that technology presents.

On April 30, Secretary Gorbea convened the HAVA 2018 Task Force, comprised of state and local elections officials, cybersecurity leaders and members of the public, to discuss how best to spend and prioritize security efforts with the $3 million in HAVA funds allocated to Rhode Island as part of the federal Consolidated Appropriations Act of 2018.

On May 14, 2018, Secretary Gorbea along with members of the state's Congressional delegation, announced the funding priorities.

After informative discussions regarding the proposed recommendations, the technology and security enhancements listed below have been identified as priorities to receive funding in Rhode Island. These elections infrastructure and security improvement projects will enhance Rhode Island's election systems at the Department of State, Board of Elections, and the 39 cities and towns. It is important to note that more than $500,000 in HAVA funds are being invested to enhance the security of the state's election systems in advance of the 2018 election.

The Department of State's $1,983,770 request is included in the Fiscal Year 2019 budget signed into law on June 22, 2018. The Department will continue to work with the Governor and General Assembly to include the additional HAVA funding in the Fiscal Year 2020 State budget. The Department also will identify the $150,000 State matching commitment.

| Project Categories | Pre-2018 Election | Pre-2020 Election | Post-2020 Election | Total by Project Category |
|---|---|---|---|---|
| Voting Equipment Replacement & Upgrades | $289,770 | | | $289,770 |
| Election Auditing | $150,000 | | $241,230 | $391,230 |
| Voter Registration Systems & Management | | $1,550,000 | | $1,550,000 |

| | | | | |
|---|---|---|---|---|
| Cybersecurity | $609,000 | $125,000 | | $734,000 |
| Election Day Operations Improvements | $35,000 | | | $35,000 |
| **Total by Election Cycle** | $1,083,770 | $1,675,000 | $241,230 | |

## Pre-2018 Election Project Initiatives

**Cyber Security:**

### Database Activity Monitoring (DAM) and File System Security
Database Activity Monitoring not only monitors the Central Voter Registration System (CVRS) and provides alerts based on activity, it also prevents unauthorized activities. Database Activity Monitoring is also an important technology for protecting sensitive data from external cyber threats.

### Asset Management Appliance and Software
An Asset Management appliance/software allows the tracking of all endpoints (computers, phones, etc.) on a given network and any vulnerabilities, along with the software installed on those devices. This adds a critical layer of security to better understand what is on the Department of State's network and what threats need to be defended against.

### Security Information and Event Management (SIEM) System
The SIEM provides real-time analysis of security alerts generated by applications and hardware on the network. The SIEM provides alerts of security issues, and uses machine learning and policies the Department of State creates to initiate action when certain events happen.

### Elections Administration Improvement Grants for Cities and Towns
Grants for the 39 Rhode Island cities and towns will be used to improve elections administration. Funding will be allocated based on total number of registered voters by city/town.

**Personnel:**

### Electronic Poll Book (E-poll book) Resources
Retain a dedicated IT contractor to develop security protocols and oversee the implementation of e-poll books statewide for the 2018 election cycle.

**Voting Equipment:**

### Mail Ballot Envelope Sorting & Scanning System
The Board of Elections will acquire one of these systems for 2018. This equipment will improve the speed and accuracy while reducing the physical labor needed for the mail ballot operation at the Board of Elections. The equipment will increase ballot security and increase the transparency of the mail ballot certification process.

### Mail Ballot Envelope Industrial Opener
The Board of Elections will acquire one unit for 2018. In 2016, the current opener produced an unacceptable number of damaged ballots that needed to be manually remade, which was labor intensive.

### Other - Election Day Operations Improvements:

**Election Day Incident Management Software and GPS Tracking**
The Board of Elections will procure software-based, real-time tracking of all incidents on Election Day. This may also include the tracking of state technicians by GPS to more efficiently dispatch them to incidents closest to their current location.

**Polling Place Operational Improvements**
The Board of Elections will purchase 20 additional voting machines for the 2018 election cycle bringing the total number of voting machines to 610. In addition, funds will be used to pay for the second phase of a study to identify opportunities to improve polling place layout and design to ensure voters at every polling place can cast their ballots in less than 30 minutes as suggested in the Presidential Commission on Election Administration report.

