Technical Proposal

1) Catalog of Federal Domestic Assistance Number: **12.217**

2) BAA number: **HQ0034-FVAP-11-BAA-0001**

   (also has been listed with BAA number H98210-BAA-11-0001)

3) Title of Proposal: **Upgrading Local Support Documents, Tracking and Procedures for FVAP Ballots for Long Term, Sustainable Improvements in Successful Military, Overseas and Federal Voting.**

4) CAGE Code and DUNs Number: ▮▮▮▮ and ▮▮▮▮▮

5) Contractors and/or Sub Recipients: **County of Santa Cruz (in the capacity of the primary applicant) and Transcend Translation**

6) Technical contact: **Tricia Webber, 701 Ocean St Room 210, Santa Cruz, CA 95060, (831) 454-2409 phone / (831) 454-2445 fax, tricia.webber@co.santa-cruz.ca.us**

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8) Proposed period of performance: ~~award to December 4, 2012~~

   31 October 2011 through 31 March 2013

   Signature: ▮▮▮▮▮▮▮▮

   Name: Gail L Pellerin

   Date: 11-14-13

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Executive Summary

The Santa Cruz County Clerk and Elections Department is requesting funding for upgrades to the local support documentation, tracking systems and internal handling procedures for ballots covered under the Federal Voting Assistance Program (FVAP). The goal is to create a long term, sustainable program that improves successful voting for military, overseas and federal voters. After analyzing ballot statistics from the 2/2008 Presidential Primary, 11/2008 Presidential General, 6/2010 Gubernatorial Primary, 11/2010 Gubernatorial General, and the primary and general elections for a special vacancy in State Senate District 15 in 2010, trends have been identified that demonstrate an increased failure rate for FVAP voters versus the general population. The programmatic improvements being proposed address the most common areas of failure and also look at anecdotal experiences from office staff relating to break downs in the system or an increased number of correspondences on certain issues. The goal is to reduce the number of voters "lost" due to change of addresses and the number of ballots rejected for being received too late or incomplete. The proposed improvements are in the following areas:

- Provide detailed information on registering, voting, and changes in eligibility to military recruiters, parents and families of military servicepersons, passport agents, overseas voters and American citizens living abroad by creating packets for distribution on our website and in hard copy which should educate voters and increase participation.

- Upgrade the digital tracking methods and information collected for FVAP voters via a new contact form and integrating it with the Election Information Management System (EIMS) to better address changes of address when voters are abroad.

- Establish a dedicated computer to manage safe and secure transmission of electronic ballots via secure email and an isolated fax machine which should increase the security and privacy of the ballots, while making the ballots easier to obtain and return in a timely manner.

- Update internal ballot handling procedures to include the latest information on FVAP laws such as transmission methods, signature verifications, required supplemental documentations, etc. to ensure that every eligible vote is fully counted.

- Strengthen the dialog with the military, customs officials, and other parties that interface with FVAP ballots to reduce barriers, where possible, particularly in the area of delivery delays.

Two rounds of testing are proposed to both volume test the digital capacities and test the effectiveness of the new processes. Additionally, the Presidential Primary and General Elections will be conducted during this period which will help test the improvements.

When the final products are refined, the resulting documents and processes should be sustainable for little to no ongoing costs. It is anticipated that the improvements suggested should increase the number of valid registrations and the number of counted ballots by an estimated 3-10%. The work products and processes developed here should be scalable for other counties that do not have military bases, regardless of size.

Goals and Objectives

As the local election officials for the County of Santa Cruz, the Elections Department has the legal responsibility to ensure the rights of Uniform and Overseas Citizen Absentee Voter Act (UOCAVA) voters are enforced. While they vote by mail, UOCAVA voters have special rules, statutory deadlines, and handling procedures. Electronically, voters need the ability to register to vote, request a ballot, transmit ballots, and check on the status of their ballots. Officials are required to make sure that ballots are issued between 60 and 45 days prior to the election and report on UOCAVA voter program topics such as tracking the receipt of the ballots, registrations and ballot rejections. Additionally, it is the department's responsibility to notify voters of rejected ballots, and the reason why, as well as handling the Federal Write-In Absentee Ballots.

There are four individual projects being proposed to assist in meeting our statutory requirements. Each project will be discussed separately, though all work collaboratively to reach the end goals. Because funds may be awarded on a project by project basis, a less than fully funded application may result in less than full results yielded over the course of the award. When possible, the programs have been developed to stand on their own, though some overlap does exist.

