

**Maryland State Board of Elections
Volume 1 – Technical Proposal**



Grant Information:

Catalog of Federal Domestic Assistance Number: 12.219

BAA number: H98210-13-BAA-0001

Title of Proposal: Single Point of Contact for Maryland's UOCAVA Voters

Applicant Information:

Applicant: Maryland State Board of Elections
Linda Lamone, State Administrator

Administrative contact: Nikki Baines Charlson
Election Reform & Management Director
Maryland State Board of Elections
P.O. Box 6486
Annapolis, Maryland 21401-0486
Office: 410.269.2843
Fax: 410.974.2019
Email: nikki.charlson@maryland.gov

Technical contact: Natasha Walker
Webmaster
Maryland State Board of Elections
P.O. Box 6486
Annapolis, Maryland 21401-0486
Office: 410.269.2858
Fax: 410.974.2019
Email: natasha.walker@maryland.gov

Contractors and Sub-Recipients Information:

Software Development Consultant: The Canton Group

Proposed Period of Performance: Date of Award – July 2017

Proprietary Information: SBE designates as proprietary three pages in the appendix to the *Volume 2 – Budget Proposal*. The pages with proprietary information are pages 16 and 18 (Appendix D) and 19 (Appendix E) of Volume 2.

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1 Technical Approach and Justification

1.1 Executive Summary

Over the years, the State of Maryland has implemented measures – including many recommended by the Federal Voting Assistance Program (FVAP) – that have made voting more accessible for Maryland's uniformed and overseas voters (UOCAVA voters). With funds from the FVAP's Effective Absentee Systems for Elections 2.0 Grants, the Maryland State Board of Elections (SBE) will continue these efforts. SBE proposes to improve the participation and voting experience of UOCAVA voters by creating a single point of contact for UOCAVA voters. This effort will impact four critical parts of the voting process – voter information, registering to vote, requesting a ballot, and voting the ballot.

SBE will serve as the State of Maryland's single point of contact and will:

1. Help voters find the information they need to participate in the electoral process
2. Guide voters through the process to register to vote and request an absentee ballot
3. Transmit absentee ballots to UOCAVA voters
4. Receive voted ballots from UOCAVA voters

SBE will collect data to measure whether a single point of contact improves the quality of the forms submitted by UOCAVA voters, data processing, and the return and acceptance rates for voted ballots from UOCAVA voters. SBE will review post-election surveys to assess whether voter satisfaction with the voting process changes after the implementation of a single point of contact.

1.2 Goals and Objectives

SBE proposes to create and implement a single point of contact for the estimated 83,000 service members and their dependents and an unknown number of overseas civilians who consider Maryland their residence. SBE's proposed "one stop shop" will provide UOCAVA voters with uniform and complete information about the voting process and will ensure that all UOCAVA voters – regardless of their county of registration – have access to the same information and services.

Currently, SBE and the 24 local boards of elections ("local boards") provide information and voter services to UOCAVA voters. SBE serves as the point of contact for some services, and the local boards serve as the point of contact for other services. This proposal makes SBE the point of contact for all services, although SBE and the local boards will share administrative tasks associated with the absentee voting process.

Although the State of Maryland does not have an overwhelming number of local jurisdictions when compared with other states, SBE's experience with UOCAVA voters mirrors that of States with many more local jurisdictions. UOCAVA voters may be uncertain about their county of record or the county where they last resided and are unclear about where to send their registration and ballot request forms. There is the confusion over the similarly named Baltimore City and Baltimore County, two separate local jurisdictions in Maryland, and the confusion is compounded by the United States Postal Service assigning "Baltimore" as the city for many addresses in Baltimore County.

The proposed personnel expenses are the only significant expenses that will continue after the term of the grant. The proposed budget includes funds for personnel through the 2016 elections. After the grant period, SBE plans to request State funding to continue these positions. SBE has been successful in hiring temporary staff during peak election periods and expects that ability to continue after the grant term.

SBE's proposal gives FVAP the opportunity to evaluate the success of a single point of contact and recommend best practices from Maryland to jurisdictions that cannot currently implement a single point of contact. As outlined below, SBE's proposal is primarily one of changed business processes, which can be easily reviewed and altered to accommodate other jurisdictions' processes. The proposed technical solutions are generally necessary to support the business process.

1.2.1 Voter Information

SBE and the 24 local boards currently provide voter information to UOCAVA voters. SBE's website and the websites of the local boards include information about registering to vote and requesting an absentee ballot, and SBE and one local board provide a voter look-up website where voters can find out if they are registered to vote and their current registration information and election districts.

SBE is in the process of redesigning its website, and as part of this redesign, SBE will make the link to the "Military and Overseas Voters" section of its website more prominent. The link is currently on SBE's homepage but is located in a side navigation bar. It will be moved to a more visible location to make it easier for UOCAVA voters to find information about registering to vote and requesting an absentee ballot in Maryland.

Each of the 24 local boards has its own website, and all but four of the local boards' websites are hosted by the local government. A recent review of the local boards' websites shows that many of these websites do not currently provide a link for UOCAVA voters or reference existing resources for military and overseas voters or SBE's voter look-up website. SBE will work with the local boards to create a link from their home pages to SBE's "Military and Overseas Voters" webpage. This will ensure that a UOCAVA voter who visits his or her county's website will be directed to SBE's website and receive the same information as all UOCAVA voters. Linking to SBE's website also streamlines the process when information is updated. Only one website needs to be updated, SBE is assured that there is consistent information, and it is seamless for the local boards.

SBE's voter look-up provides voters with contact information¹ for their local board. SBE will alter the voter look-up website to display SBE's contact information. This change, however, requires a change to the statewide voter registration system. In the system, a voter is designated as an UOCAVA voter in the absentee module of the system, not the voter registration module. To implement this proposal, SBE will need to capture the UOCAVA designation in the voter registration module, and this enhancement will be absorbed in the current development process for the 2016 elections. This enhancement will be implemented using existing funds and will be part of the normal release cycle and in place for the 2016 elections. Accordingly, funding for this change will not be charged to the grant. SBE believes that a temporary solution can be identified to provide this information for the 2014 elections until the system enhancement is in place.

One disadvantage that UOCAVA voters face is the inability to obtain information about candidates and ballot questions. In response, SBE proposes to create a web-based portal that includes for each candidate or question on the ballot:

1. Links to websites and social media platforms used by the candidate or a ballot question committee
2. Campaign finance information related to the candidate or question on the ballot
3. Links to other entities that provide election and candidate-related information

SBE will develop and implement this portal using existing, in-house technical expertise and add a field in the candidate module of the statewide voter registration database to capture the necessary data. This module is currently under development, and these fields can be easily added. SBE will apply findings from prior usability and accessibility studies to ensure that the portal meets usability and accessibility standards. The portal will be available for use in the 2016 Presidential Election.