## Pre-2020 Election Project Initiatives

### Voter Registration Systems and Management:

**Central Voter Registration System (CVRS) Upgrade**
The CVRS was originally developed in 2004 and 2005. The technology as well as the knowledge as to what the best practices are when building applications has changed dramatically during that time. The Department of State has implemented security updates to the CVRS to protect voter registration information, however, the application should be rewritten to best practice standards to enhance the security of the system to best protect against efforts to penetrate the voter registration database. The cost includes upgrading the database platform as well as the programming code and implementation.

### Cyber Security:

**Disaster Recovery Hardware and Co-location**
Disaster recovery hardware provides for an additional site with another CVRS environment set-up in the event a disaster happens that brings our primary site down. To have a disaster recovery site, you need equipment (physical or virtual) to house the environment. The disaster recovery equipment is housed in another data center hence the term "co-location".

### Post-election audit system:

**Risk Limiting Audits (RLA) Implementation**
A pilot RLA is planned for November 2018, with official deployment as required by law in 2020. The Board of Elections is currently assessing the potential to contract with a vendor to conduct RLAs in 2018, in coordination with the RLA working group convened by the Board of Elections.

## Beyond 2018 and 2020 Election Cycles

**Risk Limiting Audits (RLA) Implementation**
Additional funds will be used to conduct RLAs in 2020, and 2022 in coordination with the RLA working group.

# 2018 HAVA ELECTION SECURITY GRANT

**Budget Information** | CFDA # 90.404 | Non-Construction Program

**Name of Organization:** Rhode Island Department of State

**Budget Period Start:** 3/23/2018

**Budget Period End:** 12/31/2022

**SECTION A -  BUDGET SUMMARY**

**FEDERAL & NON-FEDERAL FUNDS (Match)**

*(Consolidated Budget for total project term-- up to 5 years as defined by grantee)*

## PROGRAM CATEGORIES

| BUDGET CATEGORIES | (a) Voting Equipment | (b) Election Auditing | (c) Voter Registration Systems | (d) Cyber Security | (e) Communications | (f) Polling Place Operations | (g) Election Day Operations | TOTALS | % Fed Total |
|---|---|---|---|---|---|---|---|---|---|
| 1. PERSONNEL (including fringe) | | | | | | | | $    - | 0% |
| 2. EQUIPMENT | $   239,770.00 | $   316,230.00 | $   1,550,000.00 | $   634,000.00 | | | | $   2,740,000.00 | 91% |
| 3. SUBGRANTS- to local voting jurisdictions | | | | $   100,000.00 | | | | $   100,000.00 | 3% |
| 4. TRAINING | | $   75,000.00 | | | | | | $   75,000.00 | 3% |
| 5. All OTHER COSTS | | | | | | $   75,000.00 | $   10,000.00 | $   85,000.00 | 3% |
| 6. TOTAL DIRECT COSTS (1-6) | $   239,770.00 | $   391,230.00 | $   1,550,000.00 | $   734,000.00 | $    - | $   75,000.00 | $   10,000.00 | $   3,000,000.00 | |
| 7. INDIRECT COSTS (if applied) | | | | | | | | $    - | 0% |
| 8. Total Federal Budget | $   239,770.00 | $   391,230.00 | $   1,550,000.00 | $   734,000.00 | $    - | $   75,000.00 | $   10,000.00 | $   3,000,000.00 | |
| 11. Non-Federal Match | $   150,000.00 | | | | | | | $   150,000.00 | |
| 12. Total Program Budget | $   389,770.00 | $   391,230.00 | $   1,550,000.00 | $   734,000.00 | $    - | $   75,000.00 | $   10,000.00 | $   3,150,000.00 | |
| 13. Percentage By Category | 8% | 13% | 52% | 24% | 0% | 3% | 0% | | |

**Proposed State Match**    5.0%

A. Do you have an Indirect Cost Rate Agreement approved by the Federal government or some other non-federal entity?
If yes, please provide the following information:    No

B. Period Covered by the Indirect Cost Rate Agreement  (mm/dd/yyyy-mm/dd/yyy):

C. Approving Federal agency:

D. If other than Federal agency, please specify:

E. The Indirect Cost Rate is: