
Wisconsin Elections Commission

Meeting of the Commission
Monday, November 20, 2017
1:00 P.M.

Agenda
Open Session

Wisconsin Elections Commission Offices
212 E. Washington Avenue, Third Floor
Madison, Wisconsin

- A. Call to Order**
- B. Administrator’s Report of Appropriate Meeting Notice**
- C. Personal Appearances (Time reserved for personal appearances may be limited at the discretion of the Chair)**
- D. Minutes of Previous Meeting – September 26, 2017** 2
- E. Election Security Planning** 12
- F. Agency Staffing Plan** 66
- G. IT Contract Renewals** 94
- H. Commission Staff Update** 96
- I. 2018 Commission Meeting Schedule** 122
- J. Adjourn**

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ADMINISTRATOR MICHAEL HAAS

Wisconsin Elections Commission

Wisconsin Elections Commission Offices
212 E. Washington Avenue, Third Floor
Madison, Wisconsin
10:00 a.m. Tuesday, September 26, 2017

Open Session Minutes

Present: Commissioner Mark Thomsen, Commissioner Jodi Jensen, Commissioner Ann Jacobs, Commissioner Beverly Gill, Commissioner Julie Glancey and Commissioner Dean Knudson

Staff present: Michael Haas, Meagan Wolfe, Nathan Judnic, Sharrie Hauge, Reid Magney, Richard Rydecki

A. Call to Order

Commission Chair Mark Thomsen called the meeting to order at 10:01 a.m.

B. Administrator's Report of Appropriate Meeting Notice

Administrator Michael Haas informed the Commissioners that proper notice was given for the meeting.

Chair Thomsen asked for a moment of silence for victims of hurricanes in Texas, Florida, Puerto Rico and the U.S. Virgin Islands. He also made a brief statement regarding upcoming oral arguments before the Supreme Court of the United States regarding the *Gill v. Whitford* redistricting case, asking the Court to decide as quickly as possible so election administrators can know which maps will be in place for 2018. The Chair also made a brief statement regarding the Russian government's unsuccessful attempts to interfere with Wisconsin elections systems, and issued a personal apology as the Chair because the Commission had previously reported there were no attempts to hack Wisconsin's systems. He said that had he asked more questions, the Commission would or should have known sooner about the attempts. Finally, the chair welcomed Dean Knudson, who was appointed to the Wisconsin Elections Commission by the Assembly Speaker to replace Steve King, who has been appointed U.S. Ambassador to the Czech Republic.

C. Personal Appearances

Brookfield City Clerk Kelly Michaels appeared to ask the Commission to support the absentee voting efficiency option, which would permit voters to place their absentee ballot into electronic voting equipment prior to Election Day.

Menomonee Falls Village Clerk Janice Moyer appeared in support of the absentee voting efficiency option.

Waukesha City Clerk Gina Kozlik appeared in support of the absentee voting efficiency option.

Wauwatosa City Clerk Carla Ledesma appeared in support of the absentee voting efficiency option.

Milwaukee City Election Commission Executive Director Neil Albrecht appeared in support of the absentee voting efficiency option.

Brown County Clerk Sandy Juno appeared in support of the absentee voting efficiency option.

Waukesha County Clerk Kathleen Novack appeared in support of the absentee voting efficiency option.

Rock County Clerk Lisa Tollefson appeared to express concerns about the current draft of the absentee voting efficiency option legislation.

Dane County Clerk Scott McDonell appeared to speak in support of the WEC staff recommendation regarding Election Night reporting. He also expressed concerns about the current draft of the absentee voting efficiency option legislation and requested that WEC staff work with local election officials to develop a solution to the challenge of processing all absentee ballots on Election Day.

Karen McKim of Waunakee appeared on behalf of Wisconsin Election Integrity to discuss prevention of future election miscounts through changes to canvass procedures and training.

Barbara Goeckner of Cedarburg appeared on behalf of the Wisconsin Municipal Clerks Association in support of true early voting and the absentee voting efficiency option.

Liz Whitlock of Pleasant Prairie appeared on behalf of Wisconsin Election Integrity to support the recommendation to decertify the Optech Eagle ballot tabulator and to urge audits after every election.

Brian Bell of Madison appeared on his own behalf as former data manager of the former Government Accountability Board to comment on election cost reports. He urged the Commission to consider whether the data collected could be used to make policy decisions.

Paul Malischke of Madison appeared on his own behalf to advocate for the rights of people with disabilities to vote during in-person absentee voting. He also discussed error messages on the DS-200 tabulator and suggested a change to one of the buttons on the screen.

Attorney Christopher Meuler of Milwaukee appeared on behalf of the Jill Stein Campaign to discuss their request for voting equipment software inspection and express hope that the Commission will make it happen as quickly as possible.

Erin Grunze of Madison appeared on behalf of the League of Women Voters of Wisconsin to discuss election security and integrity concerns.

H. Election Security Planning

(This agenda item was taken out of order.)

Assistant Administrator Meagan Wolfe made a brief oral presentation based on a memorandum starting on page 48 of the September 26 meeting materials regarding election security planning, which is designed to keep the public and the Commission apprised regarding what the staff is doing to protect Wisconsin's elections systems.

State of Wisconsin Chief Information Officer David Cagigal and State of Wisconsin Deputy Chief Information Officer Herb Thompson from the Department of Administration's Division of Enterprise Technology (DET) made an oral presentation based on a memorandum in the September 26 supplemental meeting materials regarding DET's efforts to protect the State's infrastructure against hacking attempts in 2016. Mr. Thompson addressed DET's work with the U.S. Department of Homeland Security (DHS) to share information and block access from suspicious IP addresses. He said while DET worked closely with DHS, DET was never notified that scanning attempts were made by the Russian government. Mr. Cagigal praised the Commission's election security planning outline.

Administrator Haas briefed Commissioners regarding the DHS notification on September 22 that Wisconsin was one of 21 states DHS considers having been targeted by Russian government cyber actors. He expressed frustration with the lack of timeliness and detail of the notification. He described numerous communications the WEC and DET have had with DHS and said Wisconsin was not notified of the targeting until September 22.

Commissioners, staff and the DET representatives discussed notifications, cyber security measures, how it is known that state elections systems were not hacked, and the difference between voter registration and vote tabulating systems.

Chair Thomsen said he would like to schedule a special meeting before the regular December meeting to further discuss election security issues, including a review of progress the staff makes in putting together the master election security plan.

The Chair called a recess at approximately 12:00 p.m. The meeting resumed at 12:31 p.m.

Ms. Wolfe continued her presentation regarding election security planning. She discussed application hosting and security services provided by DET, as well as the Commission's need to provide training to the WisVote system's 3,000 users about phishing attempts and username and password security.

Commissioners and staff discussed other security measures including multi-factor authentication for user access to WisVote and encryption of the database. Ms. Wolfe also discussed modernization of the canvass reporting system and the importance of maintaining adequate security of the transmission of official election results.

Administrator Haas noted that local election officials can benefit from better training regarding the canvassing process.

G. 2017-2019 Biennial Budget

Administrator Haas made an oral presentation based on a memorandum in the supplemental meeting materials for the September 26 meeting regarding the Governor's line-item vetoes of items in the Commission's 2017-2019 biennial budget. He said the Governor vetoed the Legislature's action to restore five positions of the six positions he cut in his original budget proposal. The Governor also used his line item veto to reduce the per diem for Commissioners from \$227 per meeting day to \$27 per meeting. At the Chair's direction, staff drafted a letter from the Commissioners to legislative leaders regarding the vetoed positions.

Commissioner Jensen said she believes the positions are crucial and was disappointed by the veto.

MOTION: Communicate by letter to leaders of the Wisconsin Legislature about the continuing need for positions vetoed by the Governor and express the Commission's desire to work with them on legislative action. Moved by Commissioner Jensen, seconded by Commissioner Jacobs.

Commissioner Knudson discussed his experience in the Legislature regarding budget issues and suggested the staff study the Governor's suggestions to use limited term employees and contractors at peak times, which could strengthen the case for adding back full-time employees.

Chair Thomsen said the letter needs to go out to legislative leaders, but the Commission should discuss staffing alternatives at its next meeting.

Chair Thomsen called the question. Motion carried unanimously.

Chair Thomsen called a recess for lunch at 1:16 p.m. The Commission meeting resumed at 1:56 p.m.

D. Minutes of Previous Meetings

May 23, 2017

June 20, 2017

Administrator Haas noted that the May meeting minutes are back on the agenda because the Chair requested changes at the June meeting regarding timelines for administrative rules, but the Commission never returned to the item later in the meeting.

MOTION: Approve minutes of the May 23 and June 20, 2017 open session meetings as submitted by staff. Moved by Commissioner Jacobs, seconded by Commissioner Glancey. Motion carried. Commissioner Knudson abstained.

E. National Voter Registration Day Resolution

Administrator Haas noted that today is National Voter Registration Day and asked the Commission to consider approving the resolution contained in the Commission's supplemental meeting materials. Chair Thomsen said he would entertain a motion with an amendment that the date is September 26, not September 27.

MOTION: Adopt the resolution recognizing National Voter Registration Day and encouraging Wisconsin citizens to register to vote. Moved by Commissioner Jacobs, seconded by Commissioner Knudson. Motion carried unanimously.

F. Presidential Advisory Commission on Election Integrity

Administrator Haas made an oral presentation based on a memorandum starting on page 18 of the September 26 meeting materials regarding policy questions posed by the Presidential Advisory Commission on Election Integrity (PACEI). He said that the questions accompanied PACEI's request for Wisconsin's voter registration list, and that most states have not answered the questions.

Commissioners and staff discussed whether the Commission has evidence of voter fraud and whether to consider the PACEI's questions as a public records request. Chair Thomsen said the Commission should send what information it has to PACEI, and can address the policy questions later.

I. Alternate Absentee Voting Proposal

Administrator Haas made an oral presentation based on a memorandum starting on page 25 of the September 26 meeting materials regarding the alternative absentee voting proposal. He indicated that there is a consensus regarding the difficulty of processing all absentee ballots on Election Day, and that Commission staff had been providing feedback to supporters of the proposal regarding administrative and significant policy issues to consider. Some of the issues identified by staff have been addressed in successive drafts of the legislative proposal and some have not. Administrator Haas indicated that the draft legislation included several policy decisions and the Commission may determine whether it wished to take a position regarding those policy choices or the specific administrative procedures outlined in the proposal.

Commissioners and staff discussed potential issues with the proposed legislation, including the potential for treating some voters differently than others, difficulties in programming voting equipment under tight time constraints, voting equipment security, moving polling place duties that may require having observers and politically-appointed election inspectors at the clerk's office, chain of custody for ballots, and processing of write-in votes.

Commissioner Glancey said the Commission needs to do something about the situation described by the clerks, but that it must be careful the legislation does not create more problems than it solves. Commissioner Jensen urged that the Commission remain engaged with the bill's author so potential problems can be addressed before passage rather than after enactment.

Hearing no motion, Chair Thomsen moved to the next agenda item. The Commission took no action.

J. Decertification of Optech Eagle Voting Equipment

Elections Supervisor Richard Rydecki and Elections Specialist Robert Williams made an oral presentation based on a memorandum starting on page 57 of the September 26 meeting materials regarding staff's recommendation to decertify the Optech Eagle ballot tabulator for use in Wisconsin after the November 2018 election. They reviewed the history of the Eagle's use in Wisconsin dating to 1994, as well as the problem of it reading only carbon-based marks. Clerks are well on the way to phasing out the Eagle, though some municipalities are still researching alternatives. The vendors servicing the Eagle will not support it after 2018.

Commissioners and staff discussed issues related to decertification including alternatives that municipalities with Eagles may be considering and whether to require municipalities using Eagles to remake all mail-in absentee ballots. Commissioner Knudson offered an amended version of staff's recommended motion.

MOTION: Approve December 31, 2018 as the decertification date of the Optech Eagle voting equipment, after which time the machines will no longer be eligible for use in any elections in the State of Wisconsin. Prior to December 31, 2018, direct all municipalities and counties using Optech Eagle equipment to remake all mail-in absentee ballots prior to processing them on Election Day, or to hand count those ballots. Direct that in event an Optech Eagle machine is used prior to December 31, 2018 and a recount is performed, a hand recount of ballots tabulated by the Optech Eagle must be performed. Direct staff to communicate this decision to all county and municipal clerks so that this policy is in place immediately and applies to all elections until the equipment is no longer in use. Moved by Commissioner Knudson, seconded by Commissioner Jensen. Motion carried unanimously.

K. Engineering Change Order Policy

Mr. Rydecki made an oral presentation based on a memorandum starting on page 62 of the September 26 meeting materials regarding engineering change orders for voting equipment systems that have already been approved for use in Wisconsin. The former Government Accountability Board had adopted a two-tier policy for approving *de minimis* and *non-de minimis* changes. Staff recommends the Wisconsin Elections Commission reaffirm the policy.

Commissioner Jacobs suggested a change to paragraph 5 of the policy changing “If the Administrator *and* Commission Chair disagree with the recommendation of the staff” to “If the Administrator *or* Commission Chair disagree”

MOTION: The Commission reaffirms the agency’s policy as described in the memorandum relating to applications for approval of modifications to voting systems already approved for use in Wisconsin, as amended, and directs staff to continue to implement the policy for such applications. Moved by Commissioner Jacobs, seconded by Commissioner Knudson. Motion carried unanimously.

L. Election Cost Reports

WisVote Trainer Patrick Brennan and WisVote Specialist Sarah Statz made an oral presentation based on a memorandum starting on page 67 of the September 26 meeting materials regarding collection of election cost data from county and municipal clerks. Staff is modernizing the Wisconsin Election Data Collection System (WEDCS) and seeking feedback from the Commission on changes to cost data it collects from clerks. They indicated that Wisconsin initiated the collection of cost data prior to most other states and the data can be useful to state and local policymakers as well as to academic researchers. They also stated that the collection of the cost data is a time-consuming task for Commission staff, and that the cost data is collected and reported by clerks in various ways which impacts its accuracy and consistency.

Commissioners and staff discussed Brian Bell’s comments during the Public Appearances section of the meeting regarding the usefulness of data collected and difficulty collecting it. Commissioner Knudson suggested not collecting cost data anymore since it is not required by state statute.

MOTION: End the requirement for clerks to submit election cost data immediately. Moved by Commissioner Knudson, seconded by Commissioner Gill. Motion carried unanimously.

M. Election Night Reporting

Administrator Haas made an oral presentation based on a memorandum starting on page 70 of the September 26 meeting materials regarding the requirement for county clerks to post results

on their websites on Election Night, and whether that requirement extends to the results of local and school district special elections when the county does not conduct the official canvass.

MOTION: Direct staff to advise municipal and county clerks that the requirement for municipal clerks to report election night results to county clerks, and for county clerks to post such results on a county website, does not apply to local and school district special elections for which the county does not conduct the official canvass. Moved by Commissioner Jacobs, seconded by Commissioner Jensen. Motion carried unanimously.

N. Administrative Rules

Legal Counsel Nathan Judnic made an oral presentation based on a memorandum starting on page 71 of the September 26 meeting materials regarding the status of administrative rule promulgation. He reviewed three scope statements that have been approved by the Governor's Office and published in the Wisconsin Administrative Register: EL Ch. 7 on the approval and security of electronic voting equipment and ballot security; EL Ch. 12 on the content of municipal clerk training curriculum and maintaining records in the statewide voter registration system; and EL Ch. 20 on the procedures for complaints filed against local election officials under s. 5.06, Wis. Stat. Staff recommends the Commission approve the scope statements and direct staff to draft the preliminary rules and draft economic impact statements.

MOTION: Approve the Statements of Scope for Chapter EL 7, relating to approval and security of electronic voting equipment and ballot security; EL Ch. 12, relating to the content of municipal clerk training curriculum and maintaining records in the statewide voter registration system; and Chapter EL 20, relating to procedures for complaints filed against local election officials under s. 5.06, Wis. Stats. The Commission further directs staff to draft the preliminary rules and draft economic impact statements for the above referenced code chapters. Moved by Commissioner Glancey, seconded by Commissioner Jensen. Motion carried unanimously.

MOTION: Authorize staff to draft a statement of scope to promulgate administrative rules which will prescribe the procedures and methods by which clerks are to maintain voter registrations which are generated using the Commission's online voter registration system. The Commission further directs the staff to submit the statement of scope for this proposed rule to the Department of Administration to obtain the Governor's approval. Moved by Commissioner Jacobs, seconded by Commissioner Gill. Motion carried unanimously.

Chair Thomsen asked staff to have the drafting completed by the Commission's December meeting.

Mr. Judnic updated Commissioners on the status of rules already submitted to the Legislature: EL Ch. 6 (procedures related to registration statements and the filing of certain documents electronically) and EL Ch. 21 (repeal provisions related to written advice issued by the Commission).

Commissioners and staff discussed preliminary rule drafts in progress, including the Election Observers rule, and the use of cell phones by observers.

Chair Thomsen said the Commission could address legislation in lieu of rulemaking at an upcoming special meeting.

O. Legislative Agenda

P. Legislative Update

Q. Commission Staff Update

Chair Thomsen said items O, P and Q would be addressed at the Commission's special meeting.

R. Per Diem Authorization

Because the 2017-2019 Biennial Budget changed statutes regarding per diem to a flat \$27 per meeting instead of \$454 per day of meetings, no Commission action is necessary to approve per diems.

S. Closed Session

Adjourn to closed session as required by statutes to confer with counsel concerning litigation strategy and personnel matters.

MOTION: Move to closed session pursuant to § 19.85(1)(g) to confer with counsel concerning pending litigation and § 19.85(1)(c) to consider the performance evaluation data of a public employee over which it exercises authority. Moved by Commissioner Jacobs, seconded by Commissioner Glancey.

| | | | | |
|-----------------|----------|-----|----------|-----|
| Roll call vote: | Gill: | Aye | Glancey: | Aye |
| | Knudson: | Aye | Jacobs: | Aye |
| | Jensen: | Aye | Thomsen: | Aye |

Motion carried unanimously. The Commission convened in closed session at 4:04 p.m.

T. Adjourn

MOTION: To adjourn. Moved by Commissioner Jacobs, seconded by Commissioner Jensen. Motion carried unanimously.

The Commission adjourned at 4:18 p.m.

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The next regular meeting of the Wisconsin Elections Commission is scheduled for Tuesday, December 12, 2017, at the commission's offices in Madison, Wisconsin beginning at 10:00 a.m.

September 26, 2017 Wisconsin Elections Commission meeting minutes prepared by:

Reid Magney, Public Information Officer

October 17, 2017

September 26, 2017 Wisconsin Elections Commission meeting minutes certified by:

Beverly Gill, Commission Secretary

December 12, 2017

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ADMINISTRATOR MICHAEL HAAS

MEMORANDUM

DATE: For the November 20, 2017 Commission Meeting

TO: Members, Elections Commission

FROM: Meagan McCord Wolfe
Assistant Administrator

SUBJECT: Election Security Planning- Draft Report

At the September 26, 2017 Commission meeting, WEC staff presented the Commission with the first draft of the *Wisconsin Elections Security Planning- 2018* outline document. The outline document was presented as an index of resources and tasks that WEC staff is considering as part of the elections security planning process. The outline document will be used as the framework to build the *Wisconsin Elections Security Planning- 2018 Report* that is anticipated to be completed in early 2018. The report will elaborate on each item in the outline to give detail on the WEC's preparation and response planning for elections security.

At the September 26, 2017 meeting the Commission asked WEC staff to provide a draft of the *Wisconsin Elections Security Planning- 2018 Report* at a special Commission meeting to be held in November. As an attachment to this memo, please find the first draft of the *Wisconsin Elections Security Planning- 2018 Report*.

The attached draft includes narrative information for Section I: Elections Security and Preparation of the report. Section I of the report is divided by level of government; each level is then further defined by the roles and responsibilities of that level in elections security. The report then details the preparations that are in place and how those preparations will secure elections in Wisconsin. The draft report was developed by WEC staff through regular meetings with elections security partners including the U.S. Department of Homeland Security (DHS) and the Wisconsin Division of Enterprise Technology (DET).

The attached document is in draft form and is intended as an update for the Commission and an opportunity for the Commission to provide feedback on the WEC's election security efforts. In terms of next steps, the Commission can expect an updated draft of the outline and report at its December meeting. A final Wisconsin Elections Security plan and report will be submitted to the Commission in early 2018.

WISCONSIN ELECTIONS SECURITY PLANNING - 2018

Section I: Election Security Preparation and Incident Prevention

- A. (Page 1) U.S. Government Level** - Federal Bureau of Investigation (FBI), Department of Homeland Security (DHS), *U.S. Elections Assistance Commission (EAC)*, *Federal Voting Assistance Program (FVAP)*, and other federal agencies
1. (Page 1) [Certification of Voting Equipment \(EAC\)](#)
 2. (Page 2) *Providing Security Best Practices (EAC, FBI, DHS)*
 - a. (Page 2) [EAC - Managing Election Technology Documents](#)
 - i. (Page 2) [Ten Things to Know About Selecting a Voting System](#)
 - ii. (Page 3) [Ten Things to Know About Managing an Aging Voting System](#)
 - iii. (Page 3) [Considerations for Implementing Voting Systems with COTS Products](#)
 - iv. (Page 3) [Checklist - Securing Voter Registration Data](#)
 - v. (page 4) [Checklist - Securing Election Night Reporting Systems](#)
 - b. (page 4) DHS Resources
 - i. (Page 5) [Security Tips for Securing Voter Registration Data](#)
 - ii. (Page 5) [Best Practices for Continuity of Operations \(Handling Destructive Malware\)](#)
 - iii. (Page 6) [Ransomware: What It Is and What to Do about It](#)
 3. (Page 7) *Training for State and Local Governments*
 - a. (Page 7) Training Resources
 - i. (Page 7) [FEDVTE](#) (DHS)
 - ii. (Page 7) [US Cert](#) (DHS)
 - iii. (Page 7) [On Guard, Online](#) (Federal Trade Commission)
 - iv. (Page 8) [Stay Safe Online](#) (National Cyber Security Alliance)
 - v. (Page 8) [Stop. Think. Connect.](#) (National Cyber Security Alliance)
 - b. (Page 8) EAC In-person Trainings for Local Election Officials
 4. (Page 8) *Critical Infrastructure Designation & Monitoring Activity (DHS, FBI)*
 - a. (Page 9) Defining the Designation for Wisconsin
 - b. (Page 9) Coordinating Council
 - c. (Page 9) Providing Regular Scans
 - d. (Page 10) Cyber Resilience Review (DHS)
 - e. (Page 10) External Dependency Management Assessment (DHS)
 - f. (Page 10) Cyber Infrastructure Survey (DHS)
 - g. (Page 11) Risk Vulnerability Assessment (DHS)
 - h. (Page 11) EAC Resources
 - i. (Page 11) [Elections Critical Infrastructure Hub and Glossary](#)
 - ii. (Page 11) [CI Scoop Blog](#)

5. *(Page 12) Funding*
 - a. *(Page 12) HAVA*
 - b. *(Page 12) Additional Funding for Elections Security*

B. (Page 12) National Elections Organizations – National Association of Election Directors (NASED), National Association of Secretary of States (NASS), National Association of State Chief Information Officers (NASCIO), National Association of State Technology Directors (NASTD), National Institute of Standards and Technology (NIST), Election Center

1. *(Page 13) Providing Security Best Practices (NASED, NASS)*

C. (Page 13) State of Wisconsin Enterprise Level – Wisconsin Division of Enterprise Technology (DET), Wisconsin National Guard, State Law Enforcement

1. *(Page 14) Server Hosting and Management*
 - a. *(Page 14) Firewalls*
 - b. *(Page 15) Server Patching*
2. *(Page 15) Phones*
3. *(Page 16) Email*
 - a. *(Page 17) Blocking and Defanging Malicious Emails*
 - b. *(Page 18) Inspection of Files and Analysis of Packets*
4. *(Page 18) Monitoring and Alerts*
 - a. *(Page 18) Monitor Threats*
 - i. *(Page 18) Analyze State Systems Activity to Identify Breach*
 - ii. *(Page 19) Alerts from FBI and DHS*
 - b. *(Page 20) Certified Ethical Hackers on Staff for Testing*
5. *(Page 20) Desktop Support*
 - a. *(Page 20) Infected Workstation Support*
 - b. *(Page 21) Desktop Imaging*
 - c. *(Page 21) Software Support*
6. *(Page 21) Fusion Center- Planning (Run by WI DOJ)*
 - a. *(Page 22) Secret Security Clearance*
7. *(Page 22) Provide Cyber Security Training*
 - a. *(Page 22) Required Cyber Security Training Modules for State Users*
 - b. *(Page 23) Available Training for Local Users Not on State Network*

D. (Page 23) State Elections Level - State of Wisconsin Elections Commission

1. *(Page 23) Development of Training*
 - a. *(Page 23) Security Training Videos and Webinars*
 - b. *(Page 24) Security Checklists*

c. (Page 24) Other Training Resources

2. (Page 25) WisVote

a. (Page 25) User Permissions and Distribution of Client Access Licenses

b. (Page 26) System User Policy

c. (Page 26) User Passwords

i. (Page 27) Multi-factor authentication

ii. (Page 28) Password Recovery Process

d. (Page 28) Management of System Reports and Information

e. (Page 28) Systems Testing

i. (Page 28) On-staff Certified Ethical Hacker

ii. (Page 29) [CompTIA Security Certified](#) Staff

f. (Page 29) MyVote

3. (Page 30) Servers

a. (Page 30) Patching

b. (Page 30) Encryption of Data at Rest and in Motion

c. (Page 31) Nightly Comparisons of Database Changes

4. (Page 31) Voting Equipment

a. (Page 31) State Testing and Certification

b. (Page 31) Audits

5. (Page 32) Election Night Reporting

a. (Page 32) System Security and Training

6. (Page 33) Legal Infrastructure

a. (Page 33) Statutory References

b. (Page 35) Implementing Legislative Changes

c. (Page 35) Secret Clearance for Chief Election Officials

E. (Page 35) County Level – County Clerk, County IT Departments, County Sheriff's Office

1. (Page 35) WisVote

a. (Page 35) Hardware & Software Requirements

b. (Page 36) Staff Security Measures

c. (Page 36) WisVote Provider/ Relier Relationship

2. (Page 36) Voting Equipment

a. (Page 36) Programing of Equipment

b. (Page 37) Secure Storage of Equipment Between Elections

3. (Page 37) Election Night Reporting/Canvass

a. (Page 37) Posting Unofficial Results and Entering Results into Canvass System

F. (Page 38) Municipal Level- *Municipal Clerks, Local Law Enforcement*

1. *(Page 38) WisVote*
 - a. *(Page 38) Hardware & Software Requirements*
 - b. *(Page 39) Staff Security Measures*
 - c. *(Page 40) Managing and Entering Voter Info for Municipality*
2. *(Page 40) Electronic Poll Books*
 - a. *(Page 40) Hardware & Software Requirements*
 - b. *(Page 40) Staff Security Measures*
3. *(Page 41) Voting Equipment*
 - a. *(Page 41) Logic and Accuracy Testing*
 - b. *(Page 41) Public Test*

G. (Page 42) Poll Workers and Other Local Users

1. *(Page 42) Voting Equipment*
2. *(Page 43) E-Poll Books*
3. *(Page 43) Polling Place Incidents and Disaster Response*

H. (Page 43) Public Level

1. *(Page 43) Voter Education and Preparation*

Section II: Election Security Incident Response- **REPORT IN PROGRESS**

A. U.S. Government Level - Federal Bureau of Investigation (FBI), Department of Homeland Security (DHS), U.S. Elections Assistance Commission (EAC), Federal Voting Assistance Program (FVAP).