1.2.2 Voter Registration & Absentee Ballot Request

There are two ways that a UOCAVA voter can register to vote and request an absentee ballot.

1. A voter can complete and submit a paper form (preferably the Federal Post Card Application (FPCA)). If the voter completes the FPCA, the voter is instructed to transmit the completed FPCA to his or her local board. Contact information for the local boards is provided in the FVAP's *Voting Assistance Guide*, on SBE's and the local boards' websites as well as the FVAP's and Overseas Vote Foundation's websites. If SBE receives a completed FPCA, it forwards the FPCA to the appropriate local board for processing.

¹ The website provides a voter with his or her local board's physical and mailing address, phone number, email address, and website.

2. A voter can register to vote and request an absentee ballot using SBE's online voter registration and absentee ballot request system² ("online voter registration system"). While online transactions are submitted to SBE, SBE automatically separates the transactions by county and forwards the electronic information to the appropriate local board for processing.

SBE proposes that all UOCAVA registrations and absentee ballot requests be submitted to and processed by SBE. The central processing of these requests improves the efficiency of the process and improves data quality. Currently, SBE regularly audits the local boards' data entry and recommends that all UOCAVA voter registration and ballot request transactions be handled by specially trained local board staff members. These activities have improved the quality of the data, but a centralized processing center would make further improvements.

SBE can process voter registration and absentee requests for all 24 counties, but it is currently a cumbersome and inefficient process. The voter registration system does not have a user profile providing an authorized SBE user access to make changes to any record. Instead, SBE personnel must have 24 usernames and passwords and use the username and password specific to the voter's county of residence. For efficient processing, SBE proposes a redesign of the statewide voter registration system that provides designated SBE users a single username and password and statewide access.

1.2.3 Blank Absentee Ballot Delivery

SBE currently handles or oversees most of the process to deliver blank ballots. Through a statewide contract, SBE manages the mailing of blank ballots. The outgoing return envelope has SBE's mailing address as the return address, while the mailing address on the return envelope has the local board's mailing address.

SBE maintains the online ballot delivery system and sends emails to voters who want an electronic ballot. SBE's contact information is in the delivery system, but the instructions and envelope the voter prints have the local board's address.

To supplement the current practices, SBE will print its mailing address on the return envelope and in the instructions the voter prints from the online delivery system. SBE will also handle requests for replacement ballots, send ballots via email to voters who are unable to use the online ballot delivery system, and research and resend ballots to voters whose email or initial mailing was returned to SBE.

1.2.4 Return of Voted Ballots

UOCAVA voters currently return their voted ballots to their local boards of elections, and under State election law, the local boards canvass the voted ballots. SBE's voter look-up website

² The online voter registration system was funded in part by the FVAP's 2011 EASE Grant. The system went live in July 2012, and to date, over 8,100 UOCAVA voters have used the system to register to vote, update voter information, and request an absentee ballot. A paper signature is not required.

currently includes status of a voter's absentee ballot (e.g., sent, received, accepted, rejected, and if rejected, why the ballot was rejected).

SBE proposes that UOCAVA voters return their voted ballots to SBE. Upon receipt of voted ballots, SBE will forward to the appropriate local board the sealed envelope for processing and canvassing. SBE is not proposing to open the return envelope or canvass the absentee ballots; that is a statutory function of the local boards. From the UOCAVA voter's perspective, they are returning their voted ballot to the same agency that transmitted it to them.

1.3 Schedule and Milestones

Task	End Date
Hire full time, permanent personnel	Within 60 days of award
SBE website redesign complete	10/1/2013
Quarterly financial report	10/31/2013
Local boards' websites link to SBE's UOCAVA webpage	11/1/2013
Complete training manual for UOCAVA forms	1/1/2014
Quarterly financial report	1/31/2014
SBE starts processing FPCAs and online transactions	2/1/2014 or within 30 days of hire permanent personnel
Revise absentee voting materials	2/1/2014
Review and update procedures for receiving voted ballots	2/1/2014
Voter look-up website includes SBE contact information	2/28/2014
Hire full time, temporary personnel	4/15/2014
Quarterly financial report	4/30/2014
2014 Primary Election	6/24/2014
Quarterly financial report	7/30/2014
Post-election data report	8/24/2014
Hire full time, temporary personnel	8/30/2014
Quarterly financial report	10/31/2014
2014 General Election	11/4/2014
Post-election data report	1/4/2015
Quarterly financial report	1/31/2015
Quarterly financial report	4/30/2015
Voter registration system: Redesign for statewide access	6/1/2015
Voter registration system: UOCAVA type in VR module	6/1/2015
Quarterly financial report	7/30/2015
Quarterly financial report	10/31/2015
Quarterly financial report	1/1/2016
Voter Information Portal: "Go Live" Date	2/1/2016
Hire full time, temporary personnel	2/1/2016
2016 Primary Election	4/5/2016
Quarterly financial report	4/30/2016
Post-election data report	6/5/2016

Quarterly financial report	7/30/2016
Hire full time, temporary personnel	8/30/2016
Quarterly financial report	10/31/2016
2016 General Election	11/1/2016
Post-election data report	1/1/2017
Quarterly financial report	1/1/2017
Quarterly financial report	4/30/2017
Final performance report	7/1/2017
Quarterly financial report (final)	7/30/2017

Table 1 - Proposed Schedule and Milestones

1.4 Other Required Provisions

1.4.1 MOVE Act Compliance

The State of Maryland has complied with the MOVE Act since its enactment in 2009. For the 2010 General Election, SBE initially requested a waiver of the 45-day transmission requirement but subsequently withdrew its request. In 2011, the dates of Maryland’s primary elections and other election deadlines were changed to ensure compliance with the MOVE Act. For the 2012 elections, Maryland complied with the 45-day transmission requirement.

1.4.2 Legislative Challenges Affecting this Grant Proposal

There are no legislative challenges that impact this proposed project.

