

Elections Security Policy

Scott County, Iowa

Definitions

Commissioner refers to the Scott County Auditor and Commissioner of Elections. **Elections Supervisor** refers to the Supervisor of the Elections Department of the Scott County Auditor's Office. **Operations Manager** refers to Operations Manager of the Scott County Auditor's Office. **PEO(s)** refers to precinct level election official(s) appointed by the Commissioner to serve in any given election. **Precinct Atlas** refers to the electronic poll book program developed and maintained by the Precinct Atlas Consortium, and the various computers which use the program. This program is used as a primary supplement to the precinct roster of voters, and to facilitate processing various maintenance activities for voters within the precinct setting as required by law. **Scott County Administrative Center** refers to the office building owned by Scott County, located at 600 West 4th Street, Davenport, Iowa, and which houses the Scott County Auditor's Office. **Scott County Storage Facility** refers to the warehouse facility owned by Scott County, located at 4715 Tremont Avenue, Davenport, Iowa, and a portion of which is allocated for use by the Scott County Auditor's Office. **Staff** refers to permanent and temporary employees of the Scott County Auditor's Office who have received instruction in election procedures and who have taken the election official oath prescribed by law.

Findings

The Help America Vote Act (HAVA) and Iowa Administrative Code Section 721-22.50 require the Commissioner to produce a written policy regarding voting systems security. This policy includes plans to protect election equipment and data from unauthorized access, document certain aspects of the election process, and describe methods to preserve the integrity of elections. This policy describes who shall have access to voting equipment, including limitations on access to computer systems used in elections.

Further, this policy is needed to insure that election staff members have sufficient guidance in maintaining the security of election systems and ballots so as to prevent fraud, malicious mischief and other forms of misconduct. The Commissioner shall insure that all staff members familiarize themselves with this policy before each election. Further, the Commissioner shall insure that all PEOs are provided instruction regarding portions of this policy pertinent to their roles in election administration.

Intent and Application of Policy

This policy is meant as an addition and supplement to the provisions of Iowa law. Therefore, this policy shall be enforced in conjunction with applicable sections of the election laws of Iowa and the Iowa Administrative Code. Special attention shall be paid to Iowa Administrative Code 721-22.50(52) which apply to election security.

Voting System Security

Hardware: Scott County has chosen to use a blended paper ballot election equipment system to fully comply with HAVA. The hardware was purchased from Election Systems and Software (ES&S), and includes the following:

1. DS200 Optical Scan (OS) tabulators, and
2. Express Vote ballot marking devices.

This equipment shall be locked within the Scott County Storage Facility and under camera surveillance. At least two elections staff members shall be present when this equipment is accessed for election set up, and at least one staff member shall be present during maintenance activities performed by outside contractors.

As much as possible, this equipment shall be stored as recommended by the manufacturer for maximum protection from damage. Each unit shall be insured by the Scott County property insurance policy. The Commissioner shall purchase an biannual maintenance agreement (currently from ES&S) for both equipment systems. Unauthorized access to equipment systems is strictly prohibited. Authorization for access can only be made by the Commissioner of Elections, the Operations Manager or the Elections Supervisor.

Software: Scott County shall contract for use of a computer loaded with Election Reporting Manager (ERM) software which is necessary to program elections. The current contract is with ES&S. ERM is used to compile and report election results, and can be used to prepare ballots and voting equipment programs.

This computer shall not be used for any other function, it shall remain a stand alone system, it shall not be directly linked to the Scott County computer network, and it shall not be directly linked to the Internet. Access to the ERM computer shall be limited to the Commissioner, the Operations Manager and the Elections Supervisor. At least one other staff member shall be present whenever the ERM computer is accessed. Access shall require a password whose content shall be at the user’s discretion. Every ID and password shall be unique. Generic IDs or shared user IDs are strictly prohibited. Each user shall have exactly one user ID and password.

The following password standards shall be used:

Account Policy	Recommended Setting
Maximum Password	Age 90 days
Minimum Password	Age 2 days
Minimum Password Length	8 characters
Enforced Password History	6 passwords (last 6 cannot be reused)
Account Lockout (number of unsuccessful log-on attempts)	3 bad attempts
Account Lockout Duration	6 hours
Reset Account Lockout Counter After	6 hours

Data Transports and Transmissions: Preferably, election data files shall be physically transported using a documented contract carrier. If necessary, election data files may be electronically transmitted via the internet, but only if the files are encrypted and password protected.

Memory Flash Drives: Each piece of voting equipment requires a memory flash drive, a removable device containing data files programmed to define each election. Scott County owns the memory flash drives, and has elected to contract out the process for programming each memory card for use with the ERM computer. Scott County currently contracts with ES&S for this service. Each memory flash drive shall include a serial number printed on a readily visible permanent label which shall include the name of Scott County, Iowa printed on the label. The memory flash drives shall be shipped to and from the vendor via a shipping service that employs tracking numbers. Memory flash drives shall be placed in a package sealed with a numbered, tamper evident seal from the vendor to the Commissioner. If the seal is not intact upon arrival the Commissioner shall contact the vendor for replacement cards.