1. *Monitoring Threats and Alerting States*
2. *Best Practices for Incident Response*
 - a. *EAC - Cyber Incident Response Best Practices*
3. *National Emergency Management*

B. National Elections Level – National Association of Election Directors (NAED), National Association of Secretary of States (NASS), Coordinating Council.

1. *Alerting States of Known Threats*

C. State of Wisconsin Enterprise Level – WI Department of Enterprise Technology, Wisconsin National Guard and Emergency Management

1. *Alerting Agency to Known Threats*
2. *Organization of Fusion Center*
3. *Wisconsin Emergency Management*
4. *State Server Isolation, Load Balance, and Recovery*
5. *Disaster Recovery*

D. State Elections Level - State of Wisconsin Elections Commission

1. *Emergency Authority of WEC and Governor*
2. *Fusion Center (Incident Response)*
 - a. *Communication of Incident to Stakeholders*
 - b. *Coordination with Wisconsin Emergency Management*
3. *WisVote Database Breach*
 - a. *SQL Injection Response Plan*
 - b. *Loss of Data Response Plan*
 - c. *Data Breach Response*
 - d. *Data Altered Response Plan*
4. *State Law Enforcement – Department of Justice*

5. *Internet Outage, MyVote Outage, WisVote Outage, or Server Event*

- a. Election Day**
 - i. VIP Feed/Texting Option**
 - ii. Paper Back-Up**
 - iii. Redirect**
- b. Ballots Available Timeframe**
- c. Absentee Timeframe**
- d. Two Days Before an Election**
- e. No immediate Election (ballots not yet ready)**
 - i. OVR**

6. *Emergency Response Documents*

- a. COOP Plan for Agency**
- b. Emergency/Disaster Contingency Plan for Local Election Officials**

E. *County Level – County Clerk, County IT Departments, District Attorneys, County Law Enforcement*

- 1. WisVote**
- 2. Voting Equipment**
- 3. Incident Response**

F. *Municipal Level- Municipal Clerks, local law enforcement*

- 1. WisVote**
- 2. Voting Equipment**
- 3. Incident Response**

G. *Other User Levels- Poll worker responsibility, local law enforcement*

- 1. Voting Equipment**
 - a. Use on Election Day - Voter Support and Trouble Shooting**
- 2. Electronic Poll Books**
 - a.**

H. *Public Level- Voters, Voter Groups*

- 1. Training, education, media**

Section III. Communications- **REPORT IN PROGRESS**

A. Election Security Partners - Contacts and Communications Role

1. Elections Commission
2. Division of Enterprise Technology
3. National Guard/Emergency Management
4. Governor's Office
5. WI Department of Justice
6. Department of Homeland Security
7. EAC
8. U.S. Department of Justice/U.S. Attorneys
9. FBI
10. District Attorneys
11. Local Law Enforcement
12. Voting Equipment Vendors
13. County Election Officials
14. Municipal Election Officials
15. Poll Workers
16. Voters
17. Media

DRAFT

Section I: Election Security Preparation and Incident Prevention

A. U.S. Government Level

The State of Wisconsin Elections Commission (WEC) works closely with the Federal government to ensure compliance with federal law and to apply nationally recognized best practices to Wisconsin elections administration and election security initiatives. Specifically, the WEC coordinates election security efforts with the Department of Homeland Security (DHS), the U.S. Elections Assistance Commission (EAC), and other federal agencies.

The Elections Assistance Commission (EAC) is an independent agency of the United States government created by the Help America Vote Act of 2002 (HAVA). The Commission serves as a national clearinghouse for resources and information regarding election administration, including election security. The EAC is charged with developing guidance to meet HAVA requirements, adopting voluntary voting system guidelines, accrediting voting system test laboratories, and certifying voting equipment. The EAC also helps to coordinate election officials around the country so that they can share information and benefit from one another's experiences and processes.

The U.S. Department of Homeland Security (DHS) is responsible for safeguarding the country's infrastructure from physical and cyber threats that can affect national security, public safety, and economic prosperity. DHS works with election officials throughout the country to coordinate efforts to secure the elections process from both physical and cyber threats. DHS also coordinates with the Multi-State Information Sharing and Analysis Center (MS-ISAC) to provide services and information sharing that enhances the ability of government agencies to prevent and respond to cyber security events.

1. Certification of Voting Equipment (EAC)

One of the major responsibilities of the EAC is the certification of voting equipment. Vendors apply to the EAC to request certification of new systems and to request certification to new components of existing systems. The EAC's certification of voting equipment ensures that there is a consistent standard of reliability and security applied to all systems. More information on the EAC's process for certifying voting equipment can be found here:

<https://www.eac.gov/voting-equipment/system-certification-process/>

In 2005, the EAC adopted the first set of Voluntary Voting System Guidelines (VVSG), as mandated under HAVA. HAVA also requires that the EAC provide certification, decertification,

and recertification of voting systems as well as the accreditation of testing laboratories. The EAC accredits independent test laboratories (voting system test laboratories or VSTLs) that evaluate voting systems and software against the VVSG to determine if the equipment provides all of the basic functionality, accessibility, and security capabilities required of voting systems. The test laboratory, based on its findings, provides a recommendation to the EAC.

The Commission's Certification Division, working through the Executive Director, makes the final determination whether to issue a certification. Once a decision has been made, the EAC posts the information on the Voting System Certification section of the EAC Web site. Therefore, an EAC certified voting system is one that has been tested by a federally accredited test laboratory and has successfully met the requirements of the VVSG.

The purpose of EAC's national voting system certification program is to independently verify that voting systems comply with the functional capabilities, accessibility, and security requirements necessary to ensure the integrity and reliability of voting system operation, as established in the VVSG.

2. Providing Security Best Practices (EAC and DHS)

a. EAC - Managing Election Technology Documents

Among the resources that the EAC has available for states to consider is its guidance for securing election equipment and systems. The EAC webpage that contains resources under this umbrella can be found here: <https://www.eac.gov/voting-equipment/managing-election-technology/>. Individual resources available through the EAC's "Managing Election Technology" webpage are outlined below in sections i-v.

i. Ten Things to Know About Selecting a Voting System

The EAC checklist "[Ten Things to Know About Selecting a Voting System](#)" is for local election officials who are considering the purchase of new voting equipment. The checklist reminds local election officials that they will need to consult their state's laws prior to making a purchase. It also encourages the decision maker to consider how much training will be needed for election inspectors who will be using the new equipment to ensure that they are familiar with security procedures. While the WEC is not involved in local election official's voting equipment purchasing decisions, municipal and county clerks often request resources for consideration from the WEC staff. WEC will provide this EAC checklist to Wisconsin localities who are seeking resources as they consider any potential voting equipment purchase decisions.

ii. Ten Things to Know About Managing an Aging Voting System

Another checklist provided by the EAC to state and local elections officials is its "[Ten Things to Know About Managing an Aging Voting System](#)" checklist. This checklist provides tips for state

and local jurisdictions to analyze their voting systems to ensure that the system still meets federal requirements and best practices. It also gives helpful tips on what to train poll workers to look for when preparing and operating voting systems to ensure that they are fully functional. The tips provided in this checklist are in addition to the rigorous testing and audit protocols mandated by state law.

For the State of Wisconsin, this checklist is a useful addition to the suggested poll worker training guidance and can be incorporated as a resource for clerks who are conducting poll worker training. The resource itself is intended for local jurisdictions who have direct interaction with their voting systems. While the general concepts listed on the checklist are already a part of the WEC poll worker training template, the format and reminders can be used to supplement current training materials.

iii. Considerations for Implementing Voting Systems with COTS Products

The EAC also provides a [checklist](#) for considering and implementing voting systems that utilize Commercial Off the Shelf products (COTS) such as laptops or tablets rather than proprietary vendor hardware. At this time, the WEC has not received any applications for COTS-based voting systems and is not aware of any COTS-based vendors. Should a COTS-based voting equipment vendor application be submitted to the WEC, staff would utilize the EAC checklist to ensure that the testing and approval protocol was designed to evaluate system security.

iv. Checklist- Securing Voter Registration Data

The U.S. EAC created the "Checklist for Securing Voter Registration Data" to provide election officials information and best practices to protect their voter registration data, and to provide assurance to members of the public that those security measures have been implemented. Several components of the checklist have been implemented in Wisconsin including:

- Access control – only authorized users can access WisVote.
- Auditability – WisVote includes a full audit trail including who made changes, on what date, and what the values were before and after the change.
- Data Backups – the WisVote database is backed-up nightly in two physically separate locations.
- Firewalls – the Wisconsin Department of Administration's Division of Enterprise Technology (DET) maintains all firewalls for the Elections Commission, including the firewalls used to protect WisVote.
- System Interconnection – WisVote is maintained on DET servers and uses a separate Active Directory Domain Controller to help isolate it from other systems. WisVote is connected to related elections applications but these connections are secured in a variety of ways to prevent unauthorized access.

- Documentation – The BadgerVoters website maintains logs of voter data purchased by the public as well as information regarding who purchased the data and when. WisVote IT staff maintains change management logs to document any updates to the system design, and all activities within WisVote that impact voter data are logged, including what user took those actions.

There are additional best practices included in the checklist that the WEC is continuing to implement including the establishment of additional criteria in WisVote to trigger unusual activity notifications such as multiple log-in attempts, unusual traffic, or large amounts of data uploads and exports.

v. Checklist - Securing Election Night Reporting Systems

In Wisconsin, counties are required to post all returns, by ward or reporting unit on an Internet site. Many jurisdictions use a separate Election Night Reporting (ENR) system to display unofficial election night results to the public through a web-based application. The [U.S. E.A.C. Checklist for Securing Election Night Reporting Systems](#) provides a baseline for jurisdictions to assess the security protocol surrounding their Election Night Reporting system.

Whether a jurisdiction reports election night results using an ENR or some other method, the checklist includes items that are useful for all jurisdictions. Each county should review the checklist for the points relevant to the method that is used for election night reporting. All counties should proof the data being posted on election night and validate that results shown on their website match the results reported by municipalities, and have a backup plan should their website become unavailable. They should also ensure that they have received results from all reporting units and post a disclaimer along with the results if data from any reporting units is missing.

All jurisdictions should include election night results in their continuity of operations and risk management plans. Election night results are unofficial, but the public does not necessarily perceive them as unofficial. Therefore, providing assurance to the public that the election night reporting systems (whether ENR software or a home built spreadsheet) are accurate and protected is of the utmost importance to every election official.

b. DHS Resources and Best Practices

Another source for information on Election security is the Department of Homeland Security. DHS provides guidance specific to voter registration data as well as information on overall cyber security best practices. DHS resources are discussed below in sections i-iii.

i. Security Tips for Securing Voter Registration Data

DHS has resources available for states to assist in securing voter registration data. DHS recognizes that voter registration databases are rich and attractive targets for computer intrusions. The keys to good cybersecurity are awareness and constant vigilance. There are many threats DHS articulates that can put voter data at risk, such as phishing attempts to get credentials from users, injection attacks, XSS vulnerabilities, denial of service attacks, or ransomware. The US-Cert program which is described in Section 3 below has extensive publications regarding how to handle many of these threats. The WEC staff has completed extensive review of the US Cert publications, and recommendations related to US Cert are found elsewhere in this report.

In addition to the US Cert documentation, DHS makes several basic recommendations that can prevent as many as 85 percent of targeted cyber-attacks. Many of these recommendations are already in place in Wisconsin or are being implemented such as:

- Patching of applications and operating systems
- Application whitelisting through DET
- Restrict administrative privileges
- Input validation
- Firewalls

DHS has also created a list of questions that election authorities should consider to assess their ongoing security preparations. WEC is in the process of performing this recommended exercise to better assess vulnerabilities.

Lastly, DHS gives critical recommendations for how to respond if unauthorized access to voter registration data occurs. First, an event such as this should trigger our security incident response plan and business continuity plan. It is important to maintain essential functions for the agency while allowing time for IT staff to isolate and remove the threat. Second, it is important to contact DHS and/or law enforcement immediately. The WEC is in the process of finalizing the recommended continuity plans and communication channels.

ii. Best Practices for Continuity of Operations (Handling Destructive Malware)

Malware is an umbrella term used to describe a variety of intrusive software programs such as computer viruses, trojan horses, ransomware, spyware, and other programs that pose a threat to user applications and hardware devices. DHS has provided a best practice document on how to protect systems, including elections systems, from malware activity.

The WEC and DET are following many of the recommendations found in this document. The WEC election management systems are largely secured behind layers of security within the DET data center. A next-generation firewall system is well organized, monitored and regularly updated. Minimum ports and protocols are configured for host-to-server and host-to-host connectivity. Servers and applications are categorized into tiers with individual plans in place.

Also, the WEC and DET have backup systems in place which are monitored daily. Service accounts are tightly controlled and limited to specific functions. Systems are monitored for utilization and anomalous traffic or patterns. Vendor patching is regularly scheduled and offset between all system environments allowing for thorough testing opportunities.

In addition, the WEC has the recommended COOP recovery planning in place, as well as documentation of critical asset dependencies, contacts and organizational information.

iii. Ransomware: What It Is and What to Do about It

Ransomware is a type of malicious software that threatens to publish the victim's data or block the victims access to required information until ransom is paid in the form of information or data from the victim's computer. DHS has published guidance on how to protect systems, including election systems, from ransomware attacks.

As recommended in the DHS guidance on ransomware, the WEC has the following systems in place to protect Wisconsin's election management systems:

- A backup system is in place that is monitored daily. Access to backup data is segregated from critical data and applications to prevent ransomware from spreading to backup data.
- Backup systems are in place so that critical data and applications can be restored quickly in the event of an outage.
- COOP recovery planning is in place, documenting critical asset dependencies, contact and organizational information.
- A centralized patch management system is in place and all systems are patched regularly.
- Active administrative accounts are limited and user roles are restricted to necessary access.

WEC internal operations have the advantage of being located on the state supported LAN/WAN with a centralized file share. Inbound and outbound email traffic is filtered through a security appliance, which strips and defangs suspicious emails, links or attachments. A web content filtering gateway is also in place blocking risky or known malicious web sites and IP addresses. Macro scripts are stripped from incoming MS Office attachments. Staff has also participated in several cyber security awareness training programs over the past few years. Protocols are in place to identify and manage the infection of a device.

3. Training for State and Local Governments

Agencies within the U.S. Federal Government and associated agencies provide learning tools and opportunities for state and local election officials to consider. Training resources available through the federal government are listed below in sections a and b.

a. Training Resources

i. FEDVTE (DHS)

This recommended training resource was produced by the federal government and offers courses principally for more technical users, but some classes have more general applicability. The training curriculum contains extremely detailed and advanced technical training. WEC staff is currently enrolled in and completing FEDVTE training curriculum including the following courses:

- 101 Critical Infrastructure Protection
- Cyber Security Overview for Managers
- Cyber Risk Management for Managers
- Static code analysis and settings evaluation
- DoD IA Boot Camp

ii. US CERT(DHS)

The Computer Emergency Readiness Team website provides an extremely comprehensive set of information, including links to most of the resources in this document. WEC staff is currently subscribed to and analyzing the following communications:

- **Newsletters** – These include alerts on newly-discovered vulnerabilities and exploits, general tips and current events.
- **Publications** - There are dozens of publications on this website covering a wide variety of cyber security topics from creating secure passwords to technical details on specific attacks.
- **C³ Resources for State, Local, Tribal and Territorial Governments** - Useful information to incorporate into WEC security curriculum for local election officials.

iii. OnGuardOnline (Federal Trade Commission)

OnGuardOnline is a training resource more focused on families with children, information that is of limited use to municipal clerks or state elections system users. The non-child based information overlaps with the standard web security information provided by DHS. Aspects of this training and links to helpful videos will be included in the WEC election security training curriculum for Wisconsin's local election officials.

iv. Stay Safe Online (National Cyber Security Alliance)

Stay Safe Online appears to be the parent cyber security program and references to Stop Think Connect for many points. Stay Safe Online is still useful as a resource because it includes more in-depth information and definitions over what can be found on Stop Think Connect. Also, Stay Safe Online includes additional resources for businesses, reporting cyber-attacks (of limited use to our needs), and a section dealing with mobile devices. Aspects of this training and links to helpful videos will be included in the WEC election security training curriculum for Wisconsin's local election officials.

v. Stop. Think. Connect. (National Cyber Security Alliance)

Stop. Think. Connect. is an awareness campaign associated with the Stay Safe Online program. As a separate awareness campaign, the website includes a Resources section with multiple tip sheets, radio and Internet PSAs, and posters/memes for use by the public. For this training to be useful, local election officials would need to have previous knowledge of, and follow, a base level of cyber security. While some aspects of this training resource will be incorporated into the WEC election security curriculum for local election officials, the resource must be framed in the appropriately for it to be effective in the context of elections.

b. EAC in-Person Trainings for Local Election Officials

Through communications with state election officials, the EAC has offered to send an EAC Commissioner and/or staff member to local election official conferences or events to discuss election security. Some states with a centralized election administration structure, where all county clerks meet at a yearly conference, have invited the EAC to speak at their events. Those states report the presentation as being well received by local election officials. The WEC is currently investigating options for including a EAC speaker at the Wisconsin County Clerks Association, Wisconsin Municipal Clerks Association (divided into nine districts), and Wisconsin Towns Association meetings. However, unlike other states, there is no single event where all of Wisconsin's 1925 municipal and county clerks gather in one centralized location for an event.

The WEC training team is working with the clerk associations and the EAC to determine the best course of action. WEC staff believe that it would be beneficial for the EAC to aid in delivering the message on the importance of elections security to Wisconsin's local election officials.

4. Critical Infrastructure Designation & Monitoring Activity (DHS, FBI, EAC)

a. Defining the Designation for Wisconsin

The Department of Homeland Security designated elections systems as critical infrastructure in 2017. According to the DHS website, a critical infrastructure designation is given to “systems and assets, whether physical or virtual, so vital to the United States that the incapacity or destruction of such systems and assets would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters.”

For state election officials, the designation as critical infrastructure means that state and local elections agencies have more access to additional resources through DHS and other federal agencies. It also means that there is a heightened awareness and priority given to elections agencies in terms of providing such services at times of critical need.

b. Coordinating Council

When a sector is designated as critical infrastructure, federal law requires that a coordinating council, specific to that sector be created. In 2017, the Government Sector Coordinating Council (Council) was created by DHS to facilitate effective communication and coordination of critical infrastructure between the federal, state and local governments. The goal of the Council is to inform the work of DHS in the elections field and to help establish clear communication protocols between DHS and the appropriate state election officials.

In the summer of 2017 the membership of the Council was established and the Council has since met to establish a charter and begin discussions. While the State of Wisconsin is not currently represented on the Council, WEC leadership continually communicates with the EAC, DHS, and the National Association of Election Directors (NASED) which are represented on the Council to convey the needs and concerns of Wisconsin election officials.

c. Providing Regular Scans

DHS provides cyber monitoring, scanning and evaluation tools to elections agencies. Among these resources is the National Cybersecurity Assessment & Technical Services (NCATS). The NCATS leverage the best cybersecurity assessment methodologies, commercial best practices and integration of threat intelligence that enable cybersecurity stakeholders with decision making/risk management guidance and recommendations. NCATS provides an objective third-party perspective on the current cybersecurity posture of the stakeholder’s networks. NCATS security services are available at no-cost to stakeholders and can range from one day to two weeks depending on the security services required.

The WEC has utilized the DHS NCATS service since 2016 and has an NCATS scan performed on agency IT applications weekly. WEC staff receives a report from the NCATS scans which is then analyzed by WEC staff to identify issues and recommendations. Any recommendations or

patches are then deployed on agency applications or relayed to DET which deploys server-side fixes.

DHS has other scanning and monitoring resources that WEC is exploring in conjunction with DET. Other resources include physical site assessments for municipalities, risk vulnerability penetration testing and cyber infrastructure surveys.

d. Cyber Resilience Review (DHS)

Another service that DHS offers to state elections agencies is a Cyber Resilience Review (CRR). A DHS CRR is a one-day, onsite assessment of the state enterprise network as a whole. During a CRR, DHS staff analyze the state system for strengths and vulnerabilities. At the conclusion of the CRR, DHS staff will provide DET and WEC with recommendations for overall improvements to enterprise cyber security systems and tips on preparedness. WEC is currently working with DHS and DET to schedule a CRR for Wisconsin's enterprise server systems, including servers and structures that support WEC applications. There is no cost to the WEC or DET for this service, but both WEC and DET will need to allocate at least eight hours of staff time to the review.

e. External Dependency Management Assessment (DHS)

In conjunction with the CRR assessment, DHS also offers state election agencies an External Dependencies Management Assessment (EDMA) service. The DHS EDMA assesses an elections agency's reliance on a third-party system or vendor for cyber security services. In the case of the WEC, the EDMA would assess WEC's technological relationship with DET to determine if there are any gaps or vulnerabilities in the structure. At the conclusion of the EDMA, DHS staff will provide a report that rates technological dependencies, supply chains and communication channels between the WEC and DET and provides recommendations for strengthening the cyber security relationship between the two agencies. WEC is currently working with DHS and DET to schedule a EDMA in preparation for the 2018 election cycle. There is no cost to the WEC or DET for this service, but both WEC and DET will need to allocate at least eight hours of staff time to the assessment.

f. Cyber Infrastructure Survey (DHS)

DHS also offers a Cyber Infrastructure Survey (CIS) to state elections agencies. The CIS assesses an agency's implementation and compliance with more than 80 security best practices that are recommended by DHS and other federal partners. The CIS will assess WEC applications, internal networks and the DET server structure that supports WEC applications. At the conclusion of the CIS, DHS will provide WEC and DET with a report that rates state technical infrastructure against DHS standards and provides recommendations for compliance. There is no cost to the WEC or DET for this service, but both WEC and DET will need to allocate staff time and resources for at least four hours to complete this survey.

g. Risk Vulnerability Assessment (DHS)

To identify and limit vulnerabilities in election systems and applications, DHS provides a Risk Vulnerability Assessment (RVA). The RVA is a penetration test that is focused on an election agency's applications including WisVote and MyVote. A penetration test, or pen test, is a simulated attack on a computer system that is authorized by the owner of the system to identify security vulnerabilities that could lead to a malicious actor gaining unauthorized access to a system's functionalities or data.

The DHS RVA is an intensive review of elections systems that mimics potential hacking scenarios like social engineering, remote system access, database scanning and manipulation and email phishing campaigns. The RVA is conducted over a two-week span. During the second week, DHS staff will be onsite at the WEC. During the assessment and at the conclusion of the assessment, DHS staff will provide WEC with a report of security options and suggestions for improvement. There is no cost to the WEC for the RVA, but the WEC will need to dedicate significant staff time and agency resources to the RVA for at least two weeks. The WEC is currently working with DHS to schedule and RVA to be completed prior to the August 2018 election.

h. EAC Resources

The EAC provides resources to state and local election officials to help them understand the DHS Critical Infrastructure designation. WEC staff members have analyzed the following resources to gain a better understanding of what the designation means for Wisconsin elections.

i. Elections Critical Infrastructure Hub and Glossary

The EAC website includes a [hub](#) specifically for Critical Infrastructure Designation (CID) materials. Among the materials is a glossary of CID terms that WEC staff uses when communicating CID information to election partners including the Elections Commission staff, local elections officials and the media.

ii. EAC "CI Scoop" Blog

The EAC also has a [blog](#) specific to the CID that provides analysis of timely issues related to the designation. The blog is a good resource for WEC staff who are involved in elections security to stay up-to-date with any changes or developments related to the designation. Much of the information contained in the blog is also disseminated to state election officials through other national groups that work with the Coordinating Council. WEC staff will continue to monitor the blog for new information that relates to elections in Wisconsin.

5. Funding

a. HAVA Funding

The WEC maintains a balance of federal grant funds that were appropriated in 2002 through the federal Help America Vote Act. These funds can be used to support most agency elections administrations functions including the development, maintenance and security of the statewide voter registration system, WisVote. Currently, WEC uses HAVA funds to support the agency's core functionalities, including providing training to local election officials, maintenance of WisVote and the funding of staff positions. WEC expects to deplete its HAVA funds in 2019. Currently, the remaining balance of funds are reserved for core election administration through 2019. As election security has become an immediate priority, the funds can also be used to support election security efforts. However, any funds that are diverted from core agency functionalities to election security initiatives will accelerate the depletion of HAVA funds, which will trigger the use of state General Purpose Revenue funds in the 2017 – 2019 biennium.

b. Additional Funding for Elections Security

There has been some discussion of the federal government making additional HAVA-type funds available to states specifically for election security. While there have been draft bills circulated, as of November 2017 there is no significant and concrete movement to provide states with additional funds for election security preparedness. The WEC continues to monitor such activity and has communicated to Congressional staff several potential uses for such funds should they become available.

B. National Elections Organizations

There are several national organizations that aim to coordinate professionals from across the country on important topics related to elections. The National Association of State Election Directors (NASSED) is an organization comprised of the chief election official from each state. NASSED coordinates conferences, events and communications to its members on important elections information including elections security. NASSED has played a role in working with DHS and other organizations to appoint members to the Government Sector Coordinating Council. NASSED coordinates information sharing among state election directors so that all states can benefit from best practices and lessons learned.

Organizations such as the National Association of Secretaries of State (NASS) and the National Association of State Chief Information Officers (NASCIO) are also involved in elections related matters. In many states, the Secretary of State is the chief election official and is very involved in elections security. Because the Wisconsin Secretary of State is not involved in elections

administration, the WEC has reached an agreement with NASS to subscribe to its election related services and resources for a reduced membership rate. NASCIO is also an important election security partner, as many states, including Wisconsin, rely heavily on the office of the state Chief Information Officer to provide front line defense for election systems and servers.

1. Providing Security Best Practices (NASED, NASS, NASCIO)

WEC staff receives regular communications from NASED, NASS and NASCIO. WEC staff analyzes these communications for information that is relevant to Wisconsin elections. For example, NASED will pose elections related surveys to its members and, as a result, all states are able to learn from the results. NASED also hosts events and conferences which are an excellent opportunity for election officials across the county to learn from one another and other partner organizations to and coordinate on best practices. When NASS holds conferences or events that cover election related topics, WEC staff receives invitation. WEC staff has attended NASS “Tech Talk” events in 2017 to coordinate with its membership to stay up-to-date on elections security and technology. WEC staff will continue to monitor these organizations for information and resources that are applicable to elections in Wisconsin.

C. State of Wisconsin Enterprise Level

The Wisconsin Elections Commission (WEC) is an agency within the State of Wisconsin government. While the WEC is an independent state agency, it utilizes enterprise level technology services available through the State of Wisconsin Division of Enterprise Technology (DET). DET, housed within the Wisconsin Department of Administration (DOA), provides many services to the WEC including server hosting and management, phone and email hosting, and desktop imaging and support. The WEC also has other security partners at the state enterprise level including Division of Emergency Management, the National Guard and state and local law enforcement. In preparing for an election related security disaster or emergency management event, the National Guard and State level law enforcement may be able to provide resources and guidance. The WEC communicates regularly with state level enterprise partners and has regular meetings with such agencies to better understand and coordinate their roles in elections security prevention and response.

1. Server Hosting and Server Management (DET)

DET hosts the servers that power the State of Wisconsin’s voter registration database, known as WisVote, as well as related applications such as the MyVote Wisconsin website. While the WEC staff builds, maintains and secures the applications themselves, there is a great benefit to having the servers hosted through DET. The DET server structure is arranged so that there is one single point of control of the state enterprise server system. DET deploys sophisticated

firewalls and monitoring techniques at the single point of entry to ward off malicious and extraneous activity. Visibility and traffic monitoring tools deployed by DET and a sensor supplied by the Multi State - Information and Analysis Center (MS-ISAC) in conjunction with DHS are used at the single point of control to allow DET, as well as the MS-ISAC security operations center to evaluate each contact with the state enterprise server system.