1.4.3 Ability to Report Requested Data

SBE can gather and report all of the requested data elements. Under Maryland law, all voted ballots must be returned by mail. As a result, SBE’s data for certain data elements will be zero. These data elements are:

1. Number of voters returning the absentee ballot by fax or email before the ballot return deadline
2. Number of voters returning the absentee ballot by fax or email after the ballot return deadline
3. Number of voters returning the absentee ballots through an online/ballot upload system before the ballot return deadline
4. Number of voters returning the absentee ballot through an online/ballot upload system after the ballot return deadline

SBE can provide the number of voters sent an absentee ballot via the FVAP-developed system and the number of these ballots returned to election officials as undeliverable, but these

data sets seem to apply to a jurisdiction submitting a proposal for an online ballot delivery system, not one submitting a proposal for a single point of contact for UOCAVA voters.³

1.4.4 Required Representation

See Appendix A of this volume for the required representation about unpaid Federal tax liability and criminal convictions.

1.4.5 Organizational Conflicts of Interest

Neither SBE nor its proposed consultants provide scientific, engineering, or technical assistance or similar support to any Department of Defense office through an active contract or subcontract.

2 Management Approach

2.1 Strategic Goals

The goal of the proposal is to simplify the process for UOCAVA voters participating in the electoral process and improve the quality of data processing of forms submitted by UOCAVA voters. The expected outcome is that UOCAVA voters will have increased rates of voter participation and satisfaction, election officials will provide more consistent information to UOCAVA voters, and the accuracy of the data entered into the statewide voter registration system will improve.

SBE's decision to use internal resources to develop and maintain the voter information web portal is based on the hypothesis that this portal will be more cost-effective to maintain over the system's life cycle and that modifications can be made quickly and efficiently. SBE staff members with extensive knowledge of existing systems can efficiently apply that knowledge when developing and maintaining the proposed portal.

SBE will hire additional resources to process voter registration and absentee ballot requests from UOCAVA voters. These new resources will be trained by experienced SBE staff members knowledgeable about UOCAVA who will oversee their work.

2.2 Project Methodology

In all information technology (IT) projects and conducting elections, SBE uses the project management approach methodologies in accordance with the Project Management Institute's *Project Management Body of Knowledge*. These methodologies will also be applied to the proposed voter information portal. This project will follow a project schedule with milestones and tasks that will provide structure and a roadmap for completion in a timely, cost-effective manner. Each project team lead will drive the project schedule and maintain communication of project status through weekly or bi-weekly team status meetings.

³ SBE provides this data as part of its reporting obligation for FVAP's 2011 EASE grant.

2.3 Personnel, Resources & Consultants

SBE's proposed voter information web portal and new data processing functions take advantage of SBE's existing, in-house resources and knowledge and supplements it with additional personnel to handle the increased data processing tasks. Between the voter information portal and development of business processes, no more than eight SBE employees will be required during the development and implementation period.

Several personnel will be involved in both projects. These personnel are:

- Leading this project will be one **project sponsor**, who will work closely with the project manager to coordinate both proposed projects and collaborate on overall project direction and progress.
- The **project managers** will be the primary contact for the proposed projects. The project manager will be responsible for the project's schedule and budget and will ensure that project tasks are timely completed and, if necessary, that changes are incorporated into the project plan and communicated to the project sponsor.
- The **consultant manager** is the primary contact for the proposed consultant. The consultant manager will monitor the consultant's work and ensure that deliverables are met.

The following personnel will be responsible for the business processes associated with creating a single point of contact.

- Two **subject matter experts** will develop and implement the business processes associated with creating a single point of contact and a training manual for these tasks. These in-house experts have extensive knowledge of the Uniformed and Overseas Civilians Absentee Voting Act and how forms from UOCAVA voters are processed in the statewide voter registration system.
- There will be one full-time, permanent employee and up to two part-time, temporary employees for **data processing**. These positions will process voter registration and absentee ballot requests, handle inquiries from UOCAVA voters, and perform other tasks in this proposal.

The following personnel will develop and maintain the voter information web portal.

- The **technical specialist** will report directly to the project manager and will be primarily responsible for the technical development of the web portal.
- The **webmaster** will work with the technical specialist to incorporate the online functionality into SBE's website and will ensure that the "look and feel" of SBE's website is easy to use and aesthetically pleasing.

There are two consultants for this proposal.

- One proposed consultant is the **software development consultant**. The Canton Group is the vendor that maintains the State's statewide voter registration database. This vendor will make the necessary software changes to provide SBE personnel with a single username and password for statewide access and move the UOCAVA voter designation into the voter registration module. The liaison for this company will report directly to the consultant manager.
- The **absentee mailing consultant** is responsible for preparing and mailing absentee ballot packet to requesting UOCAVA voters. Runbeck Election Services, Inc. is the vendor that currently performs these services, and SBE has a contract with this vendor through the 2016 elections.

The table below identifies SBE's employees assigned to the project and their respective roles.

SBE Employee	SBE Title	Business Process Development Role	Voter Information Role
Ross Goldstein	Deputy Administrator	Project Sponsor	Project Sponsor
Mary Wagner	Voter Registration Director	Project Manager	N/A
Nikki Charlson	Election Reform Director	N/A	Project Manager
Stacey Johnson	Voter Registration System Administrator	Consultant Manager	Consultant Manager
Chere' Evans	Database Specialist	N/A	Technical Specialist
Natasha Walker	Webmaster	N/A	Webmaster
Janet Smith	Voter Registration Manager of Data Integrity	Subject Matter Expert	N/A
Mary Jo Waite	Voter Registration Field Support	Subject Matter Expert	N/A
To be hired	Data Processing	UOCAVA Processing	N/A

Table 2 - SBE Resources

2.4 Existing Processes, Risks and Mitigation Strategies, and Performance Indicators

2.4.1 Voter Information

Both SBE and the local boards currently provide UOCAVA voters with election-related information. A UOCAVA voter can obtain this information by telephone, email or website. Users of SBE's voter look-up website can easily find contact information for their local board, but this tool is not available to voters who are not yet registered to vote in Maryland.

Other UOCAVA voters may have difficulties finding the correct office or information unique to UOCAVA voters. This voter may have to make more than one call or website visit to find the answer. The risk of delays in obtaining information impacts these voters more significantly than domestic, civilian voters, since UOCAVA voters generally require more time to complete

election-related processes and have to work around time zone differences. A single point of contact for telephone and website services and information mitigates this risk.

There are few risks associated with the voter information proposal. SBE's existing and proposed personnel will respond to inquiries from UOCAVA voters. SBE will add to its existing disaster recovery plan the proposed voter information web portal. If all or part of SBE's website is not available, SBE's disaster recovery plan specifies how SBE notifies voters and provides them with alternate ways to contact SBE and obtain the information they need. If the web portal is unavailable, voters can call SBE's main or toll free telephone number for information.