A key component to successful implementation of any work being done will be opening and ongoing dialog with the military recruiters and local Service Voting Action Officers for the branches of the armed forces, customs officials, postal officials, the Department of Defense, the California Secretary of State, local universities and colleges, passport acceptance facilities, and other parties that interface with FVAP registrations or ballots to reduce barriers, where possible, particularly in the area of delivery delays or "lost" voters. To this end, meetings would need to be held either in person, via conference calls, or through email exchanges for the various projects that are being proposed so that the information disseminated is accurate, useful, practical, and relevant to the target audiences. With participation of these agencies and entities, the final work products discussed below should meet the needs of the UOCAVA voters by bolstering participation from these groups in the dissemination of the information which they had a hand in shaping.

Project 1 – Internal Procedural Upgrades

Significance and Approach: During the last several years, a great deal of research and gathering of best practices has occurred in the area of FVAP eligible voters. Laws that govern FVAP voters have had many changes in the last few years including the Help America Vote Act (HAVA) and Military and Overseas Voter Empowerment Act (MOVE) Act. Additionally, with the changes to state laws regarding ballots, the current best practices documents in the state and county are out of date. Updating the procedures with current information as well as translating them into plain language and posting them online would increase transparency and voter confidence, reduce staff errors in inserting the required documents, and overall improve consistency between elections.

The following documents that need to be drafted or revised for the County of Santa Cruz are:
- UOCAVA Voter Registration Handling Procedure Manual
- UOCAVA Ballot Issuing Guidelines
- UOCAVA Ballot Acceptance Handbook
- UOCAVA Returned Ballot Handling Procedures

- Envelopes for UOCAVA ballots

Staff time would be required to do research on the new laws, updating the manuals, and posting them to the web as well as a small duplication budget for internal copies. Staff will also be responsible for translating the documents into plain language. Should California have a special fall election, or should the primary election be moved to a date other than June 5, 2012, then a plain language translation company, Transcend, would be contacted to do the translation for the County.

Additionally, the Santa Cruz County Clerk, Gail Pellerin, is the President of the California Association of Clerks and Elections Officials (CACEO). The CACEO released a best practices manual in 2007 which needs to be updated. To accomplish this Santa Cruz County would be working with other counties in the state to gather the current information, samples of work being done by other counties and updating the existing document which is disseminated on the CACEO website for all 58 counties in California.

A travel budget would be necessary for site visits and attending meetings with other local officials, as well as meetings to understand the implementation of the new laws and regulations by partnering agencies such as the Department of Defense, the branches of Armed Services, Customs Officials; Postal Workers, the Election Assistance Commission, and the California Secretary of State. This would include rental cars, parking, hotels, airfare, cab fees, per diems, and other standard travel costs.

By updating and improving the instructions for election workers, the UOCAVA voters would be better served which would result in more voters being registered in a timely manner, sent the correct ballots, and having those ballots returned and counted in a time efficient manner while protecting the voter's privacy.

Innovation, Scalability, Collaboration and Sustainability: These improvements would be available for the first time for voters who are unable to come to the office to visit us in person. By posting the procedures online, voters would be able to understand how their vote fits into the whole of the process and how to ensure their ballot is fully counted. The procedures produced would be easily replicated and adapted by any county that does not have a military base. With some modifications, counties with military bases could also use the procedures. When working with the other counties to update the CACEO manual, the resources and experience of all 58 California counties will be tapped. There would be no ongoing costs for these manuals and they would remain valid until the laws change, at which time they would be easily upgraded at little additional cost.

Potential Return on Investment: The return on the initial investment would be significant as training costs would go down, transparency and therefore voter confidence would go up with a low initial cost and minimal ongoing cost.

Project 2 – Upgrading Digital Tracking Methods

Significance, Impact, Innovation, and Approach: Non-UOCAVA voters have a safety net in National Change of Address and Third Party Change of Address programs which catch them when their addresses change and they fail to reregister. This net keeps them in the voting process by alerting elections officials to the voter's new address and allows us to contact them and get them reregistered. UOCAVA voters have no such safety net. Using statistics from the

2008 and 2010 primary and general elections, 5.18% of ballots returned to the elections office are returned unvoted as undeliverable. Additionally 31.21% of all UOCAVA ballots are not returned at all. Combined, this is a 3.71% higher failure rate than the 14.49% of regular voters in similar situations. Santa Cruz County is proposing creating a new voluntary form that would be sent to all current and any future UOCAVA voters requesting that they give us a third party to contact in the event that their ballot is returned as undeliverable or in the event that their email address is found to not work. By upgrading the county's digital tracking system to be able to capture this data, it is hypothesized that the number of correctly registered UOCAVA voters will increase over time and number of UOCAVA voters that remain successfully registered and therefore return ballots will also increase. Additionally, by having better voter information, less personal information will be sent overseas therefore making the process more secure.