DET further protects state servers by dividing the server environment into zones. Each zone is then further monitored by a diverse set of cyber tools to analyze server activity. Adding to the complex and layered server security set up, server zones are assigned unique firewalls to further prevent attacks or extraneous activity. The additional zones and protections ensure that if a malicious actor is able to breach the single point of control, there would be other security measures in place to prevent attacks on any specific zone or server. The division of servers also allows applications to be isolated and protected according to the specific needs of the applications and to allow redundancy of system monitoring by protecting various zones with different monitoring tools than are used at the single point of control.

a. Firewalls

DET uses firewalls to protect the state enterprise servers at many points throughout the server topography. In addition to using firewalls at multiple points throughout the system structure, DET also uses a variety of firewalls. Having a variety of firewalls increases the amount of information available to prevent an attack. Each firewall sources its information differently, such as by monitoring activity across the DHS network or by sourcing information from corporate partners. Firewalls operate using a dynamic base of information to archive and prevent attacks using information sharing throughout the cyber security world. The more sources that can be used to create the database of known and suspicious actors and methodologies for blocking them, the more comprehensive the firewall protection.

New information is being added to the DET firewall database all the time. The information comes from national, military, corporate and state sources, including from state employees. If an agency, state employee or state customer becomes aware of a potential threat they are instructed to report the threat to DET. When reporting a potential incident or threat to DET, the user is asked to provide information such as server information, IP addresses, and server ports involved in the incident. DET then places a hold on activity by the potentially threatening IP address or actor while it investigates the activity. If the activity is identified as potentially malicious, DET then adds the information to the firewall database of blocked users and deploys other methods to block further contact with the suspicious actor.

b. Server Patching

Another service that DET offers to protect state servers is patching. Patching is a process through which software is deployed to update a computer program, operating system or server to support data, fix a known bug or make an improvement. Patching also includes deploying fixes to remedy security vulnerabilities. Like firewalls, servers and programs need to be kept up-to-date with the most current information, and patches are used to add that current information to the server or program. DET also provides patching auditing of servers which is a service that compares programs against a list of patches to ensure compliance.

DET deploys patches as part of a regular schedule. The schedule is developed with the business needs of agencies across the state enterprise system in mind. If a patch is deployed on a server or zone that supports one agency, there could be an impact on other agencies who share the server space. Patches need to be tested across the entire server structure to determine if the patch may cause unintended consequences on other areas of the server environment. Sometimes when a patch is deployed, the servers or server zones need to be restarted, causing short outages. Because of this, the DET patching schedule includes change freezes where only emergency patches can be implemented to avoid outages during critical business operations. In coordination with WEC, DET has implemented a change freeze protocol during important times in the election cycle. Patches that are not critical cannot be implemented on any DET server in the week prior to a major election. This ensures that there are no server outages during critical elections periods unless a special exemption is granted by the Chief Information Officer.

2. Phones

DET provides phone services for state enterprise users. Currently, DET is in the process of transferring phone services to Voice Over Internet Protocol (VOIP) which connects phone and email services through a unified communications platform. A unified platform allows state users to connect via phone from anywhere using their Windows computer or mobile device. The platform also allows DET to integrate phone services with other software applications which provides more consistency with maintaining patches and overall security.

The WEC will be switching from traditional phone service to VOIP as part of a statewide roll-out in early 2018. This will allow staff time to learn the new system and transfer to the new integrated platform in time for the up-tick in calls for the 2018 election cycle. The integrated VOIP platform will allow the WEC additional opportunities to track calls and voicemails which

can also be used to monitor and analyze call activity to identify trends that may need additional attention.

3. Email

Enterprise e-mail services through DET provide state agencies with a centrally managed, enterprise-wide messaging system. In addition to email and calendar functions, the DET enterprise email system provides anti-spam and anti-virus protection, file-sharing services, outbound faxing, the ability to send encrypted email, email archiving, backup services and helpdesk support. DET hosts email services for 30,000 state users with a resilient configuration in multiple locations. [The Email Service Roles and Responsibilities \(R&R\)](#) document delineates how specific responsibilities are divided between DET and agencies.

DET is the first and primary layer for security and support for all state user email accounts, including the WEC. To protect state user emails, DET maintains multiple copies of each email database on multiple servers. The many layers to the state email storage architecture ensures that information is not lost and can be recovered. It also allows DET to resolve known issues without outages by pointing state email systems to a backup server while testing or patches are implemented in the main environment.

DET also uses virtual separation to create security boundaries between agencies. Agencies are separated by rights, permissions and within the domain structures provided for agencies. Agency account attributes, like the marker that indicates elections applications and email accounts, are critical components of the email security structure because they ensure that only the users with the correct permissions can access information associated with an agency. All state user emails are secured and stored using the highest level of security required. For example, some agencies are subject to strict requirements, like HIPPA laws, because of the nature of their work. Therefore, the WEC and other agencies also benefit from these high standards being applied to all state enterprise email storage, security, and access permissions.

In addition to the enterprise wide hosting, storage, and security that DET provides for state email users, it also offers customized solutions that agencies can opt to use based on their needs. WEC continues to work with DET to explore additional options for using email services. Some of the options include digital signatures which could help to identify emails sent from elections employees as official so that clerks and elections partners can differentiate those communications from spam or phishing attempts. DET also offers other services such as routing outgoing emails through a secure portal, much like communications that are received from a banking institution. WEC and DET are exploring this service for sending security related messages to local election officials. This service would also offer additional email encryption

options beyond the in-network encryption services that DET automatically applies to hosted accounts.

a. Blocking and Defanging Malicious Emails

DET provides the first line of defense against malicious emails for affiliated state agencies including the WEC. Using several criteria, including the digital reputation of the sender and number of transactions from the sender, DET identifies and then quarantines suspicious incoming and outgoing email messages so that malicious emails are not delivered to their intended target. There is a complex scoring system used to determine which emails DET should block and which emails should be sent to their intended recipient.

DET identifies and blocks a high volume of malicious or extraneous emails that are never received by state users. Monthly, DET blocks 90-95% of emails that are sent to state users. In October 2017 DET blocked 62.4 million email messages from being received by state users. There is a very low instance of “false positives” in the DET blocking system, meaning very few emails identified as spam are delivered as legitimate emails.

DET also “defangs” emails to remove potentially problematic links before sending to the recipient. Defanging is a process of removing or re-writing links within an email so that the recipient cannot be directly routed to a malicious website through the URL in the emails. If an email passes DET’s initial spam check, it is then scanned for links. The defanging process DET utilizes rates the reliability of links embedded in emails. If the link in the email is known to be legitimate, then the email is sent without any changes. If the link receives a less reliable rating, then the URL in the email is routed through a proxy server to re-write the URL before it is sent. If the link receives a low score, then the link is deactivated before the email is sent to the user.

There are many layers of information that DET employs to determine what emails should be blocked. Like any other security measure, such as firewalls, the list of SPAM email actors and tactics changes daily. DET works with other government agencies and vendors to keep the list of SPAM email actors up-to-date. An important part of keeping this list up-to-date is through receiving information from state email users. If a state email user receives a suspicious email, they are instructed to send and report the email to the DET helpdesk which will investigate and then add the email to the spam list if appropriate.

b. Inspection of Files and Analysis of Packets

Another service that DET offers to agencies is what is known as packet analysis. Packet analysis is done through a program or a piece of hardware that can intercept and log traffic directed at a network or a specific part of a network. A packet is a group of data transmitted over a digital

network. As the data is transmitted to the network, using any number of digital media, DET can anticipate the transmission and capture it for analysis before it reaches the server framework. DET can then analyze the packet and, if needed, decode the packet's data, showing the values of each field in the packet. Based on this analysis, DET can then deny the packet access to the state system or determine that it is legitimate and allow the packet to proceed to the next level of the security framework, such as a firewall, for additional analysis.

The file inspection and packet analysis services that DET provides to the WEC and state users has many layers. For the WEC, this means that malicious or extraneous data packets aimed at our systems are intercepted and analyzed before they ever reach the internal server security or firewalls. Every day DET intercepts and blocks numerous threats across the state enterprise using this structure.

4. Monitoring and Alerts

a. Monitors Threats

DET monitors threats to the state server structure and to WEC applications using a variety of internal and external information sources. Internal sources of information, like firewalls, activity logs, and hardware and software alerts and sensors are described in the DET server structure above. DET also monitors third party sources for threats and alerts. Many of the sources of third party information comes from DHS and other federal government sources. DET also subscribes to commercial threat identification services that are renewed annually. DET also partners with the Wisconsin Department of Justice's Wisconsin Statewide Intelligence Center (WSIC) for sharing intelligence information with other states.

i. Analyze State Systems Activity to Identify Breach

Once DET receives an alert or notification of suspicious cyber activity, the activity and associated IP addresses are added to the database housed on system security devices. DET also deploys any suggested patches to seal vulnerabilities and prevent future contact with the offending cyber actor. The information of the suspicious cyber actor is also added to the blocked list on DET firewalls while DET continues to investigate.

DET also analyzes logs of previous activity across the server system to see if the malicious actor has had any previous contact with the State of Wisconsin IT Enterprise. If there is a log of previous activity, DET can then trace the activity throughout the server structure to determine if there was any impact on state systems. If an incident is identified, DET will notify the owner of that system to identify the scope of the problem and to implement a solution.

ii. Alerts from FBI and DHS

DET partners with the FBI, DHS, U.S. Department of Justice, the National Guard and other federal cyber security agencies through the Wisconsin Fusion Center. More information about the Wisconsin Fusion Center is detailed below in section 6. DET and WEC also have direct communication channels with DHS and have been assigned local and regional liaisons who provide security information.

Through its Cyber Security Division, DHS also works closely with the Multi-State Information Sharing and Analysis Center (MS-ISAC), a non-profit organization which partners with state governments and federal agencies. MS-ISAC receives cyber security information, alerts, and intelligence from across the country and coordinates that information so that all states can benefit. DET and WEC regularly receive information and alerts from DHS through MS-ISAC. These alerts typically contain a recap of an incident that has occurred in other states and includes patches and tips so that states which have not been attached can proactively protect their systems.

In addition, DHS utilizes sensors to monitor federal cyber networks to identify threats and shares that information with states via state fusion centers and the MS-ISAC. This intelligence information is used to protect state systems, including WisVote. The MS-ISAC provides sensors similar to DHS to state technology offices and monitors them around the clock. DET utilizes this service from the MS-ISAC at the main point of control of the state network to protect the IT infrastructure of WEC and other state agencies.

If DET receives federal cyber security information relevant to elections, that information is shared with WEC. If WEC receives federal cyber security information relevant to elections or any other state system, that information is shared with DET. Often both WEC and DET receive the same alerts and notifications from federal sources. DET and the WEC have partnered to create a communication chain to ensure that cyber security information is shared between both agencies.

b. Certified Ethical Hackers on Staff for Testing

An important tool in preventing cyber security events is testing within a system to identify and remedy vulnerabilities before they are exploited. A Certified Ethical Hacker is an individual who completes training and exams and signs an agreement to act out these testing scenarios within a system with the intention of giving the information to the owner of the system who can then seal the vulnerability. Unlike hackers who look to cause harm to a system or network, certified ethical hackers use their skills to help the system owner improve the system and prevent future threats.

DET has Certified Ethical Hackers on-staff and can help with penetration testing. The WEC also has a certified ethical hacker on staff who regularly performs penetration testing. More about how WEC uses its in-house staff can be found below in section D. DET staff can help with penetration testing from a different angle than WEC staff. Having DET staff assist with penetration testing of WEC in-house applications can provide a different perspective of someone from outside the agency. Having DET staff involved in elections system penetration testing also brings in-depth knowledge and familiarity of the state network and servers. This will create a more diverse set of testing scenarios that can thoroughly examine WEC systems for vulnerabilities either directly through election systems or through the state network. WEC will continue to work with DET to conduct penetration testing and to remedy vulnerabilities identified.

5. Desktop Support

DET provides desktop support to agencies on the state network. These services include recommendations and procurement services for hardware, configuration and imaging of new devices, software deployment and management, and operating system and software patching. These core services ensure consistency and security across the state network. DET's Desktop Roles and Responsibilities document outlines the services DET provides and what responsibilities agencies like the WEC have to maintain their desktops in a secure manner. The document can be found here:

<https://det.wi.gov/Pages/AgencyManagedApplicationService.aspx>

a. Infected Workstation Support

As part of the desktop support that DET provides to WEC and other agencies, it monitors traffic on the state network through a central server that intercepts traffic from each desktop. From here DET can determine if there is any unusual activity occurring on state desktops that might signal the desktop is infected with malware like adware, ransomware or a virus. If unusual activity is flagged, DET will notify the IT staff at the agency registered to the PC to investigate. DET will then work with the agency to contain and correct the infection. DET maintains standard images for workstations so that in the event of infection the entire computer can be reimaged and returned to use very quickly. Most attacks are blocked by DET firewalls and other security measures before they reach and infect a state user's computer. Having this monitoring in place ensures that WEC agency hardware remains free of viruses and other malware that could impact elections systems.

b. Desktop Imaging

Desktop disk imaging is another important tool that DET provides to agencies like the WEC. Desktop imaging is a computer file containing a computer's core systems including operating system, software and network structure for the device. DET first sets up the target environment conventionally, including installing end-user software as well as hardening the system according to industry best practices such as the Center for Internet Security's Controls. This initial set up also includes provisioning the device with DET's Enterprise security controls. DET then creates an image file from that machine and downloads it to all devices for a specific agency. The WEC benefits from utilizing DET's imaging process because it ensures that all agency hardware is configured in a secure and a consistent way. By keeping all work data on shared drives and utilizing centrally-managed desktop applications, this process also ensures that in the event of an infection, a workstation can be quickly wiped and reimaged with minimal disruption to business processes.

c. Software Support

DET also provides software support to WEC. DET purchases customized software licenses at the enterprise level for agencies to use. This means that DET can analyze software to ensure that it is secure and that all terms and agreements comply with state standards before agencies are able to purchase or download the program. DET can also track which state users are using DET supported software to ensure that those users receive necessary software patches and that the software is kept up-to-date. While the WEC and other agencies need to purchase the software license from DET, the agency is receiving additional protections and guarantees that it would not receive if the agency were to purchase software independently.

6. Fusion Center- Planning

DET is a member of the Wisconsin Fusion Center, also known as the Wisconsin Statewide Intelligence Center. The Fusion Center is a collaborative organization that includes state and federal agencies with the goal of sharing resources, expertise and information to detect, prevent, and respond to criminal activity, including cyber activity. The Wisconsin Fusion Center is managed by the Wisconsin Department of Justice and includes members from DHS, the FBI, law enforcement, military services and critical state agencies.

DET staff attend weekly Fusion Center briefings on security concerns from around the state, nation and world. The Fusion Center briefings provide government security partners a classified space to share information and find solutions. DET is able to make state IT systems and servers more secure by utilizing intelligence information and IT resources from other security partners at the Fusion Center. Election security is sometimes discussed at Fusion

Center meetings. While the WEC is not directly a member of the Fusion Center, state election systems benefit from its efforts through DET's involvement.

a. Secret Clearance

DET has two staff members who have Secret Clearance through the U.S. Department of State. Secret Clearance is a status granted to individuals to permit them access to classified government or military information after completion of a thorough background check. The DET staff members with secret clearance can communicate with others holding such clearance at agencies such as DHS and the FBI. DET can then work with other classified security personnel to formulate a solution to a classified problem. The action that is needed to remedy the issue can then be shared with unclassified staff who can deploy the fix.

Currently WEC management is in the process of applying for Secret Security Clearance as part of the Critical Infrastructure designation. However, even without approved clearance, DET is still able to work with WEC staff to prevent and respond to election related cyber-attacks based on classified information. While WEC may not know the source of the information leading to a required action, the necessary steps are still being completed.

7. Provide Cyber Security Training

a. Required Cyber Security Training Modules for State Users

DET prescribes cyber security training that is required for all state enterprise users including WEC staff. DET requires all state system users to complete a curriculum of interactive web-based tutorials that focus on common cyber security threats like password security, phishing and spear phishing scams, identity theft and more. Training completion is tracked in the Enterprise Learning Management system to ensure all employees have completed the training. All WEC staff are required to complete the cyber security curriculum through DET. This mandatory training has been a valuable tool for WEC staff to understand the general concepts surrounding internet and cyber security.

b. Available Training for Local Users Not on State Network

The interactive training tutorials available to state enterprise users, like the WEC staff, are not available for distribution to local election officials. DET subscribes to the web-based security service at a cost and the subscription is only available to employees within the State of Wisconsin enterprise.

While DET does not have a cyber security curriculum for the WEC to distribute to local election officials, the WEC will be creating its own web-based tutorials for municipal clerks that will be

available on the WisVote Learning Center website. More about the training plan for local election officials is outlined in Section D of this report. DET has offered its support in reviewing training materials produced by the WEC for local election officials as subject matter experts.

D. State Elections Level

In the State of Wisconsin, the Elections Commission is charged with the oversight and administration of elections for the State of Wisconsin. The WEC is required to provide elections administration training, materials, guidance and support to Wisconsin's 1,853 municipal clerks and 72 county clerks. This includes providing election security training, information and resources to Wisconsin's local elections partners.

1. *Development of Training*

As part of the training program for local elections officials, the WEC is creating an elections security training curriculum. Various resources in this program are currently under development and are being made available to local election officials in preparation for the 2018 election cycle.

a. Security Training Videos and Webinars

WEC staff is currently developing a series of webinars and videos for local election officials that focus on elections security. The goal of these webinars will be to bring all WisVote users up to a basic level of security knowledge. The first installment of this series, a broad introduction to security basics and resources, has been completed. In the coming months, staff will produce subsequent webinars that will provide more detailed information regarding specific security topics – email security, web security, etc. The goal of the WEC training initiative is to create a security campaign that resonates with election officials and the public. The WEC election training curriculum will focus on all levels of WisVote user and will include the following:

- Wisconsin Elections Commission Staff (WisVote and related applications)
- County Clerks (Voting equipment, WisVote as a provider, Canvass)
- Municipal Clerks (WisVote users, e-poll books, voting equipment)
- Development of Clerk Security Checklists (Is your IT secure? Polling Place?)

b. Security Checklists

Because many municipalities do not have access to IT resources, the WEC is also investigating options and feasibility for ensuring that all municipal clerks have access to IT best practices.

WEC training staff is currently developing a series of cyber security checklists for local election officials that they can use to analyze whether their hardware and practices are secure.

Checklists being developed include:

- Is your IT secure?
- Is your polling place secure?
- Security starts on your personal device!
- Minimum system requirements for devices used to access WisVote (operating system, browser, antivirus, etc.)
- Checklist for Ballot Security
- Election Day (polling place, voting equipment, etc.)
- After Election Day (canvass and voting equipment storage)

c. Other Training Resources

The WEC Training staff is also developing the following resources to train Wisconsin municipal clerks regarding election security:

- A survey of local election officials to establish a baseline and to better understand the election security challenges clerks face and the resources they may have available.
- A Continuity of Operations Plan (COOP) template for clerks to use to develop their own COOP for elections to ensure that the municipality is capable of conducting an election in the event of any potential threats and adverse conditions.
- Tip sheets on practices that can enhance security in elections.
- Lists of common security problems, vulnerabilities and troubleshooting.
- Updates of manuals and other guidance materials.
- Training agendas and supporting materials train election officials that can be counted towards required training hours.

2. WisVote

WisVote is the State of Wisconsin's complete election management system. WisVote is a complex web-based application used to manage all aspects of elections administration including registering candidates, setting up elections and ballot styles, determining ward and district boundaries, maintaining voter registration records, issuing absentee ballots, and much more. WisVote is owned and operated by the WEC and is used by municipal and county clerks around the state. Both the Federal Help American Vote Act (HAVA) and Wisconsin State Statutes require the WEC to maintain a statewide elections administration system and for municipal and county clerks to use the state prescribed system to administer elections. The

WisVote system was built in-house at the WEC which is unique as many states contract with vendors to build statewide elections systems. Building the system in-house gives the WEC complete control over customizing the system for Wisconsin law and implementing security measures that are compatible with the DET server security structure. The WisVote application was built using a highly customizable platform that includes many advanced security features.

While the WEC utilizes DET for server infrastructure and server security, the WEC is responsible for the security and maintenance of the WisVote application itself. The WEC sets permissions and policies for the WisVote system. The WEC also tests, maintains, enhances and patches the application. In addition to the WisVote system, WEC also develops and maintains related IT applications such as the MyVote Wisconsin website and voter portal, the Canvass Reporting System, the Wisconsin Elections Data Collection System (WEDCS), BadgerVoters, and more. The majority of the staff resources at the WEC are dedicated to the development, maintenance, training and security of WisVote and its related systems. Security of WisVote and the data contained within are the paramount responsibility of the WEC. To protect WisVote and other WEC technology, the WEC is responsible for the following:

a. User Permissions and Distribution of Client Access Licenses

WisVote is built on a licensed software platform. The platform requires that each user of the system have an individual Client Access License (CAL) to access the system. This means that a CAL is required for each municipal and county clerk and any staff in their office who use WisVote. The WEC has made the decision to purchase CALS on behalf of the users of WisVote. This gives the WEC control over who has access to the WisVote system. The WEC has purchased 3,000 CALs to ensure that each clerk and member of clerk staff can have their own unique login. There are enough CALs for clerks to bring in additional staff to help with WisVote tasks during high turnout elections. As the owner of the CALs, the WEC is responsible for granting access and assigning permissions to each WisVote users.

Each user of the WisVote system is assigned a unique user login by the WEC Helpdesk. The user is then assigned system permissions by the WEC to control the user's access. Users are given the minimum amount of access required to do their job. For example, some users, like temporary clerk staff are given read-only WisVote permissions so they cannot modify information. Other users like municipal clerks have permissions to enter voter information, modify existing information and perform administrative activities like setting up elections for their municipality. However, the municipal clerk's permissions are restricted to only their authorized municipality so that they are unable to see or modify records outside their jurisdictions. Some county level users have permissions for multiple municipalities if they provide WisVote services on behalf of those municipalities. Managing user permissions is an extremely important aspect of securing the WisVote system.

User credentials are also used to log each user's activity in the WisVote system. Logging user activity allows the WEC to monitor the entire system for unusual activity and to maintain a record of each change made to system data for security auditing. Monitoring activity also allows WEC and DET users to see where the WisVote activity is coming from. WisVote is only available to users whose IP addresses are within the United States. IP addresses outside of the U.S. are blocked from the WisVote system. IP addresses from outside of the state of Wisconsin are also limited and flagged.

b. System User Policy

Currently, all users of the WisVote system are required to sign user agreements before they are given access to the WisVote system. The WisVote user agreement is prescribed and enforced by the WEC. The agreement contains important information about requirements for securely maintaining voter data which contains confidential information. The WEC is currently in the process of revising the WisVote user agreement to include specific policy language regarding requirement for remote WisVote access, minimum hardware requirements, minimum software requirements, software restrictions, and the mandatory completion of WEC elections security training.

c. User Passwords

The WEC helpdesk manages passwords for all WisVote users. Once the WEC assigns a credentials to a user, the user then sets a unique password. The password is required to be of a certain length with complex characters before it is accepted. Users set their unique passwords through an online, encrypted portal. Only the user has access to the encrypted password. The WisVote system uses the same login and secure password structure that is used by DET for all state users.

i. Multi-factor authentication

Multi-Factor Authentication (MFA) is a password security measure in which the user of a system must enter his or her username, password, and then a separate piece of information to authenticate identity. WEC staff is working with DET to implement a MFA solution through the state IT enterprise. There are multi-factor authentication software options available that can be integrated into software applications like WisVote.

There are many considerations that need to be made before implementing an MFA process. One of the considerations is ease of use and feasibility for WisVote users. Many MFA programs rely on text and email to send users a randomized second factor. There are many municipal clerks who do not have access to email and text and who may not be familiar with the concept of receiving a randomized password. There is also the security of the second factor itself to

consider. Some MFA options that utilize texting have been found to be prone to hacking. Other considerations are WisVote compatibility and implementation. The MFA model that is chosen for WisVote will need to be programmed and tested in the WisVote system to ensure compatibility. The development time associated with adding MFA to WisVote will be significant and the MFA licensing cost could be as much as \$70/per user for a total of nearly \$210,000 per year.

Currently, WEC and DET are considering an MFA option that will give WisVote users choices for how they would like to receive the second factor. Clerks may be used to interacting with this MFA model through their bank's online portal where they are can choose to receive their factor by email, text or over the phone. There are other settings that can be utilized in some MFA models such as using the IP address of the user's computer as the second factor. This means if the user is accessing WisVote from the device associated with their account they will not be asked for a second factor. There are also other MFA options available such as fingerprint recognition, retina scans and smart cards. However, most clerks who use WisVote do not have hardware that supports these features.

The WEC will continue to work with DET to find the best option for WisVote MFA. The WEC hopes to incorporate MFA into the WisVote system in 2018. The WEC will also provide extensive trainers to WisVote users with the roll-out of the MFA process.

ii. Password Recovery Process

The WEC also has a password recovery process in place. A WisVote user who forgets his or her password contacts the WEC Helpdesk who will verify the user's identity and prompt the user to reset their password through a secure web portal. The user will not be able to access WisVote until he or she sets a new password that meets the minimum password complexity standards.

WisVote also contains an automatic password expiration process. User passwords expire at short intervals. Once users' WisVote passwords expires, they cannot access the WisVote system until they change their passwords using a secure web portal. The new password must be significantly different from previous passwords or it will not be accepted. An automatic password expiration process protects the system in case an unauthorized user gains access to a password because the unauthorized user would only have access for a limited time. WisVote users can also change their passwords at any time if they believe their password has been compromised.

The WEC is continuing to work with DET and other security partners to improve the password recovery process. As with any security measure, WEC will continue to implement new best practices as they become available.

d. Management of System Reports and Information

As the custodians of the Wisconsin statewide voter registration system and its data, the WEC has the responsibility of ensuring that voters' personally identifiable information is protected. Certain fields in each voter registration record are protected, such as date of birth, driver license number and partial social security number. Users of WisVote, such as clerks and their staff, access that information for business purposes such as entering voter registrations. The WEC has put additional restrictions on the database columns that contain personally identifiable information to prevent them from being included in system reports. This will help to prevent the accidental release of personally identifiable voter information that could happen if a report were generated, printed and then discarded.

e. Systems Testing

i. On-staff Certified Ethical Hacker

The Wisconsin DET has cybersecurity staff, including ethical hackers who can help agencies identify vulnerabilities in their system. While the WEC will work with DET cyber security staff to complete testing and vulnerability assessments, WEC has also made the decision to develop this expertise in-house with a staff member who is intimately familiar with the agency's custom IT solutions. To this end, a WEC staff member is working towards the Ethical Hacker certification to continue to complete penetration testing on agency systems and to focus on making security recommendations to improve Wisconsin's election systems security.

ii. CompTIA Security Certified Staff

The U.S. Department of Defense (DOD) requires all staff working in technical and managerial positions on systems with confidential or classified information to have certifications in how to prevent unauthorized access to information. The Elections Commission is considering adopting these standards for our technical staff.

The DOD defines three broad categories that directly correspond to categories of Commission staff:

- Information Assurance Technician (IAT). This is an information services position that may make changes to configurations or updates to software. This corresponds well to the Commission's WisVote Elections Specialist positions. DOD requires IATs to have one of CompTIA's Security+, ISC²'s Systems Security Certified Practitioner (SSCP), CompTIA's Advanced Security Practitioner (CASP) or Certified Information Systems Security Professional (CISSP). Some of these are considered to be very advanced certifications and would require years of training or experience for staff to achieve, but the WEC is

exploring requiring or encouraging staff to get either the Security+ or SSCP certifications.