After the 2012 General Election, the Overseas Vote Foundation (OVF) conducted a post-election survey of UOCAVA voters⁴ and asked respondents how they learned about certain election-related services. SBE plans to request a no-cost extension for its initial EASE grant and continue OVF's post-election voter surveys for the 2014 and 2016 elections. These surveys will continue to ask questions about how the respondents learned about various services, and SBE and OVF may supplement the existing survey instrument. Using the 2012 survey results as the baseline, SBE can determine from what election office UOCAVA voters are obtaining election-related information. SBE expects that number of UOCAVA voters obtaining services from SBE will increase after it creates a single point of contact.

2.4.2 Voter Registration and Absentee Ballot Request Process

Currently, a UOCAVA voter is required to submit a voter registration application by mail⁵ or use the State's online voter registration to register to vote or update registration information in Maryland. Requests for an absentee ballot can be submitted by mail, fax, email, or via the State's online voter registration system.

Paper applications and online submissions are both processed by the local board in the county where the UOCAVA voter is eligible to register and vote. If SBE receives a paper application, it forwards the paper application to the appropriate local board for processing. This requirement increases the time needed to become a registered voter and increases the risk – especially for UOCAVA voters – that the requested absentee ballot will be further delayed.

Although SBE trains local boards on how to process applications from UOCAVA voters, there are variances in how these forms are currently processed. These variances do not generally prevent a UOCAVA voter from becoming registered or receiving an absentee ballot but they can delay the process. With a central processing center, SBE expects that the quality of data entry will be improved and delays resulting from data entry errors will be decreased.

If SBE is unable to process forms from UOCAVA voters because the statewide voter registration system is not available, SBE's disaster recovery plan outlines how work continues

⁴ This survey was funded by the FVAP's 2011 EASE grant. SBE previously provided FVAP with the final report on the 2012 General Election survey.

⁵ To register to vote, update information, and/or request an absentee ballot, a UOCAVA voter can submit either a Federal Post Card Application or the State's voter registration application and the State's absentee ballot application.

until it is restored. If the forms and statewide voter registration system are available but SBE's offices are not, SBE personnel will be assigned to a local board to process these forms.

The 2012 post-election survey asked respondents about their satisfaction with the registration and balloting process. Future surveys will provide additional information about voter satisfaction and may demonstrate increased satisfaction as a result of the proposed single point of contact. SBE currently reports the number of registration forms and absentee ballot requests from UOCAVA voters. Under the proposal, SBE will continue to report this data, but it will reflect the number of forms processed by SBE, not the local boards. This proposal is not expected to generate increased numbers of registrations or ballot requests but is expected to simplify the process for the UOCAVA voters and improve the quality of data entry.

2.4.3 Delivery of Blank Absentee Ballots

SBE is currently responsible for the delivery of most absentee ballots. SBE has a contract with Runbeck Election Services, Inc. to produce and mail absentee ballot packets to all requesting voters, and SBE manages the online ballot delivery system and sends emails to voters who request an absentee ballot via the Internet. The local boards transmit the remaining ballot packets; this includes reissued and returned ballots and finding a voter's correct email address if SBE's email was returned. SBE proposes to perform these tasks and transmit another ballot to the voter.

There are few risks associated with this proposal. SBE's existing and proposed resources can perform these tasks, and SBE expects that the process of finding a voter's correct email address will be quicker than the process previously performed by the local boards.

SBE currently reports the number of transmitted ballots. Under the proposal, SBE will continue to report this data, but it will reflect the number of ballots transmitted by SBE, not the local boards. This proposal is not expected to generate an increase in the number of transmitted ballots.

SBE expects that UOCAVA voters will continue to be satisfied with the blank ballot delivery process. SBE's 2012 survey established a baseline satisfaction index against which future survey results can be measured.

2.4.4 Return of Voted Ballots

Absentee voters return their absentee ballots by mail to their local board. The local boards' mailing address is printed on the return envelope and if the voter received the ballot via the Internet, in the accompanying instructions. The local boards update the statewide voter registration system to reflect that a voter's voted ballot has been received and store the voted ballot until canvassing. The local boards – convened as the local board of canvassers – review the ballots and either accept or reject the ballots in accordance with State law and regulations.

There are few risks associated with UOCAVA voters sending to SBE voted ballots. SBE will store in a locked cabinet the voted ballots before forwarding them to the appropriate local board,

and SBE will use a trackable mail or courier service to deliver the voted ballots to the appropriate local board. For the 2010 General Election, SBE received voted ballots from UOCAVA voters and forwarded them for canvassing. The 2010 process was efficient and effective, but SBE will review the process and update it as necessary.

Using the 2012 post-election survey as the baseline, SBE expects that overall satisfaction with the voting process will improve. Satisfaction will be measured in future post-election surveys, and any increases may be attributable to the implementation of a single point of contact.

2.5 Financial Management and Cost-Effectiveness

Financial management will be the responsibility of the project managers of the proposed projects. For the named vendor, SBE has negotiated fixed-price-by-deliverable bids for this project. The pricing structure will enable SBE to manage to the proposed budget.

To the extent possible, funds will be tracked by project and aggregated for any reporting required by the FVAP. Financial reports (e.g., SF-425) will be prepared quarterly and submitted at an interval established by FVAP.

When considering the various implementation and maintenance strategies for web portals that will benefit UOCAVA voters, it became clear that the most cost-effective solution was to develop and maintain internally a voter information web portal. This decision means a prudent and conservative grant budget. These cost-saving measures include:

1. Using in-house resources to develop, implement, and maintain the online voter information web portal. This sustainable approach will require less funding than outsourcing to a third party vendor, even one selected through a competitive procurement process.
2. SBE's ability to maintain the voter information web portal at lower costs and make modifications quickly and cost-effectively.

2.6 Collaborative Activities

SBE regularly collaborates with Maryland's 24 local boards. There are a variety of committees led by SBE and comprised of representatives of the local boards of elections that make recommendations and decisions on all aspects of election administration. It is rare that a decision is made by SBE that has not been vetted by local election officials.

SBE has previously collaborated with the Pew Charitable Trusts' Make Voting Work project to develop an election audit pilot program and is currently working with Pew and other states on its voter registration data exchange program (ERIC). Representing Maryland, SBE was one of the first states to join ERIC, and SBE's State Administrator serves on its board of directors.