By using the data gathered from the simple form, via hard copy, the internet, and email, the county would then be able to use the third party contact or email address gathered from the forms to follow up on ballots that are returned undeliverable. Additionally California Elections Code Section 3100 defines UOCAVA voters as permanent VBM voters and states that their applications shall be handled according to the other permanent VBM code sections. California Election Code Section 3206 requires election officials to purge permanent VBM voters from the permanent VBM system if they fail to vote in two consecutive statewide general elections. With the information gathered on the form, the department would be able to send notifications to the UOCAVA voters on the same schedule as the other permanent VBM voters, easing procedures and giving the UOCAVA voters the greatest opportunity to remain currently and accurately registered over time.

In order to accomplish these things, the County would need to "test" the system by sending all current UOCAVA voters information on the program and the form. This test would serve three functions:
1. Purging voters who are no longer at the mailing addresses on their FVAP cards.
2. Gathering voters' emails and third party contacts for future use.
3. Volume testing capacity of the computer system.

The test would last 60 days, which is the time allowed for standard UOCAVA balloting.

Scalability and Sustainability: Due to the simplicity of the third party solution, the program produced is completely able to be integrated with any system, either electronically, or as a hard copy form attached to the paper applications, which means there is no additional software costs. Regardless of the size of the jurisdiction, the ability to implement and administer this process over time for virtually no additional cost should mean the program becomes self-sustaining.

Potential Return on Investment: This process will yield the largest return on investment of all the programs proposed. The ease of sustainability will mean that for a very small initial investment, the county will be able to address the two largest problems with UOCAVA voters and be able to virtually eliminate undeliverable ballots and reduce the number of ballots not returned due to mail failures.

Project 3 – Dedicated, Isolated, Secure Electronic Balloting Station

Significance, Impact, Innovation, and Approach: Currently, Santa Cruz County accepts faxed ballots and emails ballots to voters using the normal office equipment which has low levels of security. The machines are available to anyone in the department and therefore have a risk associated with each ballot being seen or handled by unauthorized staff, or of having portions of the submitted materials separated or lost before being received by the VBM section of the office. Since the ballots are being sent to voters on non-secure email, there is the potential, though remote, that the ballots could be intercepted or tampered with. The County is proposing establishing a dedicated computer with an associated fax with higher levels of security to better protect the secrecy and security of the ballots. The computer would be password protected and only contain the software (Microsoft Windows, Microsoft Office, Adobe Reader, virus protection software, Internet Explorer, and the secure email software) necessary to send the ballots to the UOCAVA voters ~~and to receive them back.~~ Since the computer and fax would only be used for UOCAVA purposes and it would be isolated within the office and the staff assigned to work on it would be limited only to senior VBM personnel, the security and secrecy of the ballots would be greatly improved. Also, ~~by not commingling the returned ballot faxes~~ with other faxes that are being received at the same time, the instances of ballot materials being separated or lost would be reduced as well. Furthermore, by having a dedicated printer, ballots would be printed on official ballot paper pursuant to California Election Code Section 3103(b).

California currently has Senate Bill 908 which is moving through the legislature with bipartisan support which would allow the email return of UOCAVA ballots. ~~By moving to the secure email system used by the County Health Department for HIPPA compliance, the eventual return of ballots via this manner should also be assured.~~ By limiting the software placed on the computer to include only the reader version of Adobe's software, a ballot that is sent as a pdf file would not be able to be tampered with. If the bill passes, this set up would afford the voter the most secure ballot transmission option of all the available delivery methods open to them.

In addition to these benefits, the isolated computer and email will make sure that UOCAVA votes have a single point of contact for questions and information which would help to provide correct and consistent information.

Once a dedicated computer and email are established, the County can further expand the emailed ballot program to a wider UOCAVA audience. The speed of emailed ballots would greatly improve the chances of UOCAVA ballots arriving in a timely manner via regular mail, and would offer the additional benefit of allowing the elections office to be able to contact the voter quickly if there is a problem with their ballot submission, such as a missing oath or a corrupt file. The ability to do a "second" ballot would be a new improvement for the UOCAVA community. Additionally, this process benefits your "on-the-move" UOCAVA voter, such as someone deployed to a combat zone or someone who is traveling to a great number of locations during the 60 day window for ballot transmission.

While the proposed computer set up would be for Santa Cruz County voters only, the documentation, configuration and processes would be a model for others to follow.