- Information Assurance Manager (IAM). This is a managerial position that oversees IATs. This may be appropriate for the Commission's Assistant Administrator. The Security+ and CISSP would be appropriate certifications for this level as well, but Certified Information Security Manager (CISM) is probably a better fit.
- Information Assurance System Architect Engineer. This is a software engineer position that develops and maintains systems that process or contain confidential information. This corresponds to the Commission's developer contract positions. The most appropriate certification here would be the ISC²'s Certified Secure Software Lifecycle Professional.

The DOD also defines several smaller categories as classes of Cybersecurity Service Provider (CSSP). These do not directly correspond to any position currently used by the Commission, but there is significant overlap between the required training for these CSSP classifications and the classifications detailed above. Training for all of these federally recommended certifications is available to staff through FedVTE, discussed elsewhere in this document.

f. MyVote

The WEC's MyVote Wisconsin website is an extension of the statewide voter registration system. MyVote allows voters to register to vote online, find their polling place, view a sample ballot and more. The MyVote website is protected by the same DET server security structure as the WisVote system. Because MyVote is a publicly available site, there are some modified security measures in place as well as additional testing for the public facing portal.

Regular penetration testing is performed on the MyVote site to replicate hacking scenarios and try to identify vulnerabilities. The site regularly passes penetration testing by state testers and scores very highly on DHS scans. In addition, the WEC has placed many throttling measures on the website to stop extraneous activity. Throttling measures slow down malicious actors and "bot" activity by fractions of a second, enough to stop attack but not enough to slow services of legitimate users. There are additional checks and stops in place to prevent multiple transactions from being completed by the same IP address or using the same voter information. Also, while MyVote facilitates services like absentee ballot requests, the requests are ultimately emailed and processed by the municipal clerk. This human driven end process ensures that there are checks and balances in the process and that only eligible voters receive a ballot.

3. Servers

a. Patching (In-house schedule vs. DET)

In addition to the patching services provided through DET, WEC also conducts patching on agency systems. These are additional patches to the ones that DET deploys that are specific to elections applications. Maintaining some patching responsibilities affords the WEC additional control over when a patch is implemented and allows the agency to minimize any potential impact on our systems. Using this method, the WEC can implement an emergency patch on a testing server and then analyze its impact before rolling it out to the live WisVote system. The goal is to ensure that the elections systems are kept as up-to-date as possible with the best information and fixes but to also implement these fixes in a responsible way that does not impact clerks or voters who are using our system. Outages can undermine clerk's confidence in the WisVote system and voter's confidence in the election process so it is very important to be strategic about testing and deployment.

b. Encryption of Data at Rest and in Motion

The WEC is implementing protocols to encrypt the data on agency applications. All elections data stored in application databases is encrypted through DET's server hosting. Additional encryption measures are being deployed to provide another layer of protection, including encryption of confidential data on WEC in-house applications before being stored in the database server at DET. WEC and DET are also exploring additional opportunities to encrypt data as it is "in-motion" or as it is moving between applications. Encryption is an important aspect of election security. However, encryption can have negative performance impacts that may present a challenge for clerks and voters using WEC systems. WEC staff is working closely with the in-house development team and DET to find the correct balance for Wisconsin elections administration.

c. Nightly Comparisons of Database Changes

To monitor activity in the statewide voter registration database, WisVote, the WEC is continuing to build on its process for logging all system events and analyzing the logs for unusual activity. WEC staff is then able to compare data each day to the backup data from the day prior to identify changes made within the system. Once a list of changes is identified, the log data can then be analyzed to flag unusual activity. System activity will be flagged as unusual if it deviates from the baseline system activity in a meaningful way. For example, if 1,000 voter registrations are submitted in a town of 800 voters, the system and WEC staff would flag this activity as unusual and contact the appropriate DET, federal and local contacts to investigate

the activity. There are also software tools available to help analyze system log data that the WEC is exploring in conjunction with DET.

4. Voting Equipment

a. State Testing and Certification

On the federal level, the U.S. Election Assistance Commission (EAC) provides testing and certification of electronic voting systems. Each system approved for use is reviewed by an independent testing authority to ensure that the functionality, security and accuracy meets federal standards. The Wisconsin Elections Commission conducts an additional testing and certification process designed to assess whether a system is compatible with Wisconsin election law. Each system is tested to confirm that it is able to be programmed to accommodate election configurations unique to Wisconsin. State law requires that three different election types are tested and a set of marked ballots is processed on the equipment to ensure accurate tabulation. In addition, state certification requires isolating voting system components from internet connectivity to prevent remote access to the system.

b. Audits

Wisconsin Statutes require a post-election audit of the performance of each voting system used in the State of Wisconsin. The audit is designed to assess how electronic voting systems performed on Election Day through a hand-count of electronically tallied ballots. The audit is required following each General Election.

At least 100 reporting units are selected at random after each General Election to be audited. A representative sample of reporting units that use each type of voting equipment are included in the selection process. The highest office on the ballot is included in the audited contests and three other statewide contests are drawn by lot.

During this process, two elections workers conduct an independent hand count of paper ballots and tally the results of the contests being recounted. The individual tallies are compared to each other and any discrepancies are resolved before an agreed upon final hand-count tally total is determined. If the hand counts differ from each other, the paper records/ballots must be recounted. The final hand-count tally total is then compared to the Election Night results tally tape and discrepancies are noted.

The audit is considered a public meeting and proper notice shall be posted or published at least 48 hours in advance. Each audit is required to be completed two weeks following the

certification of the election by the WEC and a report on the outcome is prepared by Commission staff. Audit materials are submitted to the WEC for review and Commission staff may request that a vendor investigate and provide explanation for any unexplained differences between the voting equipment tally and the paper record tally.

Based upon the results of the audit, the WEC may, at its sole discretion, choose to re-test the voting system per WEC Chapter 7 of the Wisconsin Administrative Code. The test is a condition of continuing approval of the voting system and is designed to ensure that voting systems approved for use in Wisconsin continue to adhere to the terms of their state certification.

5. Election Night Reporting/Canvass

a. System Security and Training

The WEC does not report Election Night results, the statutory responsibility for reporting Election Night results rests with the county and municipal clerks. Wis. Stats. §§7.51(4)(c) and 7.60(1). The WEC staff provide technical and business process support for clerks reporting Election Night results.

Sixteen of the 72 counties use the WEC Canvass Reporting System to collect vote totals from the municipalities and to generate the reports used for Election Night results. The Canvass Reporting System is a web-based application maintained by the WEC where clerks enter results for each voting precinct (reporting unit). WEC staff provide IT support for the counties using the WEC Canvass Reporting System to report Election Night results. Staff ensure this system is available and functioning throughout Election Night and often into the early hours the day after Election Day. The remaining counties use local IT or vendor purchased system to produce Election Night result reports.

After certification by county boards of canvassers, counties use the Canvass Reporting System is used primarily to transmit official canvass results for federal and state contests to the WEC. When canvassing federal and state offices, the WEC Canvass Reporting System must be used to transmit the official results data electronically to the WEC. County clerks manually enter results for federal and state contest into the Canvass System or upload a results file from a vendor purchased election management software (EMS). The County Board of Canvassers carefully reviews the election returns and prepares the official canvass statement that contains the Tabular Statement of Votes Cast, the Summary Statement and the Certification. All three sections are produced from the WEC Canvass Reporting System.

An original signed Summary Statement and Certification of the Board of Canvassers is printed from the WEC Canvass Reporting System, signed by the Board of Canvassers, scanned, emailed

and mailed to the WEC. The Summary Statement and Certification cannot be printed from the WEC Canvass Reporting System until the county clerk electronically submits the official results, once electronically verified the WEC Canvass Reporting System locks the data from being edited. WEC staff verifies that the signed Certification matches the verified results in the WEC Canvass Reporting System. WEC staff compare the Certification time stamp and result information with the system log to validate that the printed results have not been altered after the results were officially verified. Only WEC staff can reject or unlock the electronically verified county results. If a mistake is identified after verification, WEC electronically rejects the results and the county must electronically verify the corrected results and print and sign a new Summary Statement and Certification to deliver to the WEC.

After each county board of canvassers delivers its official results, the WEC uses the Canvass Reporting System produce the official results reports which are used for certification and posted to the WEC website.

6. Legal Infrastructure

Contingency planning and emergency responses may be necessary either because of activity specifically intended to disrupt voting and elections systems or, more likely, because of an unrelated situation or condition which incidentally impacts voting or the public on a local or regional level. As part of the agency's election security planning, WEC management and Staff Counsel have reviewed the legal framework for invoking and exercising emergency government powers.

Wisconsin's elections agency has occasionally assisted local election officials during various emergency situations affecting an election, such as inclement weather, a bomb scare or traffic accident affecting access to a polling place. On Election Day, when a polling place has been closed for an extended period of time due to an unexpected incident or emergency, agency staff has assisted municipalities which have sought a court order to extend polling hours. To address such situations, the WEC maintains sample court filings so that documents can be prepared quickly if necessary on Election Day.

The WEC has also focused on training and coordination with agencies observing and responding to events that occur on election day at the polls, including discussion of the legal authority for intervening and responding to various scenarios. In conjunction with the Wisconsin Department of Justice and the Milwaukee County District Attorney's Office, agency staff has consistently conducted webinars for law enforcement agencies and prosecutors that have personnel in the field across the state on Election Day.

Prior to the 2016 General Election, the WEC coordinated a preparedness meeting with representatives from key federal and state offices to ensure cooperation and coordination of response to potential incidents affecting elections or voting. Representatives from the Federal

Bureau of Investigation, U.S. Department of Justice, Wisconsin Department of Justice, Wisconsin Emergency Management, Wisconsin Department of Administration, Division of Enterprise Technology, and Milwaukee County and Dane County District Attorney's offices along with the WEC, participated in meetings to discuss the roles that each office could provide and to work through hypothetical scenarios and the proper approach to a coordinated response consistent with federal and state laws.

The WEC intends to continue its partnership with federal and state offices to conduct training and provide information on best practices for responding to potential incidents leading up to and on Election Day. Agency staff will also continue to prepare plans and documentation related to the legal aspects of incident response with these offices, and more detailed information will be provided to the Commission within the second section of this Election Security Plan.

a. Statutory References

Wis. Stat. §§ 323.01 (1) and 323.10 provide the Governor the legal authority to declare a state of emergency to respond to events that have already occurred, or to respond to imminent threat of a disaster. In addition to the state's response through the Governor's office, Wis. Stat. §§ 323.14 and 323.15 spread the responsibility of responding to and planning for potential emergencies to counties, cities, village and towns across the state. An emergency declaration establishes specific temporary duties and powers to the Governor, state agencies and local officials, which will be further outlined in the Response section of this Plan.

The WEC is working with Wisconsin Emergency Management to develop a template for an emergency order that could be issued related to election infrastructure or processes. Agency staff has also communicated the importance of incident response planning to local election officials and encouraged them to consult with local and regional law enforcement and emergency management personnel.

b. Implementing Legislative Changes

During the process of its election security planning, WEC staff is assessing whether any existing statutes need to be amended to accommodate risk prevention and incident response. If necessary, staff will work with the Legislature, Wisconsin Emergency Management and the Governor's Office to develop legislation to enhance election security and response capability.

The WEC's current legislative agenda requests that the Legislature amend Wis. Stat. § 6.96 to allow state courts to issue orders to allow individuals to vote after the normal polling hours pursuant to an order. The statute currently specifies that a federal court may issue an order to extend polling hours. In such situations municipalities have filed petitions with state circuit

courts which have exercised their inherent authority and agreed to limited extensions, especially when no party objects to the request.

c. Secret Clearance for Chief Election Officials

DHS is working with chief election officials in each state to grant security clearances to facilitate information sharing regarding the source of cybersecurity threats or other relevant intelligence information. The WEC Administrator has submitted an extensive questionnaire and application which typically takes several months to process. DHS has indicated that it may be willing to facilitate security clearances for an additional staff member within each state after processing the applications for the state chief election officials.

d. County Level

Wisconsin elections administration is decentralized. Each town, village and city has an elected or appointed clerk who oversees elections for the municipality. However, Wisconsin's 72 County clerks also play a vital role in the administration of elections and have unique elections responsibilities outlined in state statutes. County clerks are an important partner in elections security as they are often the conduit for information from the WEC to Wisconsin's 1,853 municipal clerks. Wisconsin's 72 county clerks have the following roles and responsibilities in securing Wisconsin elections:

1. WisVote

a. Hardware & Software Requirements

Like state users and municipal clerks, counties should maintain minimum hardware and software requirements on devices used to access WisVote and elections information. While most counties have IT support available, the WEC will provide counties with the same training and resources that are made available to municipalities. County clerks will be able to use WEC checklists and training to analyze county technology and then work with their IT team to upgrade hardware and software to ensure it meets security standards.

b. Staff Security Measures

The WEC will also provide counties with elections security training using the same process and curriculum outlined below for municipal clerks. It is the county clerk's responsibility to ensure that the elections staff in their office is operating securely. Some counties may wish to implement their own security training for county and municipal staff.

c. WisVote Provider/Relier Relationship

Some counties provide election administration support to municipal clerks by entering voter data into the WisVote system on behalf the municipality. Municipalities who do not have the resources to enter information into WisVote themselves contract with the county clerk for those services. In these instances, the municipality tracks election related information, such as absentee ballots and voter registration data, using a paper log. The log is then transmitted to the county clerk, who enters the information into WisVote. In these situations, the county is responsible for executing an agreement with the municipality that includes the secure transmission of elections materials between the municipal and the county.

When a county is granted access to WisVote on the behalf of a municipality, the county clerk becomes the custodian of municipal voter information and the county becomes responsible for the security of municipal election information. Because WisVote responsibilities can sometimes be shared between municipal and county offices, the WEC will provide security training and resources to election staff at both levels.

2. Voting Equipment

a. Programing of Voting Equipment

County staff or voting equipment vendors are responsible for programming voting equipment so that ballots are accurately created and tallied for each election. All voting equipment memory devices should be programmed using a computer that is not connected to the internet. They should also be assigned a unique serial number and stored in a secure location between elections. Chain of custody documentation should be maintained for the transfer of memory devices to and from the programming entity (county or programming vendor) to the municipality. The WEC is developing the administrative rule that details chain of custody procedures for voting equipment memory devices and will continue the process for approval of the rule until it is adopted.

b. Storage of Equipment Between Election

All voting equipment should be stored in a secure location between elections. Access to the storage location should be restricted to prevent unauthorized access to the equipment. A list of people who have access to the equipment should be kept to ensure that access to the storage area can be monitored. In addition, any computer where election management software is located should not be connected to the internet between elections. These devices should only be used to operate the electing management software and all other non-essential

applications and program should be removed from the device.

3. Election Night Reporting/Canvass

a. Posting Unofficial Results and Entering Results into Canvass System

Counties are required to post “unofficial” results on Election Night. Wis. Stats. §§7.51(4)(c) and 7.60(1). The unofficial Election Night returns must be posted by county clerks two hours after receiving them from the municipalities. The results must be reported by ward or reporting unit and must include results from all contests including municipal contests, school district contests and contest for special districts such as sanitary districts.

Counties receive unofficial results from the municipality or ward inspectors by a variety of methods. Unofficial results may be transmitted by modem, fax, email, hand delivery or by telephone. The county may use election night reporting software purchased from a vendor to post reports on the Internet. Many utilize systems created by their county IT staff for Election Night Results reporting. The WEC is responsible for posting a link on its website to each county’s election night results. The key to successful Election Night reporting is to establish internal office procedures for Election Night reporting well in advance and have adequate staff available on election night for receiving, entering and proofing Election Night results.

The outcome of the election is not official until the completion of the canvass. The canvass is the compilation of election returns and validation of the outcome that forms the basis of the official results. The county clerk and two qualified electors of the county appointed by the clerk constitute the county board of canvassers. The purpose of the county board of canvassers is to certify the results of elections and make the official determination of election or primary winners within county reporting units for county, state and federal contests. The county board of canvassers files one complete certified canvass statement in the office of the county clerk or board of election commissioners. When canvassing federal and state offices, the WEC Canvass Reporting System must be used to transmit the official certified results data electronically to the WEC.

County clerks then manually enter and certify their results for federal and state contests into the WEC’s Canvass System or upload a results file from a vendor-purchased election management software (EMS). An original signed Summary Statement and Certification of the Board of Canvassers is printed from the WEC Canvass Reporting System, signed by the board of canvassers, scanned, emailed and mailed to the WEC. It is the county clerk’s responsibility to ensure that official election totals are certified and entered into the WEC’s canvass reporting system. While errors made in the canvass reporting system can be corrected by WEC staff,

publicly reported errors in the certification and reporting can undermine the public confidence in the elections process and all precautions should be made by the county to avoid them.

Municipal Level

The structure of elections administration is unique in Wisconsin compared to other states. In Wisconsin, elections are administered at the municipal level, meaning that each town, village, and city administers elections, whereas most other states administer elections at the county level. In Wisconsin, there are 1,853 municipal clerks who conduct elections. Most other states have between 50-100 county clerks who conduct elections. This unique structure can be both a benefit and a challenge. It is a benefit because municipal clerks have a close, local relationship to their voters and their needs. It can be a challenge to ensure that each municipality has the training and resources to conduct elections in a consistent and secure manner. The following sections outline the roles and responsibilities of municipal clerks in elections security.

1. *WisVote*

a. Hardware & Software Requirements

Many town and village clerk offices in Wisconsin do not have in-house IT services or support. Some towns in Wisconsin do not have internet connections available for clerk staff. Other Wisconsin municipalities do not provide an official office computer to the clerk staff. Some clerks are therefore required to access official clerk business using a home computer, a computer in a neighboring community, or a public computer at a library or school. The WEC recognizes these challenges faced by municipalities and it attempts to bridge the gap by providing IT resources and best practices.

While municipalities may face challenges in obtaining the necessary IT support, they still have a responsibility to ensure that they are accessing elections systems and information in a secure manner. The WEC is in the process of issuing guidance for municipalities regarding minimum hardware and software requirements for accessing the WisVote systems. Municipal clerks can then use this guidance to petition their governing bodies to budget for and provide the necessary software and hardware. Outdated, unsupported or un-patched hardware and software is a vulnerability to the elections system as a whole. It is municipal clerks' responsibility to ensure that they are accessing elections systems and data using secure channels.

The WEC is in the process of developing checklists for municipal clerks to use to determine if they meet minimum hardware recommendations. The checklist will also give recommendations for purchasing new hardware to ensure a secure system. In addition to hardware requirements, the checklist will include items to analyze the operating system of the device to ensure it is patched and supported. In addition, the WEC is in the process of creating user policies for the WisVote system that include minimum hardware requirements and operating system. Before a WisVote user is given credentials to the system, the user would need to commit to maintaining secure hardware and operating systems on the device used to access WisVote.

b. Staff Security Measures

Often municipal offices have multiple staff members who work in elections and within the WisVote system. The WEC has purchased licenses for the WisVote system to account for not only the municipal clerks themselves but for additional staff in each clerk office. Therefore, clerks and clerk staff should never share passwords to access elections systems, including WisVote. If a new staff member needs access to the WisVote system, the clerk should call or email the WEC helpdesk to obtain credentials for the new staff person. If a staff member leaves the clerk's office or no longer needs access to the WisVote system, the clerk should contact the WEC helpdesk immediately to notify it of the change.

It is the clerk's responsibility to ensure that their WisVote access credentials are protected and secure and that only necessary staff have access to the system. Login credentials are not only used to maintain secure access for each user, but they are also used to track the WisVote activities of each user. WisVote maintains logs of user activity so that activity can be audited and analyzed to ensure security.

c. Managing and Entering Voter Information for Municipality

Municipal clerks are also responsible for entering and maintaining records for their voters into the statewide voter registration database, WisVote. The municipal clerk is the custodian for voter information. The clerks maintain their voter records using both the WisVote system and through the maintenance of paper records. Some municipal clerks do not use the WisVote system, and rely on the county or a neighboring community to enter their voter information into the WisVote system on their behalf.

It is the municipal clerk's responsibility to securely maintain voter records in the system, to secure and maintain paper documents regarding voter information, and potentially to transmit voter information securely to their WisVote provider. The WEC provides training and guidance to municipal clerks on each of these responsibilities and it is the clerk's responsibility to

complete this training and to maintain voter records in a secure and confidential manner and in accordance with state law and WEC guidance.

2. *Electronic Poll Books*

a. Hardware & Software Requirements

E-poll book hardware will be dedicated hardware that should only be used as an e-poll book device. E-poll book hardware should be stored securely, similar to other voting equipment. Should the hardware fail on Election Day, each polling location using e-poll books must be ready to switch to pre-determined contingency plan.

E-poll book hardware will have required lockable ports and another factor like a thumb print or smart card to access the device. Clerks and election inspectors will be required to enter a password and an additional factor to access the e-poll book software.

b. Staff Security Measures

WEC staff has made several decisions regarding the e-poll book system being developed with the goal of reducing opportunities for interference or access to voter data by unauthorized actors. Only the necessary voter data required to check in an elector will be included on the data load into the poll book device. This information will not include confidential data such as birth dates for voters who were already registered before Election Day. The e-poll book software and devices will also be kept offline. Polling places where multiple e-poll books are used may need a local network so that the e-poll books can share data, but they will not be connected to the internet.

Staff will run penetration testing sessions against the program and equipment to ensure that measures designed to defend against a hack operate effectively.

3. *Voting Equipment*

a. Initial Logic and Accuracy Testing of Voting Equipment Programming

All municipalities are encouraged to conduct logic and accuracy testing of their voting equipment programming after programming of the memory devices is completed. This testing is designed to confirm the accuracy of the programming and ensure the equipment is correctly reading ballots and tabulating votes. This testing is conducted before the public test of voting equipment, so that any programming errors can be remedied before Election Day.

b. Public Test of Voting Equipment

All municipalities are required to conduct a public test of their voting equipment before each election. This event is considered a public meeting and must be noticed at least 48 hours prior. The public test must take place no earlier than 10 days prior to Election Day and the public is invited to attend and observe the testing process.

Programming and functionality are verified by feeding a set of pre-marked ballots, or test deck, into the machine and reviewing the results tape that is generated at the end of this process. The test deck should include ballots with votes for all candidates and contests on the ballot. It is recommended that the test deck used for the public test differ from the test deck used by the programmer so that any errors in programming do not remain undetected. Vote totals for each candidate in a contest should differ so that votes transposed between candidates in a contest can be detected.

The public test ensures that paper ballots can be read by the optical scan voting equipment, all ballot contests are tabulating properly, voters are not allowed to exceed the maximum number of choices per contest, write-in votes are properly identified, and touchscreen voting equipment is programmed to capture voter intent. An errorless count is required after the process and any anomalies identified in this testing must be remedied before the equipment can be approved for use in the election, according to Wis. Stats. This process also adds transparency to the election process by allowing any member of the public to observe the operation and accuracy of the voting equipment prior to each election. Such transparency serves as an additional component of election security and factor in promoting public confidence in voting equipment and election results.

G. Poll Workers and Other Local Users

Wisconsin law refers to poll workers as election inspectors. Election inspector responsibilities regarding election security occur mostly on Election Day itself. Inspectors are responsible for conducting elections at the polls on Election Day. This includes processing and securing voter registrations, ensuring only eligible voters receive a ballot, ensuring the process to receive a ballot is followed (photo ID, poll books, issuing voter numbers), ensuring each voter is at the correct polling place and receives the correct ballot, troubleshooting polling place issues, setting up and maintaining voting equipment, tallying ballots, and much more.

Election inspectors may work as little as two times every two years, or as often as four times each year. Regardless of how often they serve, inspectors need to maintain the same amount of training and knowledge. Each polling place is required to have a chief election inspector who is ultimately in charge of administering elections at that polling place. If an incident occurs at

the polls that requires law enforcement, the chief inspector is required to work with law enforcement to remedy the situation.

1. Voting Equipment

Following the public test, the voting equipment and all associated memory devices are required to be secured. A chain-of-custody log is required to be maintained that documents any access to or transfer of each memory device. These procedures are intended to protect against malicious breaches to electronic voting equipment components as well as provide transparency regarding authorized access.

The memory device should remain in the machine and a tamper-evident seal should be used to secure the compartment that houses the memory device. Each tamper-evident seal should contain a unique serial number and that number should be recorded on the Inspectors' Statement along with other voting equipment security-related information. Verification of the serial numbers should take place before the polls open in the morning and after the close of polls. It is also recommended that election workers verify this information at several other points on Election Day.

The purpose of these procedures is to ensure that the integrity of the memory device is not compromised after the conclusion of the public test up until votes are tabulated after the close of polls. All instances of access to the memory device must be documented on the Inspectors' Statement and each memory device should remain secured after the election.

Voting equipment is not connected to the internet and any modeming capability is disabled until the polls close and the machine is in a post-election setting.

2. E-Poll Books

As the WEC continues to build its electronic poll book in-house for use by municipalities across the state, the software program and training will be developed with the knowledge that the main users of the e-poll book system will be election inspectors. They will be responsible for using e-poll books in a way that maintains security standards on Election Day. While the WEC will develop the software and work with the municipal clerk to configure the hardware, election inspectors will be operating the e-poll book. Login credentials will need to be maintained and safeguarded by those users.

The WEC is incorporating credential security into the e-poll book login process. Inspectors will need to enter a unique user name and password in addition to a second authentication factor, such as a thumb print, to ensure that only the authorized user has access to the e-poll book.

The e-poll book will also utilize the login credentials and permissions to log activity by each user so that it can be audited post-election.

3. Polling Place Incidents and Disaster Response

Poll workers, namely the chief election inspector of each polling place, oversee the security of the polling place and for knowing the disaster recovery process for their polling place. Poll workers must receive training on polling place security, disaster response, and contingency planning. Poll workers are responsible for contacting the appropriate authorities should there be an incident or disaster that impacts their polling place.

H. Public Level

Voters, voter advocacy groups and the media also play an important role in elections security. It is important for voters to understand the process and know what to expect when voting in Wisconsin. Therefore, it is the WEC's responsibility to partner with municipal clerks, voter advocacy groups and the media to provide information to the public on elections security.

1. Voter Education and Preparation

The WEC is formulating a voter outreach and media plan for elections security. It is important that voters know where to find official information on the elections process and elections security. Informed voters can identify suspicious or unlawful elections activity and notify the proper authorities. Misinformed or uninformed voters are unable to recognize or report legitimate election security concerns. The WEC often partners with community groups and the media to distribute information to the public. The WEC will continue to work with these partners to develop an effective messaging campaign about elections security. The WEC will also continue to create consistent message branding and verification methods so that voters know the information is from a trusted source.

While maintaining transparency in the elections security process is a top priority, that priority must also be balanced carefully with the need to secure elections and not create vulnerabilities. The WEC will develop a communication strategy that keeps the public informed about elections while continuing to protect information that could be exploited by malicious actors. The WEC partners with DET and DHS before releasing elections security information to the public. WEC asks DET and DHS to review such communications prior to release to ensure that sensitive or classified information is not disclosed.

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ADMINISTRATOR MICHAEL HAAS

DATE: For the November 20, 2017 Commission Meeting

TO: Members, Wisconsin Elections Commission

FROM: Michael Haas
Administrator

SUBJECT: Agency Staffing Plans

At its meeting of September 26, 2017, the Elections Commission discussed the final 2017 – 2019 state budget, which reduced agency staff from 31.75 full time equivalent (FTE) positions to 25.75 FTE positions. The Commission also authorized the attached letter (Exhibit A) to legislative leaders reiterating the agency’s need for staffing at the 31.75 FTE level. Given the outcome of the budget process and in light of the Governor’s line item veto message encouraging the Commission to make greater use of temporary staff and contracted services, Commissioners also requested that staff prepare a comprehensive approach to address the agency’s staffing needs.