In 2011, FVAP requested proposals for its Electronic Absentee Systems for Elections (EASE) grants and selected SBE's proposal to develop an online voter registration system and an online

ballot delivery system with a ballot marking tool. To date, SBE has met the terms of the grant award and implemented – according to the grant schedule – the systems for the 2012 General Election.

2.7 Current and Pending Project Proposal Submissions

SBE has no current or pending proposals requesting funds for the proposed project.

Appendix A: Required Representation

The text of this representation is on page 4 of the grant announcement.

The Applicant represents that it is ___ is not **X** a corporation that has any unpaid Federal tax liability that has been assessed, for which all judicial and administrative remedies have been exhausted or have lapsed, and that is not being paid in a timely manner pursuant to an agreement with the authority responsible for collecting the tax liability.

The Applicant represents that it is ___ is not **X** a corporation that was convicted of a criminal violation under any Federal law within the preceding 24 months.

Volume 2 – Budget Proposal

1 Direct Labor

The proposed direct labor costs for this grant proposal are \$183,566. This represents one full-time, permanent position and up to two full-time, temporary positions. These individuals will process voter registration and absentee ballot requests, handle inquiries from UOCAVA voters, and perform other tasks outlined in this proposal. These individuals will report to the Director of the Voter Registration Division.

The Maryland State Board of Elections (SBE) expects to hire the full-time, permanent position within 60 days of an award. The starting salary (\$30,969.50) will be equivalent to a comparable position at a local board. The salary in subsequent years is adjusted for increases typically authorized for State personnel. The total salary for the full-time, permanent position for 3½ years is \$123,085.73.

SBE also proposes to hire one temporary person for each primary election and two individuals for each general election. The temporary personnel will work approximately 12 weeks each election (480 hours). Under the State's contract with a temporary staffing agency, the hourly rate is \$21.00 an hour. The total budget for temporary personnel for the 2014 and 2016 elections is \$60,480.

SBE employees will perform the remaining tasks as their normal course of work, so no additional funds will be required over their State-funded salaries. State salaries are funded via the State's budget process through fiscal year 2014 (July 2013 – June 2014), and it is expected that the positions will be funded for the term of the grant.

See Appendix A for a spreadsheet of the proposed costs of this direct labor.

2 Administrative and Clerical Labor

The proposed administrative and clerical labor costs are zero. SBE employees providing administrative and clerical support will perform the necessary tasks as their normal course of work, and no additional funds will be required over their State-funded salaries. While administrative and clerical support for this proposal is expected to be nominal, the salaries of the employees who will provide this support are funded via the State's budget process through fiscal year 2014, and it is expected that the positions will be funded for the term of the grant.

3 Fringe Benefits and Indirect Costs (F&A, Overhead, G&A, etc.)

SBE proposes \$28,940.27 in fringe benefits for the full-time, permanent position. These fringe benefits include health insurance benefits.

SBE does not currently have an indirect cost agreement with its cognizant federal government agency, but SBE has an Indirect Cost Recovery Plan that has been reviewed and approved by the State's Department of Budget and Management (DBM). See Appendix B for

SBE's Indirect Cost Recovery Plan. SBE's indirect cost rate is 2.98%. The recoverable amount is \$10,842.11.

See Appendix C for a spreadsheet of the proposed costs of fringe benefits and indirect costs.

4 Consultants

The proposed changes to the statewide voter registration system will require a **software development consultant**. The proposed consultant, The Canton Group, currently maintains the State's statewide voter registration system. The Canton Group will provide SBE users with a single username and password for statewide access and display the UOCAVA voter designation in the voter registration module. The proposed cost for these services is \$97,909. See Appendix D for the proposal to redesign the statewide voter registration system for statewide access. Pages 16 and 18 of this volume are designated proprietary.

The proposed **absentee mailing consultant** will prepare and mail absentee ballot packets to requesting UOCAVA voters. Under the current contractual terms with Runbeck Election Services, the proposed cost to prepare absentee ballot packets¹ for the 2014 Primary and General Elections and the 2016 Primary and General Elections is \$9,664.20. See Appendices E and F for documentation supporting this proposed amount. Appendix E is designated proprietary.

SBE proposes to use a **commercial delivery service** to transmit voted ballots to the local boards. The number of shipments a week varies depending on the proximity to the election. The proposed shipping schedule is:

- 1 shipment a week for the 5th and 4th weeks before an election
- 2 shipments a week for the 3rd and 2nd weeks before an election
- 3 shipments a week for the week before an election and the week of an election
- Daily shipments for the week after an election (i.e., final week of canvassing)

In the 2010 General Election, SBE used United Parcel Services (UPS) to send voted ballots to the local boards. In 2010, the average cost to transmit a box of voted ballots was \$20.00. With the estimated per box cost and the proposed shipping schedule, SBE estimates \$9,600 in shipping costs per election. The total cost for the 2014 and 2016 elections is \$38,400.

See Appendix F for a spreadsheet of the proposed costs for the consultants.

5 Materials and Supplies²

Because the proposed personnel will need to mail correspondence and absentee voting packets to UOCAVA voters, SBE's proposed budget includes mailing labels. The labels for the label printer used with the statewide voter registration system are \$25.00 per roll of 500. SBE

¹ There are no postage costs associated with mailing absentee ballot packets to UOCAVA voters.

² SBE will follow State procurement rules when purchasing the proposed materials, supplies, hardware and software. As a result, it is possible that the actual cost of the supplies may vary from the estimates provided.

expects that the data processing personnel will need 10 rolls for the 2014 and 2016 election cycles. The total cost for these proposed supplies is \$250.00.

See Appendix G for a spreadsheet of the proposed costs for materials and supplies.

6 Other Direct Costs

Because the proposed personnel will need to access the statewide voter registration system, SBE expects to purchase a computer, monitor, and the label printer used with the statewide voter registration system. The proposed hardware and software are:

1. 3 desktop computers with monitors and three years of support at \$1,200 each, for a total cost of \$3,600
2. 3 Dymo label printers at \$100 each, for a total of \$300
3. 3 licenses for Microsoft Office Professional Suite at \$300 each, for a total of \$900
4. 1 license for Microsoft Visio at \$300 each, for a total of \$300

These proposed expenses total \$5,100.

See Appendix H for a spreadsheet of the proposed, remaining direct costs.

7 Return on Investment (ROI) Analysis

The proposed single point of contact for UOCAVA voters offers a favorable and diversified return on investment. The factors used to assess the return for this proposal were the cost savings associated with the in-house development and maintenance of the voter information web portal and streamlining the process when SBE receives registration and ballot requests.