The system would need to undergo stress testing to assure that it could handle a large number of responses in a short time, as is common with VBM ballot returns by mail and at the polling

places. Two tests would be conducted. The first test, as described in Project 2, would be to send all current UOCAVA voters information on the new system and the form developed in Project 2. The second test would be for the voters who have opted in for the email delivery of ballots. This test would consist of a simulated ballot being sent to email voters via the new delivery system wherein they would "vote" and return the "ballot". Regardless of whether or not CA SB908 or a similar bill passes and takes effect prior to this testing phase, the test would include the return of "ballots" so that it could be determined if the ballot design is effective and the instructions are clear. The test has the added benefit of field training the voters on what to expect for future elections. The test would last approximately 14 days to simulate the rapid distribution of ballots which is required to happen between 60-45 days prior to an election. Additionally, it has the added benefit of testing the return rate expected via the email system should online returns be authorized.

Scalability and Sustainability: While Santa Cruz County is a relatively mid-size voting population, the set up described here could easily be scaled up for larger sizes or be modified for smaller jurisdictions. The upkeep costs would include licensing fees for the secure email and use fees for the analog fax line. Due to the low memory and hardware requirements, the computer should last a very long time without needing to be replaced. Additionally, with the increasingly warm reception to email returns of UOCAVA ballots, should that become legal, the system would already be in place to handle that workload with no additional costs.

Potential Return on Investment: For a relatively low initial investment, the potential services and security upgrades for the voters are incredible. The ability to issue second ballots, service votes with no fixed mailing address, and quickly address missing information clearly provides a very high return on the investment. The testing of the online system would prepare the County for the heavy volume associated with presidential voting years, ensuring smooth voting for the UOCAVA voters without ever risking ballot issues during a real election.

Project 4 – Informational Packets for UOCAVA Voters, Their Families, and Service Providers

Significance, Impact and Approach: Every election the County receives phone calls from frantic parents, students and voters who find themselves or their loved ones away from the County and unable to vote in person or perhaps unable to receive regular mail. Most of these phone calls are received too late to help the voters receive ballots. An outreach program to catch the potential UOCAVA voters before they leave the county would remove significant barriers to participation. Because anyone can become a UOCAVA voter by choosing to travel, studying, or being deployed abroad, the strategy the county would employ would entail developing an informational packet, in plain language, possibly in Spanish as well, that could be provided to the potential UOCAVA voter by the group that is allowing or causing the travel abroad as well as posting it to the county website. The agencies that would be targeted are:
- Local Military Recruiters
- Passport Agents in the local jurisdiction
- Local Study Abroad Programs
- Local International Companies
- Parents and families of Military Servicepersons
- Expatriates and Students abroad
- Other interested parties that provide services to people traveling abroad.

The information packets may include such items as posters, fliers, pamphlets, handouts and internet postings. The topics covered in the materials would include:

- Who is eligible to participate
- What participation means
- How to register
- How to get a ballot
- How to return a ballot
- Where to get more information and/or forms

Prior to creating the packets, the County would need to meet with some of the local partners in the armed forces, at the universities and the postmaster to discuss how to target the groups they serve. The information gathered at those meetings would influence the way in which the materials are designed and distributed so that they would be as effective as possible in garnering participation. Once designed, the materials would be duplicated and distributed to partnering agencies in an approximate 30 mile radius from Santa Cruz County as well as posted to the County's website. The digital copies would be referenced in the materials sent to all UOCAVA voters with their ballots. By distributing to an area larger than the immediate boundaries of the county, the county's electorate should be mostly served, not to mention the voters of the surrounding areas that also partake of services at the same facilities.

Innovation, Scalability, Collaboration and Sustainability: The proposed outreach is innovative because it is proactively targeting likely UOCAVA voters before they are abroad where they can not easily or readily access our services. It is innovative for bringing other related industries into the concept of providing more holistic services for their customers. This also is strategic for hitting the potential UOCAVA voter from all angles, thereby reducing the number of uninformed voters. The handouts should be almost entirely universal, except they would direct voters to Santa Cruz County information sources, which could easily be updated for any locality. The outreach program itself is adaptable to any size locality, with or without a military base.

Potential Return on Investment: The true returns on the investment cannot be tracked during the grant period. The results of outreach take time to develop as relationships are formed and the partnering agencies begin to get positive feedback from their clients.

Concluding Remarks

While it is understood that the awarding agency has the ability to fund only portions of any application, funding the entire application creates a compounding effect for the returns based on investment. The overall expected returns are greatly increased when all projects are funded. Because this application is developed with all aspects of the County program in mind, the more programs that are funded, the smaller the likelihood for failures in the system and/or in the safety net that informs voters and keeps them active and participating.