The memory flash drives shall be stored in a locked security cabinet which is contained in a locked storage room within the Commissioner's Office. The entrance to the storage room shall be under camera surveillance. No one person shall have possession of the keys to both the security cabinet and the storage room. The memory cards shall be removed from storage only as necessary for an election or for maintenance. No one person shall be alone with unsecured memory cards at any time.

Security for the memory flash drive shall include a perpetual inventory, with the inventory records containing:

- The date each memory flash drive was acquired
- Each use of the flash drive in an election
- Each maintenance activity
- Any problems or errors detected while using the memory flash drive during its life
- Record, reason, and date of removal from inventory

When used in an election they shall be prepared, logged, and sealed into a voting device. The seal shall be tamper-evident. If transport of a memory flash drive outside of the Commissioner's Office is necessary, the memory flash drives shall be enclosed in a sealed container or envelope.

For each election, the commissioner shall create a log to record the serial numbers of each memory flash drive, the voting device into which the memory flash drive was installed, the serial number of the seal, and the precinct to which the machine is assigned. The log shall be in substantially the same as that found in Iowa Administrative Code Section 721-22.51(4) Form B.

The election log shall be maintained on file in the Elections office for the duration of election documentation as required by Iowa law.

Precinct Atlas Security

Scott County maintains an inventory of netbooks and personal computers sufficient to run the Precinct Atlas program in all precincts in Scott County. These computers shall only have the Windows operating system and Precinct Atlas program installed on them. They shall not be connected to the internet or any local network while in use at any precinct. The computers shall be stored under camera surveillance at either the Scott County Storage Facility or in a locked

room at the Commissioner's Office. The computers shall be uploaded with the most recent voter file from the I-VOTERS system after 5:00 p.m. on the Monday before any given election in which Precinct Atlas will be used. Precinct chairs shall take possession of the computers after the upload of the voter file and maintain personal custody of the computers until they used on election day.

Ballot Security

For each election the firm printing ballots shall deliver a sufficient number of ballots to supply the estimated need for absentee ballots and for testing of election equipment to the Scott County Administration Building, whereupon staff shall take physical custody of the ballots. Staff shall insure that the correct number of ballots for each ballot style has been supplied by the printer. These ballots shall be stored in locked storage rooms within the Scott County Administrative Center. Access to these storage rooms shall be restricted to staff only. Either the entrance to or the interior of the storage room shall be under camera surveillance.

Ballots for use on election day shall be transported to the Scott County Storage Facility, whereupon staff shall take physical custody of the ballots. Staff shall insure that the correct number of ballots for each ballot style has been supplied by the printer. Staff shall allocate the ballots to their proper precinct and place the ballots into the storage compartment of each ballot tabulator, lock the door to the compartment and seal the door with a numbered tamper evident seal. During this process at least two staff shall be present in counting, allocating and ensuring that the ballots are securely locked and sealed. The area within the Scott County Storage Facility used for storage of ballots and election equipment shall be under camera surveillance.

Security of Ballots and Voting Systems within Each Precinct

Scott County contracts with a private carrier for delivery of voting systems and ballots for use on election day. Beginning approximately one week before election day the DS200 optical scan tabulators, the Express Vote ballot marking devices and the ballots which have previously been locked into the bins in the tabulators stand shall be delivered to each precinct polling place by this private contractor. These items shall be stored at each polling place in a locked room.

Prior to shipment staff shall record the seal number on the ballot container and the seal numbers securing the memory flash drives locked into the election equipment into a record and receipt form for each precinct. The record and receipt form shall be provided to the precinct chairperson so that prior to opening the polls on election day, PEOs can verify that the seals have not been tampered with.

Security of Ballots at Satellite Voting Locations

For elections in which satellite voting locations are used for multiple days ballots shall be stored in a locked container and this container shall be kept in a locked room at the facility where voting is to occur. Ballots for use at satellite voting locations shall be transported only by designated staff. Voted ballots shall be returned to the Auditor's Office on a daily basis. Voted ballots shall be transported either by staff or by Scott County Deputy Sheriffs or posse members.

Security of Returned Absentee Ballots

Staff shall process returned absentee ballots into the I-VOTERS system for tracking ballots. Ballots shall be separated into three categories: 1) ballots ready for counting, 2) ballots which are either deficient or incomplete, and 3) ballots which are undeliverable or spoiled.

Ballots ready for counting shall be stored in separate containers and kept in a locked room at the Scott County Administrative Center. Either the entrance to or the interior of the storage room shall be under camera surveillance. Staff shall deliver these ballots to the Absentee and Special Voters Precinct Board (ASVP Board) and account for the transfer on the transfer sheet provided by the Iowa Secretary of State. Processing of these absentee ballots by the ASVP Board shall take place in a locked room at the Scott County Administrative Center. Either the entrance to or the interior of the room shall be under camera surveillance. Access to this room shall be limited to staff, ASVP Board members and properly credentialed observers from political parties and candidates. The ASVP Board shall return these ballots to staff after tabulation and account for the transfer on the same sheet as used for the transfer to the ASVP Board. After receipt of these ballots staff shall store these ballots in containers with tamper evident seals.