There are minimal on-going costs associated with this proposal. The only one-time hardware and software costs are the funds to purchase equipment for the proposed personnel. After those cost outlays, however, the only ongoing costs will be personnel costs and costs for preparing and mailing absentee voting packets. The voter information web portal will use existing hardware and software and will be absorbed in the existing web hosting costs.

Both projects offer non-financial, intangible benefits that are critical to improving the voting process for UOCAVA voters and the election administration process. While these benefits are not always quantifiable, they have a positive impact on the election process in Maryland and in other states. SBE's experience and identified best practices with a single point of contact can be used by other states as they are able to implement.

With a single point of contact, SBE expects that satisfaction with the registration and ballot request process will improve and will translate into more UOCAVA voters completing the process and returning a timely absentee ballot. SBE also expects that there will be improved

consistency of information provided to UOCAVA voters and improved data quality in the statewide voter registration system. Improved data quality increases the likelihood that registrations are completed without follow-up with the voter, and ballots and other election notices are directed to the voter at the correct address.

In summary, SBE expects the proposal to provide an immediate qualitative return on investment and will track the rates of return and improvement throughout the process with the measures of ROI outlined above.

8 Consolidated Annual Financial Report (CAFR)

The most recent Consolidated Annual Financial Report for the State of Maryland is available at http://finances.marylandtaxes.com/Where_the_Money_Comes_From/General_Revenue_Reports/CAFR.shtml.

Appendix A: Proposed Budget for Direct Labor

Direct Labor	# of Personnel	Units/Est Cost	Number of Hours	Est. Cost/Person	Total Costs
Full-time, permanent position	1				\$123,085.73
Fiscal Year 2014 (partial year: January - July 2014)	1	\$ 16,993.24	n/a	\$ 16,993.24	
Fiscal Year 2015	1	\$ 34,666.22	n/a	\$ 34,666.22	
Fiscal Year 2016	1	\$ 35,359.54	n/a	\$ 35,359.54	
Fiscal Year 2017	1	\$ 36,066.73	n/a	\$ 36,066.73	
Full-time, temporary position (primary elections only)	1				\$20,160.00
2014 Primary Election	1	\$21.00/hour	480	\$10,080.00	
2016 Primary Election	1	\$21.00/hour	480	\$10,080.00	
Full-time, temporary position (general elections only)	2				\$40,320.00
2014 General Election	2	\$21.00/hour	480	\$20,160.00	
2016 General Election	2	\$21.00/hour	480	\$20,160.00	
Total Direct Labor					\$183,565.73

Appendix B: Indirect Cost Recovery Plan

STATE BOARD OF ELECTIONS	Indirect Cost Recovery Plan			
	Document Standard Operating Procedures: Indirect Cost	Original Approval Date: 10/25/2012	Revised Approval Date:	Department Budget and Finance

Important Note: It is the responsibility of anyone using this SOP to ensure that he/she has the most current version.

Purpose

To outline the procedures and mechanisms for recovering the SBE’s indirect costs that cannot be directly attributed to individual projects. Indirect costs include but are not limited to general management, general SBE activities, finance administration, accounting, purchasing, information systems, office services, human resources, and general SBE’s administrative facilities.

Applicability:

This procedure is applicable to SBE employees responsible for monitoring and implementing Federal Funds.

Grant Funded Projects: Include studies, capital projects, and operating activities performed by SBE for which outside grant funding has been obtained.

Responsibility:

It is the responsibility of the Finance Department to ascertain that this procedure is administered consistently within the established provisions.

Processing Indirect Cost

Policy

The Finance Department shall establish and maintain an indirect cost recovery plan in accordance with the following principles and standards:

Federal Register / Vol. 70, No. 168/ August 31, 2005/ Rules and Regulations, Appendix E to Part 225 – State and Local Indirect Cost Rate Proposals, part C “Allocation of Indirect Costs and Determination of Indirect Cost Rates” (herein referred to as Federal Register /Vol.70) establishes the principles and standards for determining costs for Federal awards carried out through grants, cost reimbursement contracts, and other agreements with State and local governments and federally-recognized Indian tribal governments.

SBE will use the “Simplified Method” as defined by Federal Register/Vol.70, in developing its Indirect Cost Recovery Plan. Federal Register/Vol.70 states that the “Simplified Method” may be used “where a grantee agency’s major functions benefit from its indirect costs to approximately the same degree”. Federal Register/Vol. 70 goes on to state that the allocation of indirect costs may be accomplished by:

“(1) classifying the grantee agency’s total costs for the base period as either direct or indirect, and (2) dividing the total allowable indirect costs (net of applicable credits) by an equitable distribution base”

The result of this process is an indirect cost rate, which is used to distribute indirect costs to individual Federal awards. The rate should be expressed as the percentage, which the total amount of allowable indirect costs bears to the base selected.

This method should also be used where a governmental unit’s department or agency has only one major function encompassing a number of individual projects or activities, and may be used where the level of Federal awards to that department or agency is relatively small.”

“Both the direct costs and the indirect costs shall exclude capital expenditures and unallowable costs. However, unallowable costs must be included in the direct costs if they represent activities to which indirect costs are properly allocable.”

“The distribution base may be (1) total direct costs (excluding capital expenditures and other distorting items, such as pass-through funds, major subcontracts, etc.), (2) direct salaries and wages, or (3) another base which results in an equitable distribution.”

In keeping with the above guidelines, SBE developed an Indirect Cost Recovery Rate using direct Salaries, Wages, Fringe Benefits and Technical and Special Fees in Program two (2) as the distribution base.

The component of the Indirect Cost Recovery Rate recovers the indirect costs of SBE supporting services in Program two (2), object code 0303 (telecommunication) and object code 1301 (rent).

Procedures

The Finance Department will apply the appropriate Indirect Recovery Rate to all applicable projects on an annual basis with SBE year-end close procedures as part of the accounting records. The Indirect Recovery Rate will be provided to appropriate SBE staff and project managers to ensure that recoverable Indirect Recovery Cost is communicated to the applicable outside funding source.

1. Director of Finance will calculate total percentage of Salaries, Wages, Fringe Benefits and Technical and Special Fees used in Program two (2) to overall Expenditures in Program one (1) and Program two (2).
2. Add Salaries, Wages, Fringe Benefits and Technical and Special Fees percentages in Program two (2) to get the Indirect Cost Recovery Rate.
3. Use the Indirect Cost Recovery Rate to calculate total indirect cost for object code 0303, (telecommunication) and object code 1301 (rent) using the actual year to date expenditures.
 - a. Generate June 30, 20XX DAFRG630 report to obtain actual year to date expenditures for object 0303 (telecommunication) and object 1301 (rent).
4. If necessary, the Director of Finance will prepare a journal entry to allocate total indirect cost from the Appropriated General Fund to the Appropriated Federal Fund.