This memorandum summarizes agency management’s conclusions regarding the impact of the staff reduction on WEC operations, and recommends that the Commission request authorization to add 3.0 FTE positions as part of stand-alone legislation. Management also recommends incorporating the use of limited term employees and temporary staff when feasible to attempt to ensure the agency can meet its responsibilities and implement program initiatives as successfully as possible under the circumstances.

Staffing Level and Impact of Reduction in Position Authority

In the 2015 – 2017 biennial budget for the Government Accountability Board, the State’s election staff was reduced from 35.75 to 31.75 FTE positions. In the 2017 – 2019 biennial budget, position authority for the Wisconsin Elections Commission (WEC) was further reduced to 25.75 FTE positions. Together, this represents a 28 percent reduction in state-level elections administration staff over two budget cycles, despite the fact that both the Legislature and ongoing events have continually increased the agency’s portfolio of duties to ensure the accuracy and integrity of Wisconsin elections.

WEC management has reviewed the structure of the agency to determine which positions to eliminate given the reduction of 6.0 FTE positions resulting from the 2017 – 2019 budget. Attached as Exhibit B is the previous organizational chart. The position titles which are struck represent the positions that agency management decided to eliminate, all of which were currently vacant. The eliminated positions include three Elections Administration Specialists, one WisVote Elections Specialist, one Office Operations Associate, and one Legal Assistant position. Attached as Exhibit C is the current agency organizational chart resulting from the elimination of the 6.0 positions.

Assessing the impact of the staff reduction must start with an understanding of the uniqueness of Wisconsin's decentralized election administration structure and the challenges it creates. Most states conduct elections at the county level. County clerks have important roles in Wisconsin elections, but the state's 1,853 municipal clerks directly conduct the voter registration and voting process. The WEC is responsible for training and supporting both county and municipal clerks, as well as school district clerks. The WEC is also responsible for developing resources for clerks to train their election inspectors who work at the polls.

Approximately two-thirds of Wisconsin municipal clerks work part-time, and many have other full-time jobs and are limited by their governing bodies in the number of hours they may work on all of their clerk duties. Hundreds of municipal clerk positions turn over every year. Also, many clerks in smaller municipalities do not have the in-house IT expertise or support that is essential to working securely in WisVote, the statewide voter registration system. Even when there are not significant legislative changes, WEC staff must ensure that each new municipal clerk has the training and guidance necessary to conduct elections as efficiently, accurately and securely as an experienced clerk with a full complement of election and IT staff. The decentralized structure also requires WEC staff to provide training and support to clerk staff working in WisVote, and to manage the system access of nearly 3,000 WisVote users.

The elimination of the 6.0 FTE positions, particularly the 4.0 Elections Specialists positions (including both Election Administration and WisVote Specialists), will have specific and cumulative impacts on the work of the agency. The Elections Administration team has been reduced by 38 percent, from 8.0 positions to 5.0 positions. That team must maintain a comprehensive and current knowledge of federal and state election laws and procedures to complete state-level tasks and to provide training and support to local clerks. Its duties include a range of both meticulous and far-reaching tasks such as:

- reviewing nomination papers
- providing review and feedback regarding ballot designs for county clerks and ballot printers
- creating and updating training resources and presenting information in training webinars and in-person presentations, and
- answering questions from candidates, local clerks and voters related to complex issues such as residency qualifications, voter registration, absentee voting, recall petitions, and conducting recounts.

The Elections Administration team also requires specialized expertise for tasks such as:

- voting equipment testing and auditing
- accessibility auditing of polling places
- assisting absentee voters, including military and overseas voters and those resident in adult-care facilities, and
- educating voters regarding processes such as the Photo ID requirement and use of the MyVote Wisconsin website.

The result of the reduction in the staffing level for the Elections Administration team means the elimination of positions that focus specifically on voting equipment testing and voter services. Previously, the agency was able to assign staff to these areas with the majority of their responsibilities

focused on those program areas. The voting equipment specialist is traditionally responsible for overseeing the testing and certification of voting systems while also providing guidance on the voting system security to county municipal election officials. He or she also oversees the post election audit process and monitor updates to previously approved voting systems in Wisconsin to ensure continued compliance with certification standards. The voters services specialist main responsibility was delivering clear, concise and comprehensive information about the voting process to the public. She developed and maintained the agency's voter information website, MyVote Wisconsin, which displays information such as polling place locations and sample ballots while also serving as the online voter registration portal and the online ballot delivery system for military and overseas voters.

The agency has also eliminated a 1.0 FTE WisVote Specialist position from the WisVote team, which is already overburdened with projects that are critical to election administration in Wisconsin. This team guided the rebuilding of the aging Statewide Voter Registration System to the new WisVote system, which was launched in 2016 after two years of in-house development by the agency's team of IT developers. Agency staff continues to maintain and upgrade the WisVote system and its many functions and related applications. WisVote is the backbone of election administration in Wisconsin as it tracks all voter registration and voter participation data; it produces poll lists for each municipality; it facilitates numerous tasks such as ballot creation, reporting unit set-up, required mailings to voters, and detection of potential improper voting activity; and it serves as the source of data for the MyVote Wisconsin and BADGER Voters websites.

WisVote staff members also create, manage and train local election officials to use other IT applications and have a very aggressive IT development task list and timeline for the remainder of the year and into 2018. Priority projects include the development of an electronic poll book system, development of an improved Canvass Reporting System, the launch of a new BADGER Voters website, the integration of the Wisconsin Electronic Data Collection System into the WisVote system, the migration of other IT functions such as the voter felon audit process into WisVote, and other updates and upgrades to WisVote and MyVote Wisconsin.

As outlined in previous correspondence to the Legislature and Governor, the WEC's statutory responsibilities have not diminished – and in fact continue to expand due to legislative directives, voting trends and current events. The best example of new responsibilities and priorities is the comprehensive election security planning, which is a significant expansion of previous efforts in this area due to the risks related to interference by foreign government actors or other parties. The agency has taken on the mission of evaluating and implementing best practices with regard to the security of Wisconsin's election systems and infrastructure, including the voter registration system, voting equipment, voting locations and results reporting. Every member of the WEC staff is involved in the effort to incorporate election security practices and information into agency tasks as well as the training and tools provided to local election officials. The necessary and expanded attention to election security matters diverts already limited staff and resources from other core functions of the agency.

As with other state agencies, WEC staff is also responsible for numerous tasks in addition to its core mission of ensuring that each election is conducted properly and consistently throughout the state. These additional tasks include responding to public records requests, fulfilling litigation discovery requests and participating in depositions and trial hearings, properly complying with records retention policies, drafting and implementing administrative rules, collecting voter and election data from

municipal clerks after each election, compiling and submitting reports to the federal government as well as to the Legislature annually, assisting in the development of legislative proposals and responding to requests from the Legislature and clerks regarding proposed legislation.

In the months leading up to major elections, the activities of WEC staff become more focused on immediate assistance to local election officials, candidates, political organizations and voters. Contacts with clerks, voters, candidates and the public increase, and there is more public attention on both the agency and the work of local clerks. The pre- and post-election weeks are not necessarily more busy than other periods in the election cycle; they only differ in the kind of work that occupies staff and the public focus that accompanies it.

Assessing the impact of the staff reduction involves a final point regarding the work of the agency, which is that most of the Commission's projects and services rely on a team approach and collaborative problem solving. Projects are scheduled, designed, created, tested, implemented and supported with the collective skills and brainpower of formal and informal teams working across disciplines. Successful development and implementation requires an in-depth knowledge of relevant legal requirements and the practical challenges inherent in Wisconsin's decentralized system, as well as coordination with an effective training and communication plan.

Over time WEC staff has developed a successful model for such projects, which can be sustained only with a critical mass of talented and experienced election professionals who are consistently able to lend various perspectives and skills to whatever challenges arise. To illustrate the importance of this team approach as well as the number of significant projects Commission staff typically juggles, attached as Exhibit D is a working list of projects which have required staff's concerted efforts during 2017. Other documents such as the agency's annual list of accomplishments and the staff updates provided at Commission meetings also illustrate the ongoing responsibilities of the agency and the day-to-day work of WEC staff, which currently consists of less than 20 program positions.

After a full year without filling 6.0 FTE program positions due to the factors outlined below and the eventual reduction in staff positions, the agency has experienced a steady and cumulative erosion in its capacity to simultaneously perform all of the tasks delegated to it under state and federal laws. For example:

- development of electronic poll books and other IT applications has been delayed
- updates to voter information and outreach plans for 2018 have not been completed
- accessibility audits of polling places were suspended for the 2017 spring elections and audit reports from previous elections have not been processed and returned to municipal clerks to address deficiencies
- minor complaints regarding the actions of local election officials have not been addressed or resolved
- the agency continues to work on a backlog of administrative rules required by statutory directives, and
- both the agency's biennial report regarding polling place accessibility and its annual report to the Legislature have not been finalized and submitted prior to their due dates.

Position Vacancies

During the consideration of the biennial budget, the existence of several staff vacancies was cited as support for the assertion that the Commission capably administered the 2016 Presidential and General Election with less full-time staff than are authorized in the 2017 – 2019 budget, and therefore the WEC should be able to continue to function long-term with reduced staffing. This assertion is flawed for several reasons.

First, both the Government Accountability Board and the WEC have experienced a steady turnover in staff. The elections agency has lost some experienced and talented staff who have moved on to other employment opportunities, often because larger state agencies have been able to offer higher compensation than our agency budget and position classifications have allowed. In addition, departing staff members have expressed uncertainty regarding the level of agency staffing as a significant reason for accepting other employment. The uncertainty resulted primarily from the fact that position authority expired at the end of each budget cycle and needed to be renewed every two years. This uncertainty increased due to the upcoming depletion of federal funds and the extended public debate regarding the reorganization and future of the elections agency.

Second, as noted by the Legislative Fiscal Bureau, five of the eight vacancies which existed at the time of the budget consideration had occurred during the second half of the 2016 calendar year and were considered short-term. Given the agency transition from the Government Accountability Board to the WEC on June 30, 2016, and the focus on the fall elections which were already underway at the time of the transition, it would have been an unwise and impractical decision to initiate staff recruitments and divert the time of program staff to those recruitments. For illustration purposes, a recent recruitment to fill two Elections Specialist positions resulted in the agency receiving 43 applications. That process involved three agency staff spending one to two days reviewing and ranking initial applications and three additional staff spending two to three days interviewing 11 applicants. Repeating that process several times in the fall of 2016 was not a realistic option.

As a short term strategy, in the second half of 2016 agency management postponed tasks not directly related to the fall elections, asked staff to work overtime hours, hired temporary staff to complete basic tasks, and contracted with a call center to handle inquiries related to an agency mailing to 1.3 million Wisconsin residents who appeared to be eligible electors but were not yet registered to vote. Administering the recount of the 2016 Presidential contest further delayed recruitment efforts. Management did not intend to leave the positions permanently as it was not a sustainable model and made a commitment to staff to fill the positions following the 2018 General Election.

Third, upon the release of the Governor's initial budget proposal, the Department of Administration requested that the WEC delay recruitment of any staff positions above the number authorized in the Governor's proposed budget, meaning that 6.0 positions should not be filled. Commission management complied with the request because of the difficulty of recruiting applicants for positions which may be eliminated within a matter of months, and to avoid the potential costs of unemployment compensation in that event. The Commission's willingness to abide by DOA's request until the Legislature finalized its budget deliberations was intended as a practical short term approach, not an acknowledgment that the agency could continue to operate adequately without filling the vacant positions.

Alternatives to Additional Staff Positions

The Governor's veto message encouraged the WEC to make greater use of limited term employees, contractors, and temporary staff as a way of filling gaps created by the staff reduction. The biennial budget did not include funding to support these alternative solutions. Due to the agency's stewardship of the remaining federal funds, however, it may be possible to absorb much of the additional cost within the existing budget authority for the remainder of the 2017 – 2019 biennium. Each of these solutions carries certain limitations which will likely prevent completely replacing the 6.0 FTE positions with the necessary level of expertise and quality of work.

A Limited Term Employee (LTE) is a state employee restricted to working less than 1,040 hours per year. State agencies may hire an LTE without posting the position, and the employee is entitled to minimal state benefits. The WEC recently hired a former agency staff member as an LTE to work as a WisVote Trainer. The agency was fortunate to be able to hire this individual, who is familiar with the WisVote system and who had retired in 2016 and was interested in a part-time opportunity. It is a significant benefit to add a staff member with prior experience working in WisVote who does not need to be trained regarding the technology from square one.

The WEC also has made use of contractors in specific situations where it is feasible. Contractors are not limited in the number of hours they may work, nor do they receive benefits of a state employee. The WEC pays a staffing agency which supplies the contractor and retains a portion of the compensation, so that the individual contractor does not receive the full amount of the payment made to the staffing agency. Most notably, the agency has developed a small team of IT developers who are contractors rather than state employees, which is a common arrangement for state agencies. The contractors work closely with program staff daily to design, develop, test and implement various IT applications, and to provide constant monitoring and maintenance of agency systems. The WEC may also explore "renting" staff time from the Division of Enterprise Technology to improve cybersecurity defenses as a contracted service.

The WEC has also contracted for other services, including with a public relations firm to manage implementation of a public information campaign related to the Photo ID Law, and with a call center in the fall of 2016 to handle anticipated phone calls related to a mass mailing so that WEC program staff's efforts would not be diverted from election preparations. The use of contracted services is most beneficial when the contractors offer a defined skill set that can be applied to an agency program, or that can be assigned the responsibility to complete a specific project. Agency management seeks to identify opportunities to use contracted services in such cases, but attempting to use contractors to perform the ongoing and core functions of agency program staff is not a practical strategy.

Finally, the WEC has also hired temporary staff to assist with the completion of specific projects, including reviewing nomination papers, conducting accessibility audits at polling places and responding to a high volume of phone calls and emails leading up to an election involving basic inquiries, such as identifying the voter's polling location. Like contractors, potential temporary services staff is supplied by approved staffing agencies which retain a portion of the compensation paid by the agency. Temporary services staff are not state employees and do not receive other employee benefits. They are not restricted in the number of hours they may work but may not work for more than one consecutive year at a time.

The use of temporary services staff has its limitations. The WEC has few tasks that are considered routine or that do not require expertise and sound judgment. The agency does not engage in a large volume of rote tasks such as filing documents or issuing permits. Temporary services staff are generally less vested in the accuracy of the agency's work and cannot match the accumulated expertise and judgment of program staff who are immersed in the nuances of election laws and procedures on a daily basis. Also, there are high stakes and severe consequences in the event of flawed work product or incorrect guidance being provided to agency customers. WEC staff is hypervigilant about providing correct answers to clerks, candidates and voters, knowing that errors may have an impact on the rights and responsibilities of those parties and potentially lead to complications in the election process, as well as negative media attention and loss of public confidence in elections.

For these reasons, agency staff has, for instance, limited the role of temporary services staff in the review of nomination papers so that they conduct only the first round of review and WEC staff conducts the second round in order to detect and correct any errors. WEC also cannot risk the possibility of temporary services staff incorrectly answering a telephone inquiry from a local clerk with whom agency staff has invested significant time building relationships and trust, or from a voter seeking a prompt and reliable answer regarding residency status, registration procedures or Photo ID requirements. With supervision and quality control, temporary services staff has been successful answering narrow categories of telephone and email inquiries from voters, although the quality of work is sometimes uneven amongst the pool of temporary services staff.

In addition, a significant consideration in the management of contractors or temporary services staff is the time required to hire, train and supervise those individuals. The agency must be able to leverage the amount and quality of work accomplished by contractors or temporary services staff rather than simply diverting staff time to supervise the work of a small number of individuals who accomplish little more than the program staff would otherwise accomplish on their own. When the agency retained the call center and temporary services staff prior to the 2016 General Election, WEC program staff spent a significant amount of time supervising the work of those individuals.

In short, the WEC can certainly continue to use contractors and temporary services staff when appropriate, and intends to do so at specific times during the upcoming election cycle. However, some of those special projects and periods of peak contacts have already been addressed with the use of contractors and temporary services staff. Based on its prior experience, agency management anticipates that such an approach will not be equivalent to what can be accomplished, and needs to be accomplished, with a full complement of program staff.

Staffing Recommendation

WEC management has concluded that continuing with the current level of agency staffing poses a significant obstacle to successfully administering elections in Wisconsin's decentralized structure. Furthermore, the consensus of agency management is that even implementing the approach recommended below will not fully remedy the existing staff shortage. At some point this deficiency will likely manifest itself in various ways such as an inability to timely serve candidates; failure to complete projects and implement best practices necessary to ensure that election systems are as accurate and secure as possible; less robust training of local election officials leading to confusion and errors in the voter registration and voting process; reduced capacity to provide voter information on a broad scale as

well as voter assistance on an individual basis; and diminished ability to collect and provide accurate and reliable election data and submit required reports.

These realities pose a risk to the smooth administration of elections in Wisconsin, and also create a greater challenge for the agency and local election officials to meet their legal obligations to fully implement federal and state laws. In the past, the Legislative Audit Bureau has noted that the former State Elections Board and Government Accountability Board were unable to keep up with the number of tasks assigned to them. The Commission and state policymakers should not be surprised if the reduced staffing level results in similar and more significant difficulties in the future.

As reflected in the original unanimous recommendation of the Commission as well as the votes of the Joint Finance Committee and the Legislature, there is a well-established need for the 5.0 FTE positions which were included in the 2017 – 2019 budget bill approved by the Legislature. The WEC's staffing needs have only intensified with the increased focus on election security related to WisVote and other IT applications as well as voting equipment and ballot security.

WEC management recognizes, however, that the result of the 2017 – 2019 budget process did not include approval of the Commission's request to continue 5.0 FTE positions. We have considered options for implementing the Governor's request to consider alternative staffing solutions and agree that the use of at least one LTE position as well contractors and temporary services staff when feasible can constitute components to a comprehensive approach. But given the centrality and complexity of functions such as election security, support of local election officials and voter information and assistance, management continues to recommend the reinstatement of some FTE positions. Specifically, WEC management recommends adding the following 3.0 FTE positions:

1. IS Technical Services Professional: This position would focus on the cybersecurity of WEC IT applications. In partnership with organizations such as the Department of Homeland Security, MS-ISAC, and the Division of Enterprise Technology, this position would review and implement best practices to protect WisVote and other IT applications, recommend and provide tools to ensure that agency staff and local election officials maintain robust cybersecurity, engage in ethical hacker exercises to identify and correct IT vulnerabilities, and help to implement the agency's overall elections security plan.
2. Elections Specialist: This position would focus on the security of voting equipment and polling place procedures, including leading the agency's voting equipment testing campaigns and post-election audit program. This position would provide more consistent attention to voting equipment security issues for the Commission and to assist local election officials. It would research and make recommendations regarding post-election audit processes as well as on-site review of voting equipment and polling place set up and ballot security procedures.
3. Elections Specialist: This position would focus on voter services and outreach, including maintaining and updating public information resources related to voter registration and Photo ID requirements, and serving as a point of contact for political parties and other organizations conducting voter registration efforts. This position would also manage the MyVote Wisconsin website as well as serve as the primary contact to provide individualized assistance to voters, including military and overseas voters, related to the online registration system and the electronic

ballot delivery service. This position would also be responsible for the tracking of absentee ballot requests and absentee ballots issued to military and overseas voters for federal elections, as required by the U.S. Department of Justice.

Each of these positions address critical functions that affect the administration of elections as well as the public's confidence in the integrity of elections. They also relate to functions that are at risk of inadequate attention as existing staff attempts to remain current with other ongoing and pressing priorities.

In addition to these recommended FTE positions, agency management recommends the use of LTE positions when practical and will continue to seek out other potential opportunities to use LTE staff when appropriate and feasible.

Finally, WEC management has identified specific periods during the remainder of the 2017 – 2019 biennium in which the agency can make productive use of temporary services staff to assist the agency during peak periods and during time-sensitive interactions with candidates, clerks and voters. Management proposes hiring six temporary services staff to assist with the review of nomination papers during the upcoming filing period in late 2017; during the May and June nomination paper filing period related to the 2018 fall elections; and during final preparations and heavier call volume leading up to the 2018 Partisan Primary and General Election.

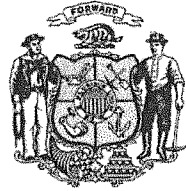
Attached as Exhibit E is an approximate calculation of the costs of implementing the recommendation to add 3.0 FTE positions as well as utilize LTE and temporary staff as outlined above during the remainder of the biennium, which ends on June 30, 2019. The total estimated cost of this approach is \$452,009. The Legislative Fiscal Bureau estimated a cost of \$608,200 for the entire biennium to support 5.0 FTE positions which were not extended as part of the budget process. Staff is in the process of determining how much of the expected cost could be absorbed with the use of the remaining federal funds during the biennium.

Recommended Motion

The Commission directs staff to seek authorization for an additional 3.0 FTE positions along with necessary funding to support the positions through the remainder of the 2017 – 2019 biennium. The Commission also approves the use of additional limited term employees and temporary services staff, where feasible, as described above and as necessary to support WEC staff in completing agency projects and initiatives.

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ADMINISTRATOR MICHAEL HAAS

September 26, 2017

EXHIBIT A

The Honorable Scott Fitzgerald
Senate Majority Leader
Room 211 South, State Capitol
Madison, WI 53702

The Honorable Robin Vos
Assembly Speaker
Room 217 West, State Capitol
Madison, WI 53702

Subject: Wisconsin Elections Commission 2017-19 Biennial Budget

Dear Senator Fitzgerald and Speaker Vos:

We are writing to address Governor Walker's line item veto related to the 2017 – 2019 budget of the Wisconsin Elections Commission (WEC), which reduces the number of agency FTE positions to 25.75, as compared to the 30.75 FTE positions which were recommended by the Joint Committee on Finance (JCF) and included in the final budget bill approved by the Legislature. As bipartisan appointees of the Commission, we are concerned about the impact of this staff reduction on the agency's ability to fulfill its statutory duties, especially in light of the previous elimination of four FTE positions which occurred in the 2015 – 2017 biennial budget.

As you may recall, the WEC budget request focused on the upcoming expiration of federal funds which have supported most of the election agency's staff positions for over a decade. We appreciate that the Governor proposed, and the Legislature agreed, that many of those federally-funded positions should convert to GPR positions when the federal funds are depleted.

However, as we stated during budget deliberations, the Commission requires these vetoed positions in order to carry out, in a timely fashion, its ever-increasing duties, including significant security concerns. It should not be assumed that because these positions were vacant, they are not needed. Using Commission time and resources to recruit staff during the weeks leading up to the fall election was not feasible and as the biennial budget process began, the Department of Administration directed that the positions should remain vacant. It also should not be assumed that these positions are unrelated to election security. The Commission's maintenance of WisVote, MyVote, certification of election equipment and training of clerks is for the purpose of ensuring fair and secure elections in Wisconsin.

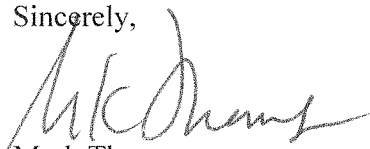
Since the JCF action which largely agreed with the WEC's assessment of its staffing needs, there has been no reduction in the responsibilities or workload of agency staff and in fact its duties continue to increase due to legislative directives and new challenges related to administering elections in Wisconsin's decentralized structure. During JCF deliberations regarding the agency budget, WEC staff was even advised to notify the

Committee in the event that it becomes apparent in the future that it is necessary to reinstate one additional staff position.

The WEC recently completed its first year in existence, and we have observed firsthand the wide variety of and substantial amount of expertise that is required of agency staff on a continuous and year-round basis. Preparing for and administering elections successfully, including the training and guidance provided to local election officials, is not a part-time task and cannot easily be achieved by relying on limited term employees or contractors. The recent development and launch of the online voter registration system, the current implementation of electronic poll books, and the many facets of election security planning are just a few examples of new projects and priorities that demand staff resources and which did not exist just a year ago.

We have directed WEC staff to develop a comprehensive approach to addressing the agency's staffing needs given the outcome of the budget process. Once completed, we will share detailed information with you about the impact of these vetoes on election administration and seek your assistance to address those impacts, including taking legislative action. The Commission and its staff look forward to working with you to ensure that Wisconsin elections continue to be fair, open, accurate and secure. Thank you for your attention to this matter, and please feel free to contact Commission Chair Thomsen or Administrator Michael Haas if you have any questions or wish to discuss this issue further.