Ballots which are deficient or incomplete shall be stored separately from ballots ready for counting and kept in a locked room at the Commissioner's Office. Staff shall deliver these ballots to the ASVP Board separately from the ballots ready for counting, and account for the transfer on the transfer sheet provided by the Iowa Secretary of State. The ASVP Board shall return the deficient or incomplete ballots to staff after processing and account for the transfer on the same sheet as used for the transfer to the ASVP Board. After receipt of these ballots staff shall store these ballots in containers with tamper evident seals.

Ballots which are undeliverable or spoiled shall be kept in a locked room at the Commissioner's Office. At the conclusion of the election staff shall store these ballots in containers with tamper evident seals.

Security During Public Testing

Scott County shall adhere to IAC 721 22.39-22.51 for testing DS200 and Express Vote voting equipment. This includes pre-election testing and public testing. The public will be invited to attend the public testing and will be allowed in the storage area at that time. However, at no time during the public testing will election staff leave equipment unattended. At the conclusion of testing staff shall insure that all members of the public have left the Storage Facility and shall insure that the facility is securely locked.

Security on Election Day

Scott County shall place in each precinct polling location a combination of registered Democrats and registered Republicans to serve as a PEO team. One or more of the PEOs shall serve as chairperson and be responsible for the equipment once received from the Commissioner. The chairperson shall verify the number of ballots received. All PEOs shall verify the seal number on the ballot container and the seal numbers on the memory flash drives locked into each piece of election equipment, and shall sign a written verification record and receipt on election day as the equipment is received from the Commissioner. This verification record and receipt shall be maintained on file in the Commissioner's Office for the duration of election documentation as

required by Iowa law. All seals shall be tamper-evident. All PEOs shall take an oath of office prior to the election.

The chairpersons are required to work at their polling location for the entirety of the election day. The Commissioner shall hire the remainder of the officials as equally balanced in political affiliation as possible, and may approve half-day work shifts as compliant with Iowa law.

On election day before the polls open the PEOs shall produce a printed tally reports which verifies that the DS200 ballot tabulator is correctly set for the precinct in question and that shows zero votes having been cast for each candidate and question on the ballot for that election. All officials shall sign the printed report and keep this report with the tally list.

The precinct chairperson shall contact the Commissioner's office immediately if this report shows that votes have already been cast for any candidate or question on the ballot. Staff shall remove the memory flash drive from this DS200 ballot tabulator and replace it with a different, properly programmed memory card. The Commissioner shall investigate to determine the cause of this irregularity, and shall inform the Office of Iowa Secretary of State of this event. The Commissioner may inform the Scott County Attorney and the Scott County Sheriff for further investigation and possible criminal prosecutions.

Immediately at the close of an election the PEOs shall produce a printed tally report of the election results. All officials shall sign the printed report and keep this report with the tally list.

The PEOs shall produce a second printed tally report. This printed report and the memory flash drive from the tabulator shall be placed in an anti-static bag, which in turn, shall be placed in an envelope and the envelope sealed with a label which substantially conforms to the form found in Iowa Administrative Code Section 721-22.51(10). The election officials will then deliver this envelope to an assigned sheriff deputy for transport. The sheriff deputy shall directly deliver the envelopes from each assigned precinct to the Scott County Administration Building. Staff shall take possession of the envelope from the sheriff deputy and shall immediately deliver these items to the Commissioner's Office.

Evacuation of Polling Place

If it is necessary to evacuate a polling place, the PEOs shall immediately attempt to notify the Auditor of this event. The officials shall ascertain that all voters and other persons are safely out of the polling location and take other steps as necessary to insure the safety of the public. After the safety of the voters and others has been secured, the officials shall protect critical election documents and materials by removing or securing the following:

- The ballot box, the tabulating device, and the ballot marking device
- The keys to the voting equipment and any memory cards
- All un-voted ballots
- The precinct election register, including the voter's declaration of eligibility

Post Election Ballot Security

After the tally of votes, ballots cast at precinct polling places shall be placed into a ballot storage container provided by the Commissioner. PEOs shall affix a tamper evident seal on this

container, and all PEOs shall sign this seal to verify that all voted ballots and only voted ballots were placed into the container. Provisional ballots cast in the election shall be placed in a supply bag provided by the Commissioner. The chairperson shall directly deliver said container and supply bag to either the Scott County Storage Facility or the Scott County Administrative Center as directed by the Commissioner. PEOs shall place all ballots not voted back into the ballot box, lock the ballot box and secure the ballot box with a numbered tamper evident seal provided by the Commissioner.

At the conclusion of each election ballots cast in that election shall be stored at the Scott County Storage Facility for the legally prescribed period of time.

Review and Modification

This policy shall be reviewed on a biannual basis. It may be modified at that time or at any other time as needed to insure the security of election systems and processes. The review process shall include an analysis of any changes in Federal law, changes in state law, including changes to the Iowa Administrative Code, updates and modifications to election equipment and systems, and specific experience with each election.

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