Note: An example of the supporting calculations is provided using FY12 data.

Appendix C: Proposed Budget for Fringe Benefits & Indirect Costs

Fringe Benefits	# of Personnel	Est. Cost	Total Costs
Health insurance for full-time, permanent position			\$28,940.27
Fiscal Year 2014 (partial year: January - June 2014)	1	\$ 3,995.50	
Fiscal Year 2015	1	\$ 8,150.82	
Fiscal Year 2016	1	\$ 8,313.84	
Fiscal Year 2017	1	\$ 8,480.11	
Indirect Costs (2.98% of total budget)			\$10,842.11
Total Fringe Benefits & Indirect Costs			\$39,782.38

Appendix D: SBE Level Processing for UOCAVA Voters and Transactional Processing Project



Functional / Technical Specification

*SBE Level Processing for UOCAVA
Voters and Transactional Processing
Project*

Version: 1.0

Date: 06/07/2013



*The Canton Group
2920 O'Donnell St.
Baltimore, MD
21769
Tel: 401-675-5708 Fax: 410-675-5111*

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Document Revision History

No.	Date	Reason	Author
0.1	05/30/2013	Initial draft for internal review	Jay Varner
0.2	6/6/2013	Process revision	Jay Varner
1.0	6/7/2013	Update with Cost Proposal	Kelly Price



Introduction

Document Purpose

This document identifies the requirements of all tools and services associated with the extension of SBE privileges to allow SBE personnel to perform all necessary functions related to UOCAVA processing with regard to Voter Registration, Absentee Applications, and Ballot receipt with a single sign-on as well as the implementation of fully transactional processing within the voter module. Approvals of this document:

- a. Ensure that the Business Users and the Project Team have a common understanding of the requirements.
- b. Serve as the requirements baseline, which signifies the start of the Change Management process for any additions or deletions to the baselined requirements.
- c. Forms the foundation for testing, and acceptance of the system for production release.

The Requirements Specification Document is elaborative and may go through multiple Business User and Project Team reviews to ensure all requirements have been captured. All Requirements must be approved prior to commencement of user acceptance testing and production release.



Project Overview

The following information is provided as a guide for initiating and developing this project:

- a. The SBE has requested the ability to data process all UOCAVA records at the SBE level using application single sign-on to access all counties.
- b. Currently the system design prohibits users from one jurisdiction (including the SBE) from performing any updates to voters residing in other jurisdictions.
- c. In order to allow the SBE extended privileges, significant re-writes within the voter module will be required.
- d. Due to legacy issues within the voter module, a revision of this scope poses a significant risk to the integrity of MDVoters data.
- e. As the system currently performs, there are multiple paths available through the voter module that occasionally result in only portions of the intended data being saved when exiting the record.
- f. Implementing fully transactional processing in the voter module will ensure a single path from opening a record to closing that record, incorporating a single SAVE procedure to ensure that all intended data elements are properly updated, thus ensuring the integrity of the registration records.
- g. Due to the considerable risks around a comprehensive re-write of the voter module, the transactional processing and permissions extension will be provided in a separate module available only to the SBE. The existing voter module will be left in place for use by the LBE's to allow for a 'pilot' test of the new functionality.
- h. The SBE will utilize the new functionality in production through a full release cycle to validate the new functionality and confirm that no regression issues manifest.
- i. The subsequent release of MDVoters will replace the legacy voter module with the new functionality.



Assumptions

The following assumptions regarding this project are as follows:

- a. Assumptions related to this document include:
 1. SBE will be performing all data processing for UOCAVA records in the areas of voter registration, absentee applications, and ballot receiving. The counties will canvass the ballots.
 2. SBE will utilize their existing logins associated to jurisdiction '00'.
 3. SBE will be performing updates to specific voter records, including batch processing.
 4. Some SBE users will be prohibited from making changes to voter records, requiring the definition of a specific permission that will need to be assigned to the users.
 5. Any revisions requested to the voter module for the 'pilot' release will require dual effort to ensure that all required functionality exists in both modules. This duplicate effort will be billed against our standard development hours.

Risk Management

This proposal requires a significant re-write of the voter module within MDVoters. There are multiple risks related to this effort that can be mitigated through careful planning, thorough execution, and extensive testing. Some of the potential risks we need to plan for include:

- Omission of individual or group data elements from the transaction;
- Alternate flows that might bypass portions of the transaction;
- Potential performance hits related to a larger transaction;
- Regression issues;
- Unintended removal of desired functionality.



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[Redacted]

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Functional Overview

The Voter module in MDVoters incorporates a large volume of data defined on multiple tabs and companion screens. Having been modified, enhanced, and supplemented by multiple programmers over the past 7 years or so, and several ‘holes’ exist that allow users to inadvertently bypass validation rules, and internal flags that monitor the state of the current record. In addition, communication between the main screen and companion screens can be impacted by unintended routes through the code.

For the purpose of this project, the term ‘Transactional Processing’ refers to a process wherein all data elements and screens utilized during voter processing will be incorporated under a single ‘umbrella’, or transaction. Alternate paths will be eliminated, all functionality will be incorporated into a single SAVE process, and a clear path will be implemented to ensure the not only the integrity of the data, but that the users intent when closing the record is fulfilled. Communication between the primary voter form and all associated screens will be streamlined and coordinated to ensure the system is aware of all actions performed by the user and respond accordingly.

MDVoters will currently allow SBE users to search for and retrieve voter records from any jurisdiction in the state. No additional functionality will be required in this area. The SBE may NOT, however, save any changes they make to the voter’s record as the system currently exists. In order to assist the LBE’s with their workload today, the SBE needs to log out of the application and log back in with a specific user id related to the LBE they wish to assist. The primary intent of this project is to allow the SBE to assist their LBE’s without having to use and maintain 24 different logins.

A permission will need to be added to the USERS section to allow chosen SBE users the ability to make modifications to voter records in any jurisdiction in the areas of registration data, absentee applications, and ballot receipt.

During the SAVE process, or when exiting the voter screen, certain checks are in place to ensure that the user’s jurisdiction matches the jurisdiction of the record being processed. This function will need to be updated such that SBE users (jurisdiction ‘00’) with proper permissions are allowed to proceed with the save regardless of the ‘home’ jurisdiction of the voter record.