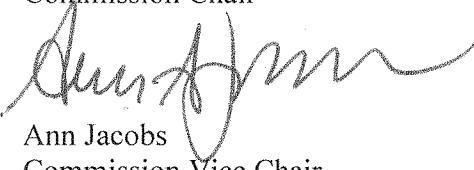
Sincerely,



Mark Thomsen
Commission Chair



Jodi Jensen
Commissioner



Ann Jacobs
Commission Vice Chair



Dean Knudson
Commissioner



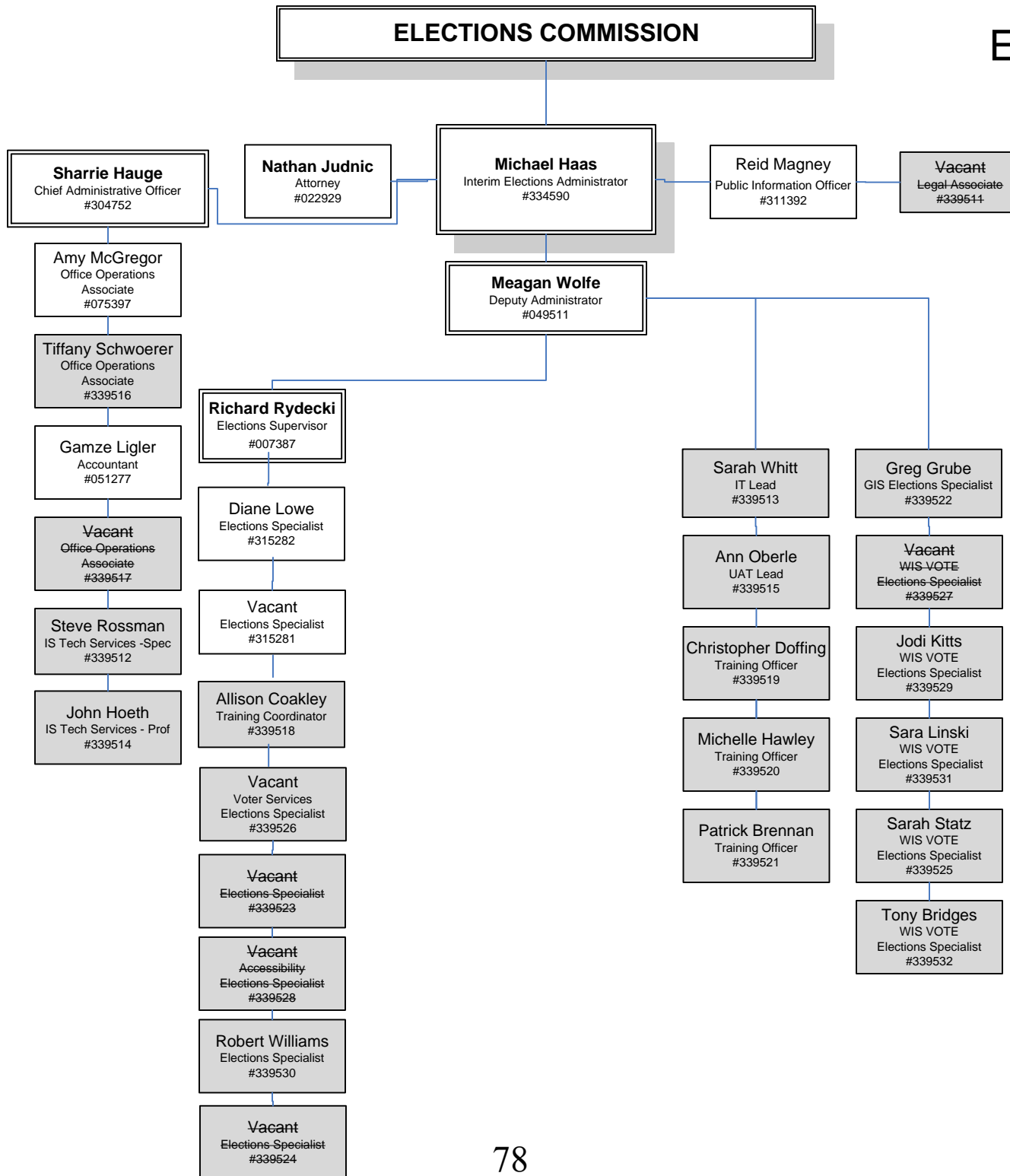
Julie Glancey
Commissioner



Beverly Gill
Commissioner

ELECTIONS COMMISSION

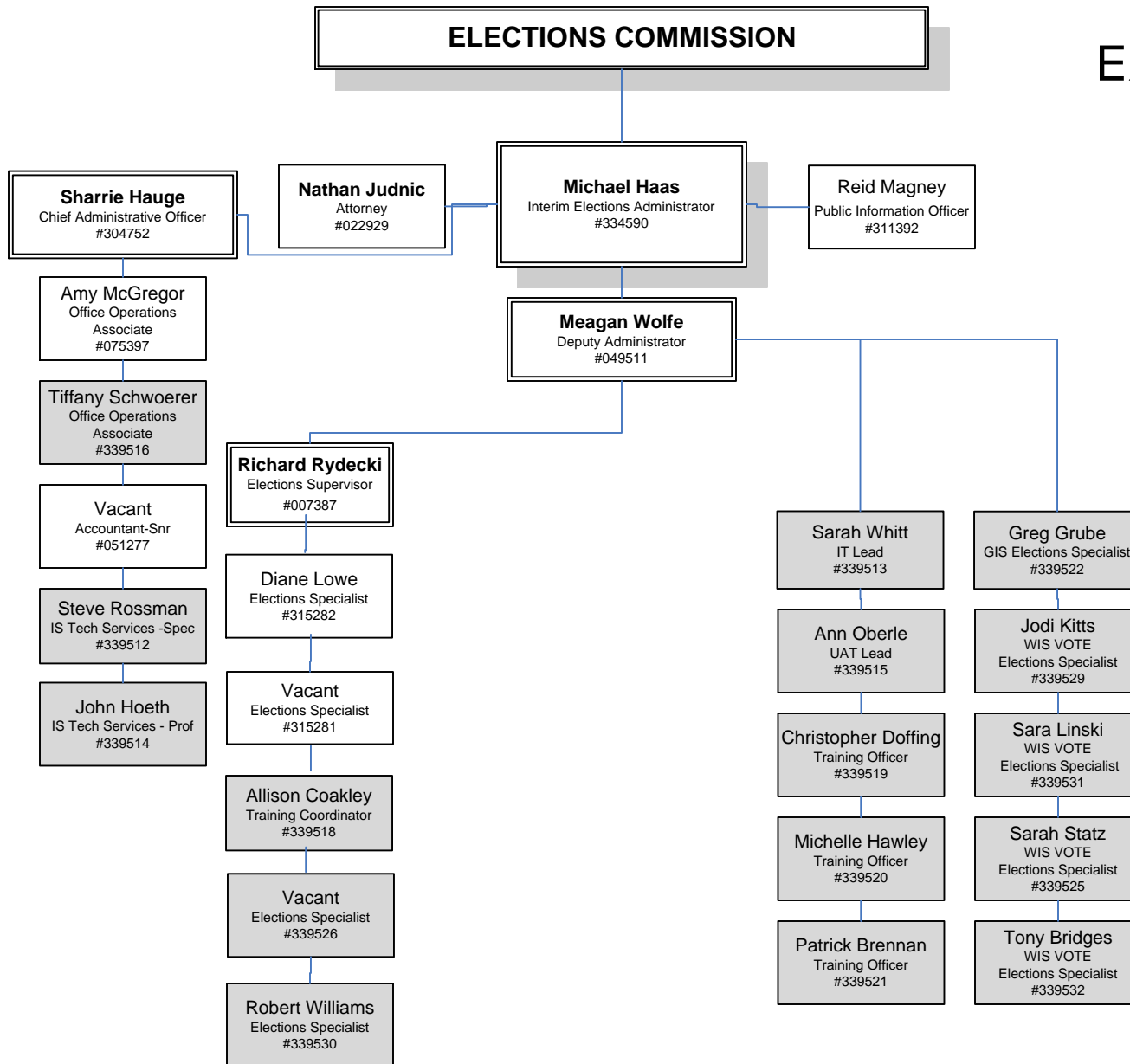
EXHIBIT B



Note: Federal Positions

ELECTIONS COMMISSION

EXHIBIT C



2017

WEC AGENCY PROJECTS

| Project Name | Project Schedule | Project Team | Project Scope |
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| ELECTION ADMINISTRATION (EA) PROJECTS | | | |
| Voting Equipment | <i>ES&S Testing: May 1-June 16</i> <i>Hart Test: Aug 1-Sept 22</i> <i>Dominion/Clear Ballot: Sept 27-Nov 30</i> <i>Prime III Standards: Sept 27-Nov 30</i> <i>Prime III Test- January 2018</i> | Team Lead Richard Team Members Jennifer W, Robert, Nate, Meagan, Ann, Tony, and Diane | There are a number of voting equipment related items that will require staff time and resources in 2017. The scope of the project is subject to change if vendors file additional applications. The current project scope includes the following: ES&S Testing Campaign: Test Prep May 1-5. Testing to occur May 8-18. Test analysis and preparation for Commission meeting May 22-June 16. Hart Testing Campaign: Test Prep and testing to occur July 5-September 5. Test analysis and preparation for Commission meeting September 5-22. Dominion and Clear Ballot: Test prep and testing to occur September 27-Nov 24. Test analysis and preparation for Commission meeting Nov 27-Dec 8. Prime III Standards Development: Development of standards for COTs based system approval in Wisconsin. Standards will be presented at the December Commission meeting. Development and Commission prep will occur September 27-December 8. Prime III Testing: Test prep and testing to occur December 13-April Test analysis and preparation for Commission meeting prior to April 2018 Commission meeting. |
| New Staff Training | <i>Training between: April 17-June 1</i> | Team Lead Allison and Juanita Team Members All WEC team members | New staff starts with the WEC on April 17, May 1, and May 15. Current WEC staff will need to be available to train new staff members during their first few weeks in the office. A detailed training schedule for new staff has been developed. The training schedule includes scheduled learning opportunities for the first two weeks with the agency. |

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| Clerk Training | <p>See Clerk Training schedule See Webinar Schedule</p> | <p>Team Lead Allison and Juanita Team Members All EA and WisVote team members</p> <p>Mike or Meagan will also attend in-person events</p> | <p>The scope of this project includes all agency training conducted for clerks, both for new clerks and refresher courses for existing clerks. Training events include webinars on election administration topics as well as WisVote and other topics. Also included are in-person training events held at clerk conferences. Included in this scope are actual training events as well as preparation time for staff to create and post materials, power points, and other components of the training event. Clerk training also includes tracking clerk training and recording compliance in the WisVote system.</p> |
| Update Clerk Training Materials | <p><i>Ongoing.</i> Goal is to update clerk materials by the fall of 2017 in anticipation of the 2018 election cycle. <i>Pending One WI Litigation</i></p> | <p>Team Lead All EA Team Members</p> | <p>Updating training materials such as core training, clerk power points, clerk guidance documents. Some example of updates include examining documentation for special districts like school boards and updating the guidance for federal forms such as the FWAB and FPCA.</p> |
| EA Manual Updates | <p><i>Ongoing.</i> Goal is to update clerk materials by the fall of 2017 in anticipation of the 2018 election cycle. <i>Pending One WI Litigation</i></p> | <p>Team Lead Allison Team Members All EA Team Members</p> | <p>Scope includes updating all manuals to ensure that they are current prior to the 2018 election cycle. The scope of this project is subject to change pending court decisions and legislation that impact election administration. As part of the scope, the team will review the manuals throughout the year but plans to save the review and updates of sections that may be impacted by court decisions and legislation until later in the year. Currently the scope includes updating the Election Administration Manual, Election day Manual, Recount Manual, Special Voting Deputy and Care Facilities Manual, and the Recall Manual.</p> |
| Review of Federal Documents | <p><i>FVAP Guide:</i> April, June, Sept 2017 <i>FPCA/FWAB:</i> May 2017 <i>OVF Guide:</i> August 2017 EAC NVRA Form: Ongoing</p> | <p>Team Lead Meagan Team Members All EA Team Members</p> | <p>WEC is often asked to review federal election documents and guide in order to provide state specific feedback and edits. WEC staff is currently coordinating with the Federal Voting Assistance Program (FVAP) to update their state specific guide for military and overseas voters. WEC is also working with FVAP to provide feedback on federal forms that are used by military and overseas voters including the Federal Postcard Application (FPCA) and the Federal Write-in Absentee Ballot (FWAB). In addition, the WEC reviews the Overseas Vote Foundations (OVF) deadlines and guide for overseas voters. Over the course of the last few years, WEC staff has also worked with the Elections Assistance Commission (EAC) to update the state specific instructions for the National Voter Registration Form (NVRA). The goal is to have all federal documents and guides reviewed and updated in time for use in the 2018 election cycle.</p> |

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| Photo ID Clerk Training | <i>Timeline: July-December 2017</i> <i>Pending One WI Litigation</i> | Team Lead Meagan Team Members Allison, Christopher, Diane, and Jennifer W | The legislature designates funds for the WEC to use to train clerks about the photo ID law every fiscal year. In FY18, the WEC has about \$82,000 designated for this task. Because of the status of litigation and legislation involving the photo ID law, WEC staff will modify the scope and timeline for this project dependent on those factors to avoid creating materials that will become obsolete. Ideas for utilizing the photo ID clerk training budget include: Videos on processes that involve photo ID (including provisional voting, absentee voting, voter registration, and polling place process flow), updated clerk training materials and webinars, utilizing Moodle/Storyline online tutorial services, and WisVote training for processing photo ID. |
| Updated Voter Materials | <i>Ongoing.</i> Goal is to update voter materials by the fall of 2017 in anticipation of the 2018 election cycle. <i>Pending One WI Litigation</i> | Team Lead Jennifer W Team Members Meagan | Voter materials must be updated when voting laws are impacted by legislation, litigation, and policy. Voter materials are housed on all three agency websites and are used by clerks and voter groups on their websites. Voter materials also include static content on agency websites, voter outreach kits for clerks and groups, and social media content. Pending the One WI litigation and pending legislation, all voter materials will be updated for the 2018 election cycle. |
| Reporting | <i>EAVS Report: Due March 2017</i> <i>HAVA Reports: March 2017</i> <i>Legislative Update: April 2017</i> <i>Voting Equip Audit: March 2017</i> <i>OVR/ERIC Leg Report: Jan & April 2017</i> <i>IT Strategic Plan: April 2017</i> <i>Election Access Report: June 30, 2017</i> <i>FVAP Grant Reports: July 2017</i> <i>EAVS Report Feedback: August 2017</i> <i>EAVS Section B Pilot: September 2017</i> | Team Leads Sarah Meagan Richard Reid | The WEC is subject to a number of Federal and state reporting requirements. Some reports, like the Legislative update and HAVA reports are annual and others, like the EAVS and FVAP reports are only required after a federal election. Significant staff resources are required to map, collect and analyze report data as well as to write narratives for each report. |
| Form Updates | <i>Ongoing.</i> Goal is to update forms by the fall of 2017 in anticipation of the 2018 election cycle. <i>Pending One WI Litigation</i> | Team Lead Diane and Christopher Team Members All EA Team Members | Pending One WI litigation and legislative changes, agency forms will be reviewed and edited to address any required updates. Forms that will be reviewed include the Absentee Ballot Certificate (witness address, mailing requirements) and the Voter Registration Form (reference to Special Registration Deputies). Other forms may also require review and editing for the 2018 election cycle, dependent on the outcome of litigation and legislation. |
| 2018 Election Calendar | <i>Deadline: August 2017</i> | Team Lead Jennifer W Team Members All EA Team Members | WEC staff provides a downloadable calendar of election administration tasks and deadlines for municipal clerks. Clerks rely on the calendar to remember important deadlines. WEC plans to provide the 2018 calendar |

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| | | | to clerks will in advance of the 2018 election cycle so that clerks may use the calendar for 2018 planning and budgeting. |
| Special Elections | River Valley: May 30 Dane County 19: June 13 | Team Lead Richard and Diane Team Members All EA and WisVote Team Members | Currently there are two special elections scheduled for 2017, more may be added as WEC becomes aware. WEC staff is involved in special elections in that we provide election administration support to municipalities and counties who are administering the election and we help provide for setting up the election in WisVote and displaying relevant information for voters on MyVote. |
| LEGAL PROJECTS | | | |
| Administrative Rules | <i>Ongoing</i> | Team Lead Nate | There are currently 17 administrative rules in various stages of the process. Administrative rules that are currently in progress for 2017 include: Election Observers (Wis. Admn. Code Ch. EL4), GAB Transfer Procedures (Wis. Admn. Code Ch. EL 6), GAB Transfer Practice and Procedure (Wis. Admn. Code Ch. EL 21), Ballot and Electronic Voting System Security (Wis. Admn. Code Ch. EL 5), Approval of Electronic Voting Equipment (Wis. Admn. Code Ch. EL 7), Absentee Ballot Information Subscription Service and Fee Schedule (Wis. Admn. Code § EL 3.60), Training for Election Inspectors and Special Voting Deputies (Wis. Admn. Code Ch. EL 13), Complaint Procedure (Wis. Admn, Code Ch. 20), Responsibilities of Clerks Maintaining Records in Statewide Voter Registration System (Wis. Admn Code Ch. EL 12), Curbside Voting (Wis. Admn. Code § EL 6.06), Filing Documents by Fax or Electronic Methods (Wis. Admn. Code § EL 6.04), Removal of Special Registration Deputy References (Wis Admn. Code EL Ch. 3), Election notices (Wis. Admn. Code Ch. EL 8), Electronic Proof of Residence for Voter Registration (Wis. Admn. Code § EL 3.015), Absentee Voting Procedure for Overseas Voting- Wis. Admin. Code Ch. 17), Requiring Provisions of Certain Information by Election-day registration Applicants (Wis. Stat. Admn. Code § EL 3.04(2)), and Definition of “Same Ground” (Wis. Admn. Code § EL 6.07). |
| Litigation | <i>Ongoing</i> | Team Lead Nate | The following cases involving the WEC will continue to require agency resources and consideration in 2017: <ul style="list-style-type: none"> - Ongoing Voting equipment dispute from the Stein Recount - <i>Whitford, et al. v. Nichol, et al.</i>, Case No. 15- CV-421-bbc - <i>One Wisconsin Institute et al. v. Nichol et al.</i>, Case No. 15-CV-324 - <i>Frank et al., v. Walker et al.</i>, Case No. 11-CV-1128 - <i>Lin v. Wisconsin Government Accountability Board, et al.</i>, Case No. 16- |

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| | | | CV-4590 |
| Legislative Tracking | <i>Ongoing</i> | Team Lead Nate and Mike | As part of the bill drafting process, WEC staff is often asked to provide feedback and testimony on proposed legislation. Often this involves reviewing documents, and preparing and presenting testimony. Additional legislative proposals may be presented to the WEC in 2017, at this point in the year, the WEC is in the process of providing input on the following proposals: Alternative In-Person Absentee, Central Count, Recall Procedures. |
| Redistricting | <i>Pending Litigation</i> | Team Lead Sarah, Tony, Greg, Nate | The pending legislation, Whitford, et al. v. Nichol, et al., Case No. 15- CV-421-bbc, deals with the redistricting of legislative maps in Wisconsin. WEC staff continues to monitor the ongoing legislation. Depending on the outcome, significant staff resources may be required to complete redistricting tasks in the WisVote system. |
| GENERAL AGENCY/FINANCIAL PROJECTS | | | |
| Records Retention | <i>DOA Retention Training: April 28 Project Plan Due: Project Phase 1 Due: Project Phase 2 Due:</i> | Team Lead Reid Team Members Nate, Tiffany, Marni and Jennifer J. | The scope of the records retention project includes the development of an internal policy for staff on the retention of paper and electronic records. Also included is the review, organization, and potential destruction of paper records currently stored in the WEC office and basement. Another aspect of the records retention project is reviewing the agency shared computer drive to reorganize content and eliminate outdated files. During the records retention project the team will also address any outstanding document issues resulting from the split of the GAB into two agencies. |
| Agency Website Redesign | <i>Plan Due: November 2017 Launch: May 2018</i> | Team Lead Reid Team Members Meagan and Jennifer | The agency website needs to be updated to a new version of Drupal. As part of the migration to the upgraded platform, the team will also examine making the site more usable. The team will also explore the option of hosting the site with DOA/DET through the state system-currently they do not have the option to host Drupal. |
| Commission Meetings | <i>Meeting: January 10, 2017 Materials Due: January 5, 2017 Meeting Prep: Dec 26-Jan 5, 2017 Meeting: March 8, 2017 Materials Due: March 2, 2017 Meeting Prep: Feb 20- March 2, 2017 Meeting: March 14, 2017</i> | Team All WEC Team Members | WEC agency staff prepared materials and presentations for the Commission meetings. In addition to the date of the meetings themselves, staff typically spends two weeks prior to the meeting completing materials. Meeting materials are typically due the week prior to the meeting. |

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| | <p><i>Materials Due:</i> March 9, 2017 <i>Meeting Prep:</i> Feb 27-March 9, 2017 Meeting: May 23, 2017</p> <p><i>Materials Due:</i> May 18, 2017 <i>Meeting Prep:</i> May 8- May 18, 2017 Meeting: June 20, 2017</p> <p><i>Materials Due:</i> June 15, 2017 <i>Meeting Prep:</i> June 1-15, 2017 Meeting: September 26, 2017</p> <p><i>Materials Due:</i> September 21, 2017 <i>Meeting Prep:</i> September 4-21, 2017 Meeting: December 12, 2017</p> <p><i>Materials Due:</i> December 7, 2017 <i>Meeting Prep:</i> Nov 28- Dec 7, 2017</p> | | |
| Legislative Agenda | | Team Lead Nate | Some items include: alternate in-person absentee process, central count. |
| Complaints | | Team Lead Reid and Nate | Scope includes changing the process to differentiate between a comment submitted via the website and a sworn complaint. Also, the clean-up of old complaints. |
| Public Records Requests | | Team Lead Reid | See list of current Public Records requests |
| SPECIAL PROJECTS | | | |
| Standards Board | | Representative Mike | |
| CSG EAVS Sect B UOCAVA Policy | | Representative Meagan | |

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| Common Data | | Representative Sarah | |
| IT/WISVOTE PROJECTS | | | |
| WEDCS | <i>Planning Phase:</i> June 27-August 24 <i>Plan Due:</i> August 24 <i>Testing/Development:</i> Oct 9-Nov 15 <i>Launch:</i> November 16 | Team Lead Patrick Team Members Christopher, Robert, Tony, Sara L Development Kamal, Mohideen Resources Sarah, Meagan | Update the WEDCS system to integrate it as part of WisVote. Scope includes the design of a module in WisVote that incorporates the data points currently housed in the WEDECS system. Improve user experience and efficiency in data collection. |
| Canvass | <i>Planning Phase:</i> April 12- July 26 <i>Plan Due:</i> July 27 <i>Testing/Development:</i> July 28- Dec 1 <i>Launch:</i> December 15 | Team Lead Ann Team Members Sarah, Diane, Juanita Development Kamal Resources Meagan, Richard | To improve the Canvass Reporting system by integrating into WisVote/CRM as much as possible. Also includes improvements to user interface for clerk users. Another goal is to incorporate “full circle of information” to utilize existing data and election set up from WisVote to pre fill contests and candidates. Data quality and automated data checks will also be part of the scope. |
| CRM 2011 | <i>Planning Phase:</i> May 16-July 10 <i>Plan Due:</i> July 10 <i>Testing/Development:</i> July 11-Sept 27 <i>Launch:</i> September 28 | Team Lead Juanita and Sara L. Team Members Ann, Sarah, Patrick, Christopher Development Kamal, Mohideen | Scope includes moving the voter felon audit, incompetent list, 4 year maintenance processing, and help desk call tracking to most recent version of CRM. Also integrations of these functionalities into the WisVote System. |
| Badger Voters | <i>Planning Phase:</i> April 11-April 21 <i>Plan Due:</i> April 24 <i>Testing/Develop:</i> April 24-May 15 <i>Launch:</i> May 15, 2017 | Team Lead Tony Team Members Patrick, Christopher, John Development Mohideen | The scope of this project includes updating the user interface of the Badger Voters system. Also included is testing to assure field mapping is correct after SVRS/WisVote migration) and to develop a process for handling user requests and user support. |

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| WisVote Sprint Management | <i>Sprint deployed to UAT: First Monday of each Month Testing/Development: First and second week of each month Sprint deployed to production: Third Monday of each month</i> | Team Lead Sarah and Ann Team Members Meagan | Management of the development and testing of Sprint. Also, the development of a formalized sprint policy, and a process for determining hot fixes vs. sprints. |
| Addressing | <i>Planning Phase: Sept 13-Dec 8 Plan Due: December 8 Testing/Dev Phase: Dec 11-Jan 30 Launch: January 31</i> | Team Lead Tony and Greg Team Members Sarah and Meagan | Improve addressing services for both MyVote and WisVote. Working with LTSB to improve quality of addresses. Researching licensing and software options for geo-coding and imaging. |
| E- Poll Books | <i>Planning Phase: April 11- June 13 Commission Report Due: June 13 Commission Presentation: June 20 Post Meet Planning: (Development of requirements) June 21- September 11 Plan Due: (Standards and IT Prototypes) September 12 Testing/Dev Phase: Sept 18- Jan 5 E Poll Book Pilot Launch: Jan 8, 2018</i> | Team Lead Richard and Sarah Team Member Tony, Ann, Diane, Jennifer Webb, Allison, Meagan | To research the development of e poll book options. The findings will then be presented to the Board who will determine the direction. If the Board approves, staff will potentially develop standards for vendor e poll books, test vendor e-poll books, and develop an in-house e poll book. |
| MyVote | <i>Planning Phase: May 15-June 5 Plan Due: June 6 Testing/Dev Phase: June 7- July 5 MyVote Changes Launch: July 6</i> | Team Lead Meagan Team Member Richard | Enhancements to the MyVote website. Scope includes automating processes for the 2018 election cycle. |
| Ethics Pipeline | <i>Planning Phase: April 17- May 19 Plan Due: May 19 Testing/Development Phase: May 22- June 21 Launch: June 22</i> | Team Lead Sarah and Brian Bell Team Members Ann, Meagan, Diane, Adam Development Mohideen and Kavita | Connect particular data points in the Ethics' CFIS system with the Election's WisVote system, such as candidates, candidate terms, and candidate contact information. The goal of the project is to increase efficiency in entering information as not to duplicate efforts by both agencies, and to ensure the most complete information is displayed on both agencies' websites. |
| 4-Year Maintenance | <i>Planning Phase: April 11-28 Plan Due: May 2 Testing/Dev: May 3-June 1 Final Mailing to DOA: June 2 Postcard Mailed: June 8</i> | Team Lead Ann Team Members Jennifer W and Meagan Resources Sarah, Steve, Christopher, Juanita | To finalize the plan for 4 year maintenance, develop a new mailer, check data quality, and send postcard mailer by June 8. Other aspects of the project: Reg list alerts to the clerks, make sure that the records are all up to date, this especially important for duplicates. |

| | | | |
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| | | Development Mohideen, User Interface and Kamal, List | |
| Access Elections | <i>Planning Phase: June 6-June 29</i> <i>Plan Due: June 30</i> <i>Testing/Dev Phase: July 3</i> <i>Launch Date: July 26</i> | Team Lead Richard Team Members Tony, Robert | Upgrades to the Access Elections system, including WisVote integration. |
| ERIC List Maintenance | <i>Completed by: September</i> | Team Lead Sarah and Jodi Team Members Meagan, Tom, Ann | ERIC list maintenance and mailing re: In/Out of State Movers Mailing |
| Ongoing WisVote Development | On Sprint management schedule- will need to assign sprints to each team in charge of various modules. | WisVote Teams Voter Absentee Election Letters/Mailing Clerk Training | To coordinate development in conjunction with Sprint management and deployment for other IT projects. Data Quality automation Build in checks and email communications to clerks into WisVote regarding election readiness, reg list alerts, and other data quality tasks. |
| WisVote Manual, FAQ, and Tutorial updates | | Team Lead Christopher Team Members Juanita, Sara, | |
| Agency IT Infrastructure | | Team Lead Steve Team Members | Office 365 Project, Windows 10 Project, VoIP unified Communications Project |
| IT Contractors | | Team Lead Meagan | Update IT contract authority for all three contractors. New posting for Mahadeo' s position. |
| CRM/WisVote Licensing | | Team Lead Meagan, Sarah, Steve | Explore options for additional WisVote licensing. |

EXHIBIT E

Full-Time Employees for 18-months

| # FTE | Position | Hourly Wage | # Hours | Salary | Fringe Rate | Fringe | TOTAL Salary & Fringe |
|-------|----------------------------|-------------|---------|-----------|-------------|-----------|-----------------------|
| 1 | Elections Specialist | \$25 | 3120 | \$ 78,000 | 0.395 | \$ 30,810 | \$ 108,810 |
| 1 | Elections Specialist | \$25 | 3120 | \$ 78,000 | 0.395 | \$ 30,810 | \$ 108,810 |
| 1 | IS Technical Services Prof | \$28 | 3120 | \$ 87,360 | 0.395 | \$ 34,507 | \$ 121,867 |
| | | | | | | | |
| | | | | | | TOTAL | \$ 339,487 |

Training Officer Limited Term Employee for 18-months

| # LTE | Position | Hourly Wage | # Hours | Salary | Fringe Rate | Fringe | TOTAL Salary & Fringe |
|-------|------------------|-------------|---------|-----------|-------------|----------|-----------------------|
| 1 | Training Officer | \$22 | 1559 | \$ 34,298 | 0.0765 | \$ 2,624 | \$ 36,922 |

Nomination Paper Review (December 18 - January 5, 2018)

| # TEMPS | Position | Hourly Wage | # Hours | Total # of Temp Hours | TOTAL |
|---------|-------------------|-------------|---------|-----------------------|-----------|
| 6 | Program Assistant | \$15 | 120 | 720 | \$ 10,800 |

Nomination Paper Review (May 22-June 8, 2018)

| # TEMPS | Position | Hourly Wage | # Hours | Total # of Temp Hours | TOTAL |
|---------|-------------------|-------------|---------|-----------------------|-----------|
| 6 | Program Assistant | \$15 | 120 | 720 | \$ 10,800 |

Fall Elections Preparation (August 1 - November 9, 2018)

| # TEMPS | Position | Hourly Wage | # Hours | Total # of Temp Hours | TOTAL | Total Temp Cost |
|---------|-------------------|-------------|---------|-----------------------|-----------|-----------------|
| 6 | Program Assistant | \$15 | 600 | 3600 | \$ 54,000 | \$ 75,600 |

TOTAL for Biennium \$ 452,009

WISCONSIN ELECTIONS COMMISSION

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ADMINISTRATOR MICHAEL HAAS

DATE: For the November 20, 2017 Commission Meeting

TO: Members, Wisconsin Elections Commission

FROM: Michael Haas, Administrator

Prepared and Presented by:
Meagan McCord Wolfe, Assistant Administrator

SUBJECT: Requests for Approval of IT Related Contracts

The following purchasing request is submitted for the Commission's consideration and approval:

Approval to Enter into Contract

WEC staff is requesting Commission approval to enter into two, three-year contracts for IT contractor positions for the term of December 1, 2017 through November 30, 2020. The annual cost of the contracts will not exceed \$210,000 and \$200,000 respectively. The Commission's delegation of contract authority requires pre-approval from the Commission for procurement contracts exceeding \$100,000.

For the past seven years, agency IT application development positions have been filled by IT contractors. These contractors have made significant contributions to agency IT applications including: development and maintenance of the WisVote system, MyVote, Badger Voters, Canvas Reporting, Wisconsin Election Data Collection System, and overall elections cyber security.

The WEC currently employs three IT development contractors. This is a reduction from more than seven IT developers in 2011-2014 and four IT developers from 2014-2016. There has also been a major shift in priorities for WEC IT contract staff over the last year. IT contract staff has been asked to devote more time to the development and security of WEC in-house applications. The WEC does not utilize vendors for the development, maintenance, or security of agency IT applications. For these services, the WEC relies on IT contract staff. The two current contractors in the positions have been working with the agency for more than five years. They have intimate knowledge of WEC IT systems and have worked closely with the program staff so that they understand the agency's mission and priorities, and can provide timely services.

Because of the shift in agency needs and priorities, the current IT positions and classifications are no longer reflective of the IT staff's responsibilities. WEC staff recommends entering into two new contracts, for higher level positions, to replace the two outdated IT staff positions. The upgraded contracts will allow the WEC to

continue to address IT priorities like WisVote development, maintenance, and security.

Funding has been budgeted and secured for IT contracted positions for the current biennium through federal grants, General Purpose Revenue, and revenue generated through the Badger Voters data reporting service. Contracted IT positions can be terminated by the agency at any point throughout the contract as needed, although at minimum these positions will likely be necessary throughout FY19-20 to maintain and enhance Agency IT applications.

Staff requests approval to enter into two, three-year contracts for IT contracted positions classified as Applications Architect I and Business Intelligence Architect II at an annual rate of \$210,000 and \$200,000 respectively. These positions will replace two of the current positions of Database Architect III at an annual rate of \$176,800 per contract. Funding rates and IT classifications are established through the State of Wisconsin purchasing and procurement processes. Contracted staff do not receive other standard employment benefits and the actual compensation to the individuals is reduced by the fees paid to the staffing agencies which recruit and provide the contract services.

Recommended Motion

MOTION: Approve the execution of two, three-year IT contracts for the positions of Applications Architect I not to exceed \$210,000 annually and Business Intelligence Architect II not to exceed \$200,000 annually, effective December 1, 2017.

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VACANCY

MARK L. THOMSEN, CHAIR

ADMINISTRATOR MICHAEL HAAS

MEMORANDUM

DATE: For the September 26, 2017 Commission Meeting

TO: Members, Wisconsin Elections Commission

FROM: Michael Haas
Interim Administrator

Prepared by Elections Commission Staff

SUBJECT: Commission Staff Update

Since the last Elections Commission Update (June 20, 2017), staff of the Commission have focused on the following tasks:

1. General Activities of Election Administration Staff

With the Spring Election in the rearview mirror, Election Administration staff has been working on other agency projects, including the post-election voting equipment audit, voting equipment testing campaign, electronic poll book research and addressing cyber security planning.

2. Badger Voters

The following statistics summarize voter data requests as of September 18, 2017.

| Fiscal Year | Total Number of Requests | Requested Files Purchased | Percentage of Requests Purchased | Total Revenue |
|-----------------------|--------------------------|---------------------------|----------------------------------|---------------|
| FY2018 to date | 52 | 25 | 48% | \$21,190.00 |
| FY2017 | 643 | 368 | 57% | \$234,537.35 |
| FY2016 | 789 | 435 | 55% | \$235,820.00 |
| FY2015 | 679 | 418 | 61.56% | \$242,801.25 |
| FY2014 | 371 | 249 | 67.12% | \$125,921.25 |
| FY2013 | 356 | 259 | 72.75% | \$254,840.00 |
| FY2012 | 428 | 354 | 78.04% | \$127,835.00 |

3. WEDCS

Board staff continues to monitor municipal and county clerk compliance with EDR reporting requirements following the 2017 Spring Primary and Spring Election.

Pursuant to Statutes, the EL-190NF Election Administration and Voting Statistics Report for the 2017 Spring Primary was due to be entered into the Wisconsin Elections Data Collections System by March 23, 2017. The EL-190NF Election Statistics report was posted to the Elections Commission website on May 24, 2017. As of September 13, 2017, three municipalities do not have a report entered in to WEDCS for the Spring Primary.

Pursuant to Statutes, the EL-190NF Election Administration and Voting Statistics Report for 2017 Spring Election was due to be entered into the Wisconsin Elections Data Collections System by May 4, 2017 for the Spring Election. The EL-190NF Election Statistics report was posted to the Elections Commission website on August 7, 2017. As of September 13, 2017, eight municipalities do not have a report entered in to WEDCS for the Spring Election.

The EL-191 Spring Election Cost Report was due to be entered in to the WEDCS by June 5, 2017. The EL-191 Election Cost Report was posted to the Elections Commission website on July 10, 2017. As of September 13, 2017, 32 municipalities have not entered a cost report in WEDCS.

The Election Day Registration (EDR) Postcard Statistics initial report for the 2017 Spring Primary was posted to the Elections Commission website on May 26, 2017, prior to the statutory deadline of May 29, 2017. As of September 13, 2017, nine municipalities have not yet submitted a complete EDR Postcard Statistics Report. By statute this report is to be updated monthly until there is a full accounting of all EDR postcards for the Spring Primary. Staff continues to follow up with clerks to obtain the outstanding reports.

The Election Day Registration (EDR) Postcard Statistics initial report for the 2017 Spring Election was posted to the Elections Commission website by the statutory deadline of July 10, 2017. As of September 13, 2017, six municipalities have not yet submitted a complete EDR Postcard Statistics Report for the 2017 Spring Election. By statute this report is to be updated monthly until there is a full accounting of all EDR postcards for the Spring Primary. Staff continues to follow up with clerks to obtain the outstanding reports.

4. Education/Training/Outreach/Technical Assistance

The election administration team has developed a multi-faceted training plan for the 2017-2018 election cycle. The plan includes a new election administration training webinar series, scheduled to begin in October with a *New Clerks Orientation* webinar. Other webinars will focus on appointing election officials for the 2018-2019 term, school district clerk duties, a review of absentee voting rules and tutorials on counting votes, and spoiling and remaking ballots.

Commission staff surveyed county clerks and the leadership of the Wisconsin Municipal Clerks Association for recommendations for the WEC's Certified Clerk-Trainer program to conduct Baseline Chief Inspector training classes locally. Clerks recommended for the program were invited

to participate in a one-day training class with Commission staff in the WEC offices in Madison on October 12, 2017.

Due to the number of new municipal clerks each year, Commission staff are offering the state-mandated Municipal Clerk Core (MCT Core) Training class as a pre-recorded online presentation. Each of the sixteen segments of the presentation were recorded in a video format and include a self-evaluation for clerks to gauge their comprehension of a particular topic or subject matter. The MCT Core presentation is available in the WisVote Learning Center, so that training can be tracked and clerks can receive certification once they have completed the curriculum.

Commission staff has updated several subject-driven user manuals and guides, including the recall and caucus manuals, and is in the process of completing updates on the counting votes guide, the nomination paper review guide and a number of voter guides.

In June, Commission staff attended the Wisconsin County Clerks Association 112th Annual Symposium in Bayfield. At the request of the county clerks, staff conducted three educational breakout sessions to review important elections dates and deadlines, clerk duties and provide an update on the WisVote team's goals for the WEC Canvass Reporting System. A short presentation the following day updated the clerks on the progress of the Commission's budget, plans for election systems security and the status of the electronic poll book.

5. WisVote

WisVote staff remains on track to complete scheduled 2017 WisVote projects to prepare agency systems for the 2018 election cycle. Staff continues to meet, plan, and test development on WisVote, MyVote, WEDCS, Canvass Reporting, and other high priority IT projects.

In addition to enhancements to WisVote related systems, WisVote staff continues to make improvements to the functionality of the WisVote system. Some of the more notable improvements include:

- Several improvements were made to the election tracking and management features of WisVote, specifically related to reporting units, polling places, and local contests.
- A security update was made to MyVote to help prevent unauthorized online voter registrations.
- A new process was developed in WisVote to allow candidates to be imported from the Campaign Finance system.
- A new web service was created from WisVote to allow the Ethics Commission to get updates on candidates and elected officials that could impact campaign finance audits.
- Ongoing system and server patches as well as routine system bug fixes were implemented.

Staff also assisted clerks with the management and setup of local special elections in the WisVote system. There have been seven local special elections since the last Staff Update, with twelve more scheduled before the end of the year. Additional special elections may yet be scheduled and will be supported by WisVote staff.

6. 2017 Voter Record Maintenance completion and statistics

In June, the Commission mailed notices to 381,495 registered voters who had not voted in any election after December 31, 2012. To remain active in the statewide voter registration system, the voters had one month to contact their municipal clerk and request continuation of their registration. Voters who either did not respond to the postcard or whose postcard was returned to the municipal clerk as undeliverable had their status changed to inactive in WisVote.

On August 1, 2017, as required by Wis. Stat. §6.50(2r), the Commission published the 2017 voter record maintenance statistics on the agency website.

Below is a summary of the 2017 statistics:

| Voter Maintenance Summary Statistics | | Total |
|---|--|--------------|
| Total number of notices mailed | | 381,495 |
| Number of notices that were returned requesting continuation of registration | | 28,169 |
| Number of notices that were returned as undeliverable | | 153,416 |
| Number of voters mailed a notice who requested cancellation of registration | | 250 |
| Number of voters mailed a notice who clerks determined to be deceased | | 799 |
| Number of voters mailed a notice who clerks deactivated for reasons other than being deceased or at the voter's request | | 7,692 |
| Number of duplicate voter records identified and merged together | | 532 |
| Number of voters who did not respond to the notice | | 189,702 |
| Total number of voters mailed a notice whose status changed from eligible to ineligible | | 351,733 |

The first statewide four-year voter record maintenance was conducted in 2009. Prior to 2009, municipalities performed list maintenance. Approximately 92% of voters mailed a notice had their registration status changed from eligible to ineligible as a result of the 2017 process, which was consistent with previous cycles, and slightly lower than the rate in three of the last four years in which the maintenance process was completed. The chart below is a summary of available statistics for each of the five years that the state has performed the four-year voter record maintenance.

| 2016 Four-Year Voter Maintenance Summary Statistics | 2017 | 2015 | 2013 | 2011 | 2009 |
|---|---------|--------|---------|---------|---------|
| Total number of notices mailed | 381,495 | 97,981 | 299,748 | 240,505 | 313,205 |
| Number of notices that were returned requesting continuation of registration | 28,169 | 10,084 | 16,652 | 14,636 | 14,856 |
| Number of notices that were returned as undeliverable | 153,416 | 25,735 | 105,667 | 52,418 | 181,936 |
| Number of voters mailed a notice who requested cancellation of registration | 250 | 29 | 7 | NA | NA |
| Number of voters mailed a notice who clerks determined to be deceased | 799 | 493 | 278 | NA | NA |
| Number of voters mailed a notice who clerks deactivated for reasons other than being deceased or at the voter's request | 7,692 | NA | NA | NA | NA |
| Number of duplicate voter records identified and merged together | 532 | NA | 560 | NA | NA |
| Number of voters who did not respond to the notice | 189,702 | 62,162 | 177,420 | 173,451 | 116,413 |
| Total number of voters mailed a notice whose status changed from eligible to ineligible | 351,733 | 81,310 | 283,087 | 225,869 | 298,349 |

7. Voter Felon Audit

The Voter Felon Audit is a State required post-election comparison of voters who cast a ballot at an election with the list of persons who were under Department of Corrections (DOC) supervision for a felony conviction at the time the vote was cast. The Voter Felon Audit has a review process of several stages. To summarize the review process, the matches are first reviewed by the Department of Corrections, then by the municipal clerk and finally by Wisconsin Elections Commission staff before referring to county district attorneys for their own investigation. The process provides the Commission the ability to identify any potential voter/felon matches and it also allows the Commission to identify any discrepancies with the matches. It is the final check in identifying potential felon participation in an election, should such activity not be caught through other statutory required processes, such as the felon list check by election officials at the polls.

Updates for the most recent Voter Felon Audits conducted by the Commission are as follows:

The Voter Felon Audit for the November 8, 2016 General Election began on January 26, 2017. As previously reported to the Commission, the initial comparison identified 93 potential matches. After subsequently running the matching process two more times the final comparison identified 111 potential matches. Of the 111 matches, 32 potential matches have been closed because DOC staff or WEC staff determined the individual identified was not a felon at the time of the election, or the voter and the felon identified in the match was not the same person. After DOC, clerks and WEC staff

completed their review, the remaining 79 matches were referred to county district attorney offices between July 14, 2017 and July 19, 2017.

The Voter Felon Audit for the February 21, 2017 Spring Primary Election began on July 25, 2017. The comparison identified 0 potential matches.

The Voter Felon Audit for the April 4, 2017 Spring Election began on July 25, 2017. The comparison identified 4 potential matches. The 4 matches underwent review by DOC, clerks and WEC staff and were referred to the county district attorney offices on August 18, 2017.

Staff is also providing its bi-yearly comprehensive update on the status of the past Voter Felon Audits and District Attorney response information. Attachment A contains statistics regarding the number of initial matches between records of voters and records of felons, as well as the disposition of the cases referred to district attorneys that the Commission has been made aware of. Additional details regarding specific cases are included in the Commission's supplemental materials folder.

8. ERIC List Maintenance Processes

WEC staff has begun working on the ERIC list maintenance project approved by the Commission at the March 14, 2017 meeting and scheduled for the fall of 2017. WEC staff requested lists from ERIC to identify voters who may have moved within Wisconsin and voters who may have moved out of state. WEC received the first lists of movers from ERIC on September 13, 2017. Staff is beginning to work on the notices to be mailed to these voters.

9. Electronic Poll Books

Staff received approval during the June 20th Commission meeting to build an Electronic Poll Book in house. Staff mapped out Election Day processes to be completed within the E-Poll Book software and are currently in the process of paper prototyping these processes for usability purposes. Staff is meeting regularly and gathering feedback from municipal clerks and election inspectors using paper prototypes. Staff plans to gather feedback from local election officials and election inspectors on a larger scale during feedback sessions scheduled for late September through mid-October.

The first E-Poll Book survey was available to clerks from August 23, 2017 to September 4, 2017 and solicited responses from local election officials about preferred E-Poll Book features and interest in utilizing the system after deployment. Responses indicate cost as the largest factor in determining whether a municipality will implement E-Poll Books. Clerk responses also indicate the benefit of importing Election Day data into WisVote, scanning licenses to pre-fill data, and reduced wait times as the most enticing benefits while comfort level of election inspectors with technology remains a concern.

Overall comments from the survey show a trend in the mistaken belief that E-Poll Books will be a mandatory implementation and that they will be connected to the internet. Staff decided to develop an E-Poll Book that will not connect to the internet at this time. Additionally, E-Poll Books are an option for all municipalities and a requirement for none. In addition, survey respondents indicated significant interest in a WEC-coordinated purchase of the hardware that will be used to run the E-Poll

Book software. WEC staff continues to review state procurement regulations and restrictions to determine the feasibility of a bulk hardware purchase on behalf on interested municipalities.

As development of the Commission’s in-house electronic poll book continues, legal questions about the acceptance of an electronic signature in lieu of a traditional wet signature have arisen. Whether an electronic signature can be solicited and accepted occurs in two situations at the polls: 1) the requirement that an elector sign the poll book prior to receiving a ballot, and 2) the requirement that an individual registering to vote completes and signs a voter registration form (EL-131) and signs a supplemental poll list. It is anticipated that these scenarios could be accommodated by using an electronic poll book which allows an individual to meet the signature requirements by applying an electronic signature, by signing a tablet screen, signature pad or similar technology, which is then accepted and stored by electi10. on officials.

10. Elections HelpDesk /Customer Service Center

The Elections HelpDesk staff is supporting over 2,000 active WisVote users, the public, and election officials. The HelpDesk is maintaining the accessibility tablets utilized in polling place surveys along with various training and testing computer systems. Staff is monitoring state enterprise network and data center changes and status, assisting with processing data requests, and processing voter verification postcards. Help Desk staff has been serving on and assisting various project teams including the MyVote 2.0, ongoing WisVote development, ERIC and E-PollBook teams. Staff continues to maintain and update Elections, WisVote clerk contact and Listserve email lists. Staff is processing lists of voters that registered in other states and notifying clerks of the registration cancelation. Staff is coordinating and assisting with upgrade projects such as the Office 2016, Win 10, Office 365, VoIP and the STAR projects initiated by the Department of Administration (DOA) Data Center, and administering Elections Commissions Exchange email system.

Help Desk staff are onboarding new clerk users with credentials for the WisVote system and the WisVote Learning Center as they request access, and also assisting clerks with configuring and installing WisVote on municipal computers. The Help Desk continued to field a wide variety of calls and emails from voters and the public, candidates, political committees, and public officials.

| | <u>Elections Help Desk Call Volume</u> (608-261-2028) | <u>Front Desk Call Volume</u> (608-266-8005) |
|---|--|---|
| June, 2017 | 778 | 268 |
| July, 2017 | 864 | 450 |
| August, 2017 | 512 | 209 |
| Total Calls for Reporting Period | 2,154 | 927 |

9. Communications Report

Between June 1 and August 31, 2017, the Public Information Officer (PIO) has engaged in the following communications activities in furtherance of the Commission’s mission:

Media: The PIO logged 145 media and general public phone calls and 222 media email contacts. There was strong media interest in Wisconsin’s voter registration list and cyber security. The PIO

appeared on Wisconsin Public Television's "Here and Now" public affairs program July 7 to discuss the Presidential Advisory Commission on Election Integrity's request for Wisconsin's voter file. He was also a guest on the "Public Policy with Mary Glass" radio talk show on WXRW-FM in Milwaukee on July 7. The PIO prepared six news releases regarding Four-Year Voter Record Maintenance and the voter file request, and other subjects.

Online: The PIO managed regular updates to the agency website and worked with the agency's webhosting company on security updates and plans to upgrade the agency website. In addition, the PIO has been planning for software upgrades to the main agency website and the Bring It to the Ballot microsite, which will be completed before the end of the year.

Public Records: Working with legal counsel, the PIO has responded to and closed all the Commission's public records requests received between June 1 and August 31, 2017.

Records Management: The PIO worked with Public Records Board staff to prepare three new Records Retention/Disposition Authorization forms (RDA), which were approved at the PRB's meeting on August 28, 2017. These new RDAs will permit staff to dispose of old paper clerk survey forms stored in the office basement, and to archive other types of documents at the State Records Center. Staff is in the midst of a project to review and either dispose of or archive all paper records stored in the basement, after which staff will tackle paper records on the Third Floor.

11. Financial Services Activity

- Fiscal 2018 has been set-up in STAR HCM; STAR Finance and STAR Project Costing modules. Budget Journal entries have been processed for FY2018, including additional chart string coding which will allow us to more effectively track revenues and expenditures.
- Remaining \$201,230.25 WEDCS grant expenditure request from 2010 was received in July. As directed by the U.S. EAC, funds were deposited into to HAVA account.
- The FVAP grant has been fully depleted. We have processed and received the last two FVAP draws:
 - \$113,353.46 received 8/8/2017
 - \$201,211.36 received 8/17/2017 as final draw
- Staff is closing out fiscal 2017 accounting. As of September 18th, 19 of 21 appropriation accounts have been verified and closed. We are working with the State Controller's Office to close remaining appropriations.
- Recently staff discovered transactions erroneously posted to GAB in FY2017. Journals were processed to correct and we are in the process of verifying/closing the 24 appropriations in GAB FY2017.
- Staff is working closely with the State Controller's Office (SCO) to move and correct GAB transactions and balances from FY2016 and prior years. Financial staff from Elections and

Ethics will be meeting with the Controller's office to correct all prior balances, the meeting is slated for after SCOs fiscal closing/financial statement generation activities for the state.

- ES&S was invoiced \$9,044.27 covering period 4/13 – 6/30 for testing and certification of EVS 5.2.2.0 and EVS 5.3.2.0. We will be processing a second bill for the period following 6/30.
- Staff, in conjunction with STAR Project Costing team, has completed a STAR enhancement which will allocate leave time to appropriate projects and grants, proportionate to staff payable time incurred on projects and grants. This application will significantly reduce manual processing and reconciliations of time reporting.
- Utilizing the new allocation methodology, staff has processed the payroll leave re-allocation for FY2017 to properly allocate salaries, fringe benefits and leave expenses between federal and state programs.

12. Procurements

- Staff successfully rolled forward encumbrances from FY2017 Purchase Orders to FY2018.
- All unused FY2017 encumbrances have been liquidated from the appropriation balance in FY2017.

The following Purchase Orders have been processed since the June 2017 Commission meeting:

- \$530,400 in Purchase Orders were written for IT Contractor Services for three full time IT contractors in FY2018.
- \$99,883.50 in a Purchase Order was written for additional licenses to access WisVote.
- \$4,480 in a Purchase Order was written for temporary staff as receptionist.

All referenced purchases were made utilizing mandatory state contracts and in accordance with state procurement policies.

13. Staffing

Agency management continues to work to fulfill staff vacancies. WisVote Trainer Juanita Borton left the WEC on June 26, 2017 to accept a position with the State of Minnesota as a Program Manager. On August 20, 2017, Patrick Brennan transferred to the vacant WisVote Trainer position. Patrick had started with the WEC in July 2016 as a WisVote Specialist.

On July 9, 2017, Jodi Kitts returned to the WEC as a WisVote Specialist. Jodi had worked SVRS/WisVote Specialist at the agency from January 2014 until February of 2017, and since that time had worked as an Equal Opportunity Specialist for the Department of Administration. During

Jodi's previous term at the G.A.B. and WEC she made valuable contributions to the development of WisVote, the training of clerks, and the management of the voter felon audit and ERIC launch.

Effective August 7, 2017, Richard Rydecki was promoted to the position of Elections Supervisor and is now supervising the Elections Administration team. Richard has been with the agency since 2011 and has lead our accessibility initiatives as well as our voting equipment testing and auditing programs, among other responsibilities.

Sarah Statz and Thomas Innes joined the WEC staff as WisVote Specialists in August and September, respectively. Sarah had worked in the Sauk County Clerk's office and Tom had worked in various capacities for the Village of McFarland, including with the Clerk's office. Both Sarah and Tom have experience in elections administration and working in the WisVote system, and bring valuable perspectives of local election officials.

Elections Specialist Jennifer Webb also left the agency September 15, 2017 to accept a position as a Program and Policy Analyst at the Department of Administration. Jennifer had worked at the agency since November 2014 and was an integral part of creating WisVote training materials and voting equipment programs, in addition to many other election administration tasks. Office Operations Associates Jennifer Johnson and Marni Martinson also resigned effective August 4, 2017.

The WEC is also losing one of our excellent developers on the agency's IT team, Mahadeo Matre, who has accepted a position with Promega Corp. Mahadeo has been an important part of many major IT projects including the complete modernization of the voter registration system resulting in the launch of WisVote as well as the creation of the original MyVote Wisconsin website and its updated version which was launched in 2016. His last day with the WEC will be September 29.

Agency management is currently conducting recruitments to fill two Office Operations Associate positions, one WisVote Trainer position, five Election Administration Specialists, and one Legal Associate position, with the goal of filling all remaining vacancies this fall.

Finally, Commissioner Steve King submitted his resignation from the Wisconsin Elections Commission on August 21, 2017 due to his appointment to serve as the U.S. Ambassador to the Czech Republic. Commissioner King's appointment has passed the stage of Senate Committee hearings and recommendation, and is awaiting confirmation by the full Senate. WEC staff appreciate Commissioner King's service in helping the agency establish a solid foundation and strong start and wish him well in his new endeavor.

14. Meetings and Presentations

On June 21, 2017, Administrator Haas testified before the U.S. Senate Intelligence Committee on behalf of the National Association of State Election Directors. Committee members were interested in lessons that states learned regarding election security during the 2016 election cycle and changes that states would be contemplating for future elections. The written testimony submitted by Administrator Haas is available at this link: <http://elections.wi.gov/>. In conjunction with the Senate Committee hearing, Administrator Haas and Public Information Officer Reid Magney fielded a variety of media requests from state and national media outlets.

Agency staff has participated in additional meetings with other state and federal agencies and organizations related to election security and contingency planning and preparations, including the National Association of State Election Directors, the U.S. Department of Homeland Security, Wisconsin Division of Enterprise Technology and the Department of Military Affairs. Federal, state and local officials have reached an agreement regarding the makeup of the Coordinating Council which was established pursuant to the designation of election systems as critical infrastructure by the Department of Homeland Security. On June 28, 2017, Administrator Haas and Administrator Meagan Wolfe also received a tour of the state's new emergency operations command center.

On June 22, 2017, Administrator Haas spoke to a group of municipal clerks in Stevens Point at a League of Wisconsin Municipalities conference regarding several topics, including election security and electronic poll books.

On June 23, 2017, representatives of Clear Ballot, a voting equipment vendor, provided staff with a demonstration regarding its voting system which is currently undergoing testing and certification by the U.S. Election Assistance Commission, and which it intends to submit for approval in Wisconsin.

On July 21, 2017, staff received a demonstration of an electronic poll book system used in Iowa developed by Cerro Gordo County. Two representatives from Cerro Gordo County traveled from Iowa to show how the system works and answer questions from WEC staff.

Administrator Haas appeared on a taped interview on the Capitol City Sunday program on July 23, 2017. The interview pertained to the request of the Presidential Advisory Commission on Election Integrity for Wisconsin voter registration data and the agency's response to the request.

From July 25 – 27, 2017, agency staff hosted a representative of ESRI, a software company from which we recently purchased GIS mapping software. The representative worked with GIS Specialist Greg Grube and other agency staff to help set up the mapping software with Wisconsin voter and district data, and demonstrated ways in which the software can be used. The software will allow the WEC to combine voter and election district data in new ways, and to present it in new formats that will help agency staff, clerks, and voters.

On July 26, 2017, agency staff met with Chris Ott, the new Executive Director of the ACLU of Wisconsin, to provide background regarding the Commission, voter outreach efforts, and Wisconsin voter registration and voting laws.

On August 9, 2017, several staff members met with Karen McKim to discuss observations regarding the 2016 voting equipment audit as well as observations of the presidential recount and the canvass process.

On August 22 – 25, 2017, Administrator Haas attended the summer meeting of the National Association of State Election Directors (NASSED) along with related meetings, in Garden Grove, California. Administrator Haas attended the Executive Board meetings for both NASSED and the Electronic Registration Information Center (ERIC). He acted as moderator for one of the NASSED

meeting sessions featuring election bloggers and academics, and also presented a legislative update at a separate session in his role as legislative liaison for NASED.

Assistant Administrator Meagan Wolfe attended a conference of the Election Center as well as a meeting of the Voting Information Project, also in Garden Grove, California, from August 19 – 23, 2017. She also attended the ERIC Executive Board meeting as well as a portion of the NASED summer meeting.

On August 30, 2017, agency staff hosted several contributors of Ballotpedia, a website that follows election news nationwide and is based in Middleton. WEC staff provided an overview of the Elections Commission and current projects, and also invited Ballotpedia representatives to attend Commission meetings.

On August 28, 2017, WisVote IT Lead Sarah Whitt attended a “Tech Talk” round-table organized by the National Association of Secretaries of State regarding cyber security. The following day, she attended a workshop hosted by the National Institutes of Standards and Technology for members of its Interoperability working group to model election business processes.