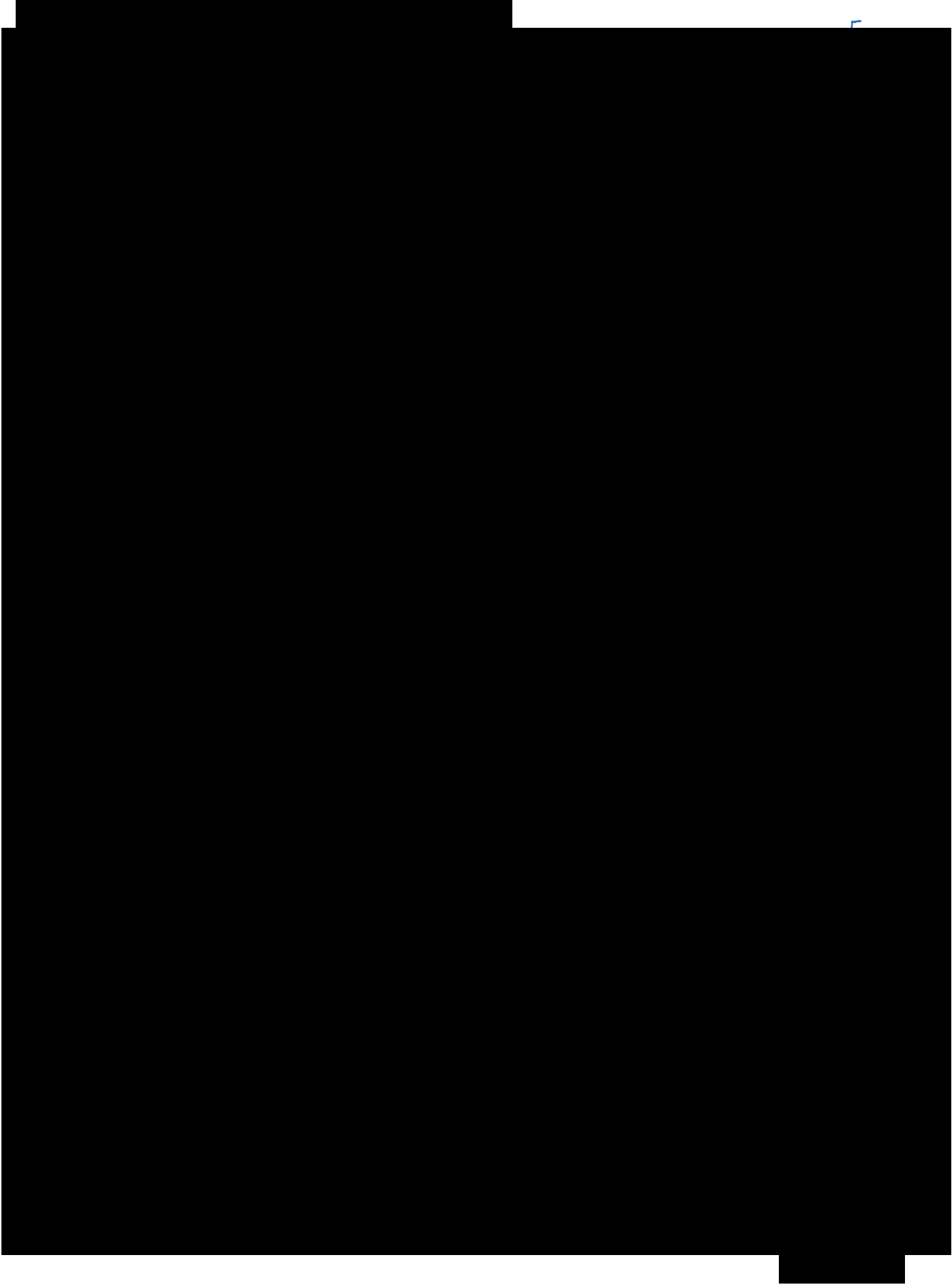
In order to mitigate the risks associated with a substantial re-write of the voter module, this functionality will be initially presented only to the SBE. The existing voter module will be left intact for LBE use, and a separate voter module will be modified as stated and made available only to the SBE for the initial release. The SBE will utilize this module through a full release cycle to confirm the new functionality and ensure that no regression issues exist. Once fully approved by the SBE, the existing voter module will be replaced with the new functionality on a subsequent release cycle.



Cost Estimate

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Appendix F: Proposed Budget for Consultants

Consultants	Est. Rate	Est. Quantity	Estimated Cost	Total Costs
Voter Registration System Software Vendor (The Canton Group)	\$ 1	1	\$97,909	\$97,909.00
Absentee Ballot Mailing Preparation (Runbeck Election Services)				\$9,664.20
2014 Gubernatorial Primary	\$ 1.16	520	\$603.20	
2014 Gubernatorial General	\$ 1.06	2,860	\$3,031.60	
2016 Presidential Primary	\$ 1.19	780	\$928.20	
2016 Presidential General	\$ 1.09	4,680	\$5,101.20	
Commercial Delivery Service for 24 local boards				\$38,400.00
Weekly shipment for 2 weeks for 4 elections	\$20.00	48 boxes	\$960.00	\$3,840.00
2 shipments per week for 2 weeks for 4 elections	\$20.00	96 boxes	\$1,920.00	\$7,680.00
3 shipments per week for 3 weeks for 4 elections	\$20.00	216 boxes	\$4,320.00	\$17,280.00
Daily shipments for 1 week for 4 elections	\$20.00	120 boxes	\$2,400.00	\$9,600.00
Total Consultants				\$145,973.20

Appendix G: Proposed Budget for Materials and Supplies

Materials & Supplies	# of Units	Est. Cost/Unit	Total Costs
Labels (500 labels per roll)	10	\$25.00	\$250.00
Total Materials & Supplies Costs			\$250.00

Appendix H: Proposed Budget for Other Direct Costs

Other Direct Costs	# of Units	Est. Cost/Unit	Total Costs
Hardware, Licensing & Warranties			
Desktop Computer with Monitor & 3 year support	3	\$1,200.00	\$3,600.00
Dymo label printer	3	\$100.00	\$300.00
Subtotal Hardware, Licensing & Warranties			\$3,900.00
Software			
Microsoft Office Professional Suite	3	\$300.00	\$900.00
Microsoft Visio	1	\$300.00	\$300.00
Subtotal Software			\$1,200.00
Total Other Direct Costs			\$5,100.00