15. Delegated Authority

Administrator Haas took the following actions pursuant to the Commission’s delegation of authority:

- A. Approved the purchase of additional WisVote licenses for municipal and county clerk offices to accommodate WisVote users throughout the state. An additional 510 licenses were purchased at a total cost of \$99,883.50. Combined with previous purchases, agency staff expects that sufficient licenses are now available to local election officials to prepare for and conduct elections for the foreseeable future and to ensure compliance with Microsoft’s licensing requirements.
- B. Authorized payment of an annual fee in the amount of \$10,000 to Smarty Streets for its address validation service which is incorporated into the WisVote system.
- C. Based upon an RFP process, approved entering into contracts to update the agency’s main website and the Bring It to the Ballot website by migrating data from Drupal 6 software to Drupal 8. Staff Counsel is drafting contract language with Cruiskeen Consulting Inc. of Menomonie, Wisconsin to update the agency’s main website at a cost of \$7,950, and with Herkimer Media of Madison, Wisconsin to update the Bring It website at a cost of \$4,180.

16. Voting Equipment Testing and Certification Program

As part of the approval process for ES&S voting system EVS 5.2.2.0 and 5.3.2.0, staff worked with the vendor to revise the crossover vote warning screens on the DS200 optical scan tabulator and the instructions that appear on the ExpressVote universal voting device for a Partisan Primary. The crossover vote warning screen on the DS200 has been updated to provide information to the voter that they have voted in more than one party’s primary and that no votes for partisan office will count

if they cast their ballot as currently marked. Instructions have been added to several screens on the ExpressVote that are similar to the instructions provided on Partisan Primary paper ballots. The header on each contest screen will now include a party designation so that a voter will know which party's primary they are currently viewing.

A protocol for testing and evaluating the ExpressLink was developed and applied to this component of the voting system. Ten different ballot styles were programmed for a General Election and the ExpressLink was tested to ensure that the activation barcodes that printed on the ballot card activated the correct ballot style. Staff voted 10 ballots of each ballot style on the ExpressVote and tabulated those ballots using the DS200. The results tape was then reviewed to make sure the DS200 accurately tabulated votes for each different ballot style. The results of the test campaign formed the foundation of the staff recommendation to certify the ExpressVote component for use in Wisconsin.

| ELECTION | Number of voters matched with felons per Election | Number of matches referred to district attorneys | Number of referrals closed by DA without charges | Number of referrals resulting in a conviction | Number of remaining referrals with current charges filed status | Number of matches or cases referred remaining open or under investigation | Number of matches closed | All matches have reached final disposition | Total number of voters | Referrals as a percentage of total number of voters |
|--|---|--|--|---|---|---|--------------------------|--|------------------------|---|
| 4/4/2017 Spring Election | 4 | 4 | 0 | 0 | 0 | 4 | 0 | | 747,671 | 0.000535% |
| 2/21/17 Spring Primary | 0 | 0 | 0 | 0 | 0 | 0 | 0 | yes | 375,216 | 0% |
| 11/8/2016 General Election | 111 | 79 | 5 | 2 | 1 | 71 | 39 | | 3,004,051 | 0.002630% |
| 8/9/2016 Partisan Primary | 4 | 2 | 1 | 0 | 0 | 1 | 3 | | 645,619 | 0.000310% |
| 4/5/2016 Spring Election and Presidential Pref. | 33 | 24 | 4 | 1 | 2 | 17 | 16 | | 2,130,221 | 0.001127% |
| 2/16/2016 Spring Primary | 7 | 3 | 1 | 0 | 0 | 2 | 5 | | 578,083 | 0.000519% |
| 9/29/15 Special Election Assembly 99 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | yes | 1,591 | 0% |
| 9/1/2015 Special Primary Assembly 99 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | yes | 3,422 | 0% |
| 7/21/15 Special Election State Senate 33 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | yes | 10,012 | 0% |
| 6/23/15 Special Primary State Senate 33 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | yes | 11,449 | 0% |
| 4/7/2015 Spring Election | 9 | 6 | 1 | 0 | 0 | 5 | 4 | | 858,683 | 0.000699% |
| 2/17/15 Spring Primary Election | 6 | 3 | 0 | 0 | 0 | 3 | 3 | | 32,119 | 0.009340% |
| 11/4/2014 General Election | 229 | 43 | 12 | 11 | 0 | 20 | 209 | | 2,420,811 | 0.001776% |
| 8/12/2014 Partisan Primary | 10 | 1 | 0 | 1 | 0 | 0 | 10 | yes | 638,677 | 0.000157% |
| 4/1/2014 Spring Election | 8 | 5 | 2 | 2 | 0 | 1 | 7 | | 506,566 | 0.000987% |
| 2/18/2014 Spring Primary | 0 | 0 | 0 | 0 | 0 | 0 | 0 | yes | 4,310 | 0.000000% |
| 4/2/2013 Spring Election | 8 | 3 | 2 | 1 | 0 | 0 | 8 | yes | 889,008 | 0.000337% |
| 2/19/2013 Spring Primary | 1 | 0 | 0 | 0 | 0 | 0 | 1 | yes | 374,631 | 0.000000% |
| 11/6/2012 Presidential and General Election | 89 | 33 | 15 | 8 | 1 | 9 | 80 | | 3,085,450 | 0.001070% |
| 8/14/2012 Partisan Primary | 3 | 2 | 1 | 0 | 0 | 1 | 2 | | 851,572 | 0.000235% |
| 6/5/2012 Recall Election | 53 | 22 | 9 | 4 | 1 | 8 | 45 | | 2,516,371 | 0.000874% |
| 5/8/2012 Recall Primary Election | 13 | 3 | 1 | 2 | 0 | 0 | 13 | yes | 1,360,750 | 0.000220% |
| 4/3/2012 Presidential Preference Spring Election | 13 | 7 | 5 | 1 | 0 | 1 | 12 | | 1,144,351 | 0.000612% |
| 2/21/2012 Spring Primary | 3 | 2 | 1 | 0 | 0 | 0 | 3 | yes | 139,343 | 0.001435% |
| 4/5/2011 Spring Election | 16 | 7 | 3 | 1 | 0 | 3 | 13 | | 1,524,528 | 0.000459% |
| 2/15/2011 Spring Primary | 5 | 2 | 2 | 0 | 0 | 0 | 5 | yes | 444,766 | 0.000450% |
| 11/2/2010 General Election | 60 | 21 | 9 | 5 | 0 | 7 | 53 | | 2,185,017 | 0.000961% |
| 9/14/2010 Partisan Primary | 8 | 3 | 2 | 0 | 0 | 1 | 7 | | 930,511 | 0.000322% |
| 4/6/2010 Spring Election | 6 | 2 | 1 | 1 | 0 | 0 | 6 | yes | 574,130 | 0.000348% |
| 2/16/2010 Spring Primary | 1 | 0 | 0 | 0 | 0 | 0 | 1 | yes | 152,532 | 0% |
| Total for all 26 elections | 700 | 277 | 77 | 40 | 5 | 154 | 545 | 12 | | |

WISCONSIN ELECTIONS COMMISSION

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ADMINISTRATOR MICHAEL HAAS

DATE: For the September 26, 2017 Commission Meeting

TO: Members, Wisconsin Elections Commission

FROM: Michael Haas
Administrator

Prepared by:
Sarah Whitt, WisVote IT Lead
Jodi Kitts, WisVote Specialist

SUBJECT: **Staff Update Item 8:** Electronic Registration Information Center (ERIC) List Maintenance Processes

Based on previous Commission guidance at the March 14, 2017 Commission meeting, staff has been exploring ways to reduce the number of undeliverable mailings that result from ERIC list maintenance. Specifically, in discussing that the postcard mailings to voters who have moved would be sent to the voter's current registration address rather than the potential new address provided by ERIC, the Commission directed staff to consider sending a second mailing to the voter's new address if the original postcard was returned undeliverable. The Commission indicated that it wished to have a second postcard sent if it was not cost prohibitive, without establishing a specific cost which it considered to be acceptable.

After discussions with the Department of Administration Publishing and Distribution Center (DOA), staff learned that mail forwarding service is an option for this type of mailing through the United States Postal Service (USPS). This service is available at no additional cost and would allow the ERIC list maintenance postcards to be forwarded to a new address, if one was provided to USPS by the voter. The statutory process outlined in Wis. Stat. § 6.50(3) that is being used for this mailing does not prohibit such forwarding. Therefore, staff plans to use the USPS forwarding service for these postcards unless the Commission objects to such use.

Undeliverable postcards that had been forwarded to a new address will still be returned to municipal clerks' offices which will record that event in WisVote. Based upon that information, staff still plans to explore sending a second mailing to in-state movers whose list maintenance card is returned as undeliverable, providing information regarding voter registration options.

Staff will not be able to determine the cost of the second mailing until it is known how many postcards are returned as undeliverable. Staff estimated the number of list maintenance mailings as approximately 389,300. As an example of the number of undeliverable postcards that could be returned as undeliverable, the 2017 Four-Year Maintenance mailing resulted in a 40% undeliverable rate. If that same undeliverable rate applies to the list maintenance mailing, the cost for the second mailing would be approximately \$47,000. The Commission may provide any feedback as to whether it considers this figure to be cost prohibitive.

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MARK L. THOMSEN, CHAIR

ADMINISTRATOR MICHAEL HAAS

DATE: September 25, 2017

TO: Members of the Wisconsin Elections Commission

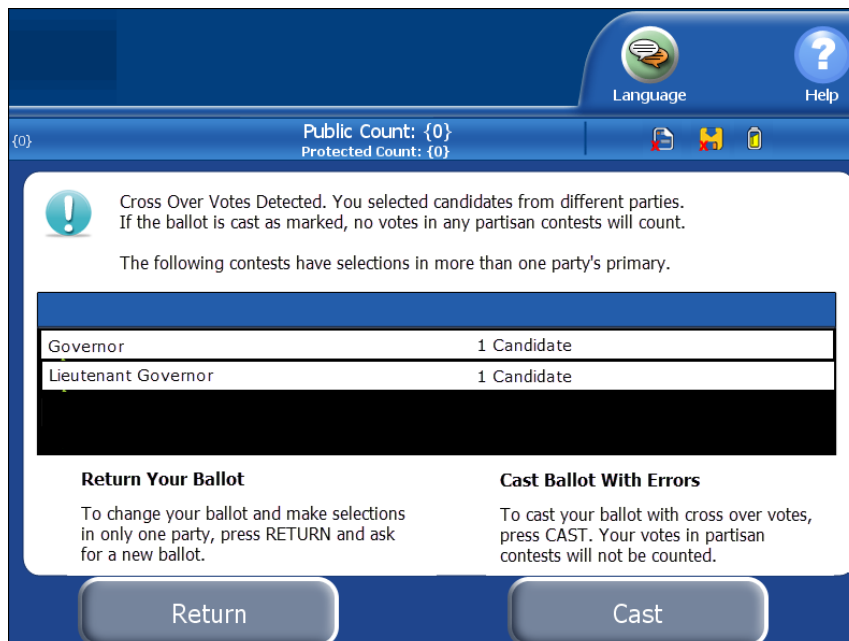
FROM: Richard Rydecki
Elections Supervisor

SUBJECT: Screen Revisions for EVS 5.2.2.0 and 5.3.2.0 and ExpressLink Testing

The Wisconsin Elections Commission (WEC) approved Elections Systems and Software (ES&S) voting system EVS 5.2.2.0 and 5.3.2.0 for use in Wisconsin at its June 20, 2017 meeting. The approval was contingent on the revision of several voter notification and instruction screens on two pieces of voting equipment included in this system. The Commission also instructed WEC staff to develop a protocol for the testing and certification of the ExpressLink component that was not included in the original certification, and to ensure that the ExpressLink component satisfied the testing requirements. This memorandum outlines staff's follow-up tasks regarding the screen revision and ExpressLink testing efforts and final approval of the equipment.

DS200 Screen Revisions

WEC staff worked with representatives from ES&S to revise the information presented to the voter on the DS200 crossover notification screen. Staff provided revised language to the vendor which was incorporated into the revised screen. Staff had the opportunity to test and review the screen on the DS200 when ES&S visited the WEC office on August 30, 2017. An image of the revised screen is provided below:



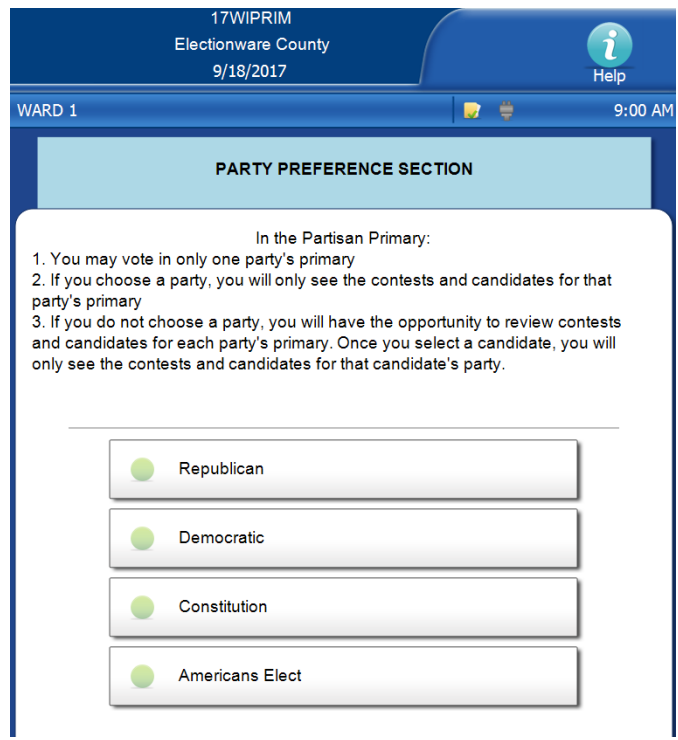
As shown above, the crossover vote notification screen language has been altered to provide more instruction to the voter. The following table compares the previous language with the revised versions of the screen:

| Crossover Notification Screen | Revised Language | Previous Language |
|-------------------------------|---|--|
| Top instructions | Cross Over Votes Detected. You selected candidates from different parties. If the ballot is cast as marked, no votes in any partisan contests will count. | Cross Over Voted Contests. The following contests have cross over selections: |
| Above the 'Cast' button | Cast Ballot With Errors To cast your ballot with cross over votes, press CAST. Your votes in partisan contests will not be counted. | Cast Your Ballot To ignore this message and cast your ballot press CAST. |

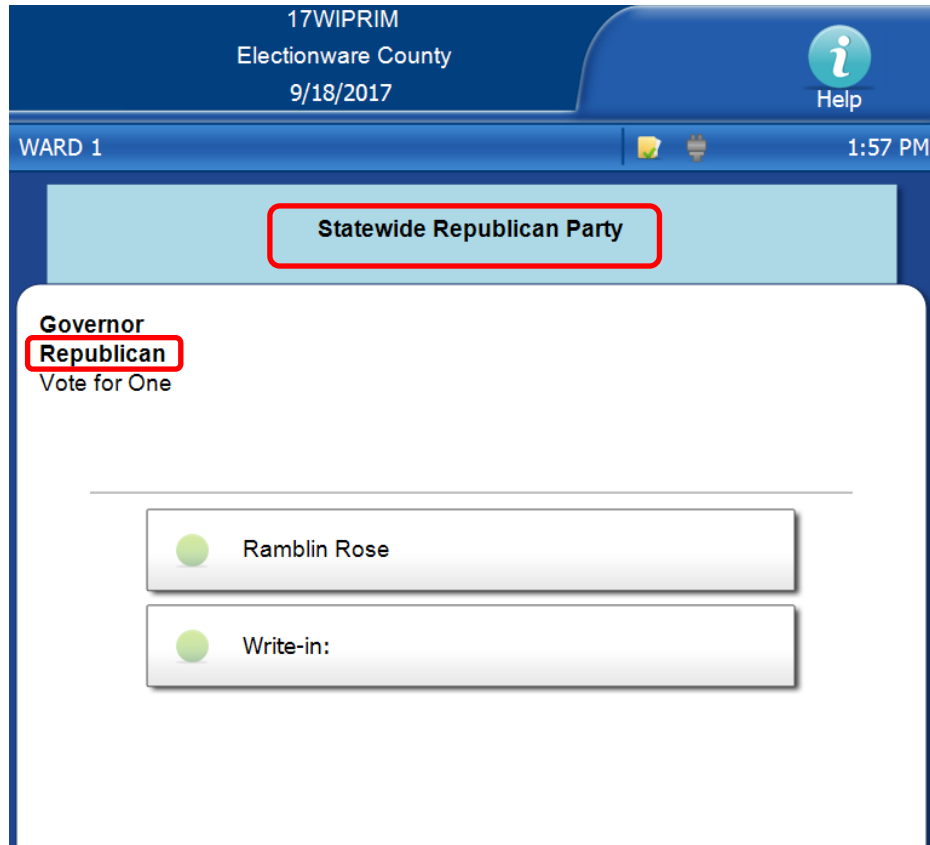
ExpressVote Screen Revisions

Several screens for the ExpressVote universal voting device were also revised as part of this process. The revisions pertain to the programming for the Partisan Primary and were designed to provide clarity for the voter with instructions that more closely mirror the instructions on the optical scan ballot.

Instructions similar to those found on the optical scan ballot were added to the party preference selection screen so that a voter would understand the impact of making, or not making, a selection on this screen:

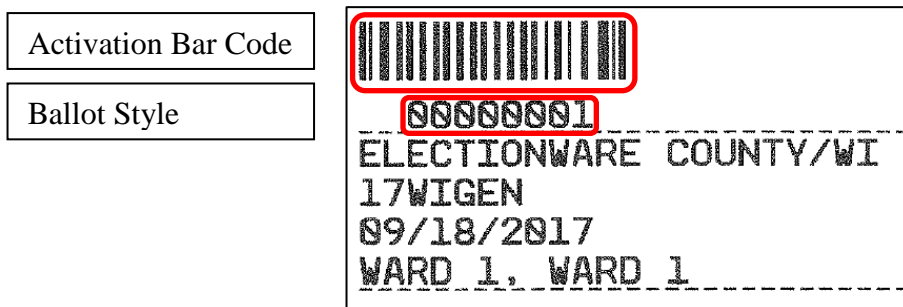


The header on the top of each contest page has been revised to include the name of the political party to increase voter awareness of which section of the ballot they are viewing. In addition, the party name has been added to the line under the office type for each contest screen. These additions have been outlined in red on the screen image provided below:



ExpressLink Testing

A protocol for testing and evaluating the ExpressLink was developed and applied to this component of the voting system. This protocol can be found in the appendix of this document. Ten different ballot styles were programmed for a General Election and the ExpressLink was tested to ensure that the activation barcodes that printed on the ballot card activated the correct ballot style. An example of the activation bar code can be found on the image below.



A representative from the vendor demonstrated the functionality of the ExpressLink software program and provided staff the opportunity to review the programming data used to identify and

print the activation bar codes on blank ballot cards. Staff then used the ExpressLink printer to print activation bar codes on ten blank ballot cards for each of the ten ballot styles programmed for the test election, for a total of 100 test ballots.

Staff then voted ten ballots of each ballot style on the ExpressVote and tabulated those ballots using the DS200. The results tape was then reviewed to make sure the DS200 accurately tabulated votes for each different ballot style. The results of the test campaign confirmed that the ExpressVote component satisfied the requirements of the testing protocol, so that it can be approved for use in Wisconsin. A communication will be sent to local election officials notifying them that the ExpressLink is certified for use in Wisconsin and available for purchase.

Appendix: ExpressLink Testing and Certification Protocol

DATE: July 28, 2017

SUBJECT: WEC Protocol for Approving the Elections Systems and Software ExpressLink Component

Background

As part of an application submitted on March 17, 2017, Elections Systems and Software (ES&S) requested the Wisconsin Elections Commission (WEC) to certify the ExpressLink component as part of the EVS 5.2.2.0 and EVS 5.3.2.0 systems. ExpressLink was outside of the scope of certification that was granted by the U.S. Election Assistance Commission (EAC) for those systems. The WEC staff review of the application materials for EVS 5.2.2.0 and EVS 5.3.2.0 determined that this component was part of the voting system and should be subject to testing and certification, contrary to the EAC review. This component was not included in the voting equipment system that was certified for use in Wisconsin by the WEC on June 20, 2017. Staff was instructed, however, to create a protocol to test and certify the ExpressLink component outside of the EAC process, and to complete approval of the ExpressLink component if it satisfied the testing requirements. Wis. Stat. § 5.91 provides that the WEC may approve any such voting device, automatic tabulating equipment, or related equipment or materials regardless of whether any such system is approved by the EAC and this protocol outlines the procedures for reviewing the ExpressLink consistent with this statutory authority.

Component Information

The ExpressLink is designed for use by election officials in conjunction with the ExpressVote Universal Voting System that was approved as part of the EVS 5.2.2.0 and EVS 5.3.2.0 systems. This voting system component consists of both the ExpressLink software application and one piece of hardware, the ExpressVote Activation Card Printer. ExpressLink is a Windows application housed on a laptop computer that uses contest and candidate information imported from Election Ware election management system to determine the appropriate ballot style for a voter. The system then prints the activation barcode using the ExpressVote Activation Card Printer. The ExpressVote Activation Card Printer is a small, thermal, on demand printer used to print the ballot activation barcode on the ExpressVote ballot card. A voter would then use the ballot card that contains the barcode printed via the ExpressLink to activate the correct ballot style on the ExpressVote Universal Voting System.

Review and Testing Process

1. WEC staff shall complete a review of supporting documentation provided by the vendor that details the functionality of the ExpressLink before functional testing is conducted. The manufacturer shall provide both a full and a redacted set of the following documentation as part of the process to review the component, if applicable:
 - a. Complete specifications for all hardware, firmware and software;
 - b. All technical manuals and documentation related to the component;
 - c. Complete instruction materials necessary for the operation of the equipment and a description of training available to users and purchasers;

- d. Reports from voting system test laboratories accredited by the US Election Assistance Commission (EAC) demonstrating that the system component functions as described by the vendor in the application materials.
 - e. A list of all the states and municipalities in which the system has been approved for use and how long the ExpressLink component has been in use in those jurisdictions.
 - f. If any portion of the materials provided to the Wisconsin Elections Commission is copyrighted, trademarked, or otherwise trade secret, the application shall include written assertion of any protected interests and redacted versions of the application and all materials consistent with any properly asserted protected interests. Simply identifying the individual item as “proprietary” is not sufficient. Any assertion of proprietary rights must include detailed specifics of each item protected, the factual and legal basis for protection, whether there is anything public within the protected item, and if there is, how to extract it along with a statement whether there are costs to do so.
 - g. If applicable, provide the WEC with a list of software components, pursuant to Wis. Stat. § 5.905, that “record and tally the votes cast with this system.” For purposes of this condition, “software components” include vote-counting source code, table structures, modules, program narratives and other human-readable computer instructions used to count votes with this system.
2. The vendor shall submit the component to the WEC for functional testing. The hardware and software submitted for certification testing shall be equivalent, in form and function, to the actual production versions of the component.
- a. An operational status check shall be conducted on the ExpressLink to determine if it functions as described by the vendor using the following procedures:
 - i. Arrange the system for normal operation and power on the system.
 - ii. Perform any servicing, and make any adjustments necessary, to achieve operational status.
 - iii. Operate the equipment in all modes, demonstrating all functions and features that would be used during election operations.
 - iv. Commission staff shall verify that all system functions have been correctly executed.
 - b. Compatibility of the voting system software components or subsystems with one another, and with other components of the voting system environment, shall be determined through functional tests integrating the voting system software with the remainder of the system and to determine if the software meets the vendor’s design specifications.
 - i. The election definition file that is created in ElectionWare for use with the ExpressLink shall be verified to determine if the data contained in that file is accurate.

- ii. The ExpressLink will be tested in a mock election to determine if it can print barcodes on ExpressVote ballot cards that access the correct ballot styles.
- iii. The ExpressLink will be tested to determine if it can accommodate multiple ballot styles for an election on a single ExpressVote machine.

Conditions of Approval

As additional conditions of approval, ES&S shall:

1. Reimburse the WEC for all costs associated with the testing campaign for the ExpressLink, where applicable, pursuant to state processes.
2. Agree to any additional conditions for approval and use that may be identified after the review and testing process is complete.

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ADMINISTRATOR MICHAEL HAAS

DATE: For the November 20, 2017 Commission Meeting

TO: Members, Wisconsin Elections Commission

FROM: Michael Haas
Administrator

SUBJECT: 2018 Commission Meeting Schedule

The Elections Commission has broad discretion in determining the time and place of its meetings. The Commission's enabling legislation created a directive in Wis. Stat. § 15.06(5) which states as follows:

(5) FREQUENCY OF MEETINGS; PLACE. Every commission shall meet on the call of the chairperson or a majority of its members. Every commission shall maintain its offices in Madison, but may meet or hold hearings at such other locations as will best serve the citizens of this state. The elections commission and the ethics commission shall meet in person at least 4 times each year and shall conduct meetings in accordance with accepted parliamentary procedure.

The Commission must meet in person at least four times each calendar year. In the opinion of staff, an in-person meeting does not preclude individual Commissioners from appearing by telephone if necessary, provided that some Commissioner are present in person and the public is able to also attend in person.

Attached is a proposed meeting schedule for the 2018 calendar year. It lists proposed meeting dates in bold type. The list includes five suggested meetings, including one teleconference, which are placed in the context of other events on the agency calendar. There is flexibility to schedule special meetings if required.

Proposed Motion: The Elections Commission adopts the attached proposed meeting schedule for the 2018 calendar year.

Wisconsin Elections Commission Proposed 2018 Meeting Dates

Five Proposed Meeting Dates
(1 Teleconference Meeting)

Tuesday, January 9, 2018 (Teleconference)
Tuesday, March 13, 2018
Monday, June 11, 2018
Tuesday, September 25, 2018
Tuesday, December 11, 2018

January 2018

Tuesday, January 2, 2018 – Nomination Paper Filing Deadline for Spring Election

Friday, January 5, 2018 – Deadline for Filing Ballot Access Challenges for Spring Elections

Monday, January 8, 2018 – Deadline for Responses to Ballot Access Challenges

**Tuesday, January 9, 2018 - Proposed Wisconsin Elections Commission
Teleconference Meeting**

Tuesday, January 9, 2018 – Deadline for certifying candidates for Spring Primary ballot

February 2018

***Tuesday, February 20, 2018* – Spring Primary**

March 2018

Tuesday, March 6, 2018 – Deadline for Certifying Spring Primary Results

Tuesday, March 13, 2018 - Proposed Wisconsin Elections Commission Meeting

April 2018

***Tuesday, April 3, 2018* – Spring Election**

May 2018

Tuesday, May 15, 2018 – Deadline for Certifying Spring Election Results

June 2018

Friday, June 1, 2018 – Deadline for Filing Nomination Papers for General Election

Monday, June 4, 2018 – Deadline for Filing Challenges to Nomination Papers

Thursday, June 7, 2018 – Deadline for Filing Responses to Ballot Access Challenges

Monday, June 11, 2018 - Proposed Wisconsin Elections Commission Meeting

Monday, June 11, 2018 - Deadline for certifying candidates for Partisan Primary ballot

July 2018

August 2018

Tuesday, August 14, 2018 – Partisan Primary

September 2018

Wednesday, September 5, 2018 – Deadline for Certifying Partisan Primary Results

September 25, 2018 – Proposed Wisconsin Elections Commission Meeting

October 2018

November 2018

Tuesday, November 6, 2018 – General Election

December 2018

Saturday, December 1, 2018 – First Day to Circulate Nomination Papers for 2019 Spring Election

Monday, December 3, 2018 –Deadline for Certifying General Election Results

Tuesday, December 11, 2018 Proposed Wisconsin Elections Commission Meeting