Schedule and Milestones

Below is a summary of activities and progress milestones and the reporting periods they will be discussed in. The reporting periods are discussed in detail in the next section of this proposal. The reporting period information for the fiscal reports is approximate. Some expense information may only become available on a quarterly basis and may miss the listed report deadlines and therefore be included in a later fiscal report.

Date Range	Activity	Project Number	Reporting Period
Award to 11/30/2011	Complete the revision of the internal procedures	1	Fiscal Rpts 1 & 2, Annual Rpt, Mid-Award Data Rpt, Final Rpt
Award to 12/15/2011	Create tracking form for updating registrant information	2	Fiscal Rpts 1-3, Annual Rpt, Mid-Award Data Rpt, Final Rpt
Award to 1/2/2012	Complete the set up for the dedicated computer, email, fax, etc.	3	Fiscal Rpts 1-4, Annual Rpt, Mid-Award Data Rpt, Final Rpt
Award to 1/2/2012	Work on meetings with local partnering organizations such as local higher education institutions, travel agencies, international drivers license facilities, international businesses, local passport agents, local military recruiting offices, etc. to assist in drafting the informational packets.	4	Fiscal Rpts 1-3, Annual Rpt, Mid-Award Data Rpt, Final Rpt
Award to 1/2/2012	Complete informational packets for posting and distribution	4	Fiscal Rpts 1-3, Annual Rpt, Mid-Award Data Rpt, Final Rpt
Award to 1/13/2012	Work with EIMS vendor on interface for FVAP voters information and an email-able ballot	2	Fiscal Rpts 1-3, Annual Rpt, Mid-Award Data Rpt, Final Rpt
1/17/2012 to 1/31/2012	Conduct the test for all FVAP voters and solicit info	2 & 3	Fiscal Rpt 3, Annual Rpt, Mid-Award Data Rpt, Final Rpt
Award to 3/1/2012	Work on meetings with partnering organizations, such as military recruiters, passport agencies, universities, customs officials, Department of Defense (DOD), CA Secretary of State (CA SOS), Election Assistance Commission (EAC), CACEO, etc.	1	Fiscal Rpts 1-4, Annual Rpt, Mid-Award Data Rpt, Final Rpt
3/16/2012	Complete the acceptance of test replies (60-45 days over)	2 & 3	Fiscal Rpts 2-4, Annual Rpt, Mid-Award Data Rpt, Final Rpt
Primary Election	Conduct the Presidential Primary Election	N/A	Mid-Award Data Rpt, Final Rpt
8/6/2012 to 8/20/2012	Conduct the test for voters who prefer email ballots	3	Fiscal Rpts 5, Annual Rpt, Later Award Data Rpt, Final Rpt
General Election	Conduct the Presidential General Election	N/A	Later Award Data Rpt, Final Rpt

Reporting Milestones:

Report Name	Report Type	Subject	Data Deliver-ables	Period Covered	Due Date
Fiscal Report (1)	☐ Programmatic ☒ Fiscal ☐ Data Collection	Detail of all expenses paid for during the period covered	NO	Award to 9/30/2011	10/30/2011
Fiscal Report (2)	☐ Programmatic ☒ Fiscal ☐ Data Collection	Detail of all expenses paid for during the period covered	NO	10/1/2011 to 12/31/2011	1/30/2012
Fiscal Report (3)	☐ Programmatic ☒ Fiscal ☐ Data Collection	Detail of all expenses paid for during the period covered	NO	1/1/2012 to 3/31/2012	4/30/2012
Fiscal Report (4)	☐ Programmatic ☒ Fiscal ☐ Data Collection	Detail of all expenses paid for during the period covered	NO	4/1/2012 to 6/30/2012	7/30/2012
Fiscal Report (5)	☐ Programmatic ☒ Fiscal ☐ Data Collection	Detail of all expenses paid for during the period covered	NO	7/1/2012 to 9/30/2012	10/30/2012
Fiscal Report (6)	☐ Programmatic ☒ Fiscal ☐ Data Collection	Detail of all expenses paid for during the period covered and final grant accounting	NO	10/1/2012 to 12/31/2012	3/3/2013
Annual Report	☒ Programmatic ☐ Fiscal ☐ Data Collection	Update on meeting milestones and progress of working projects	YES	365 days from award date	455 days after award date
Mid-Award Data Report	☒ Programmatic ☐ Fiscal ☒ Data Collection	Data obtained during Presidential Primary Election	YES		
Late Award Data Report	☒ Programmatic ☐ Fiscal ☒ Data Collection	Data obtained during the Presidential General Election	YES	Mid-Award to 12/3/2012	1/2/2013
Final Report	FINAL	Final report regarding program impact	YES	Award to 12/3/2012	3/3/2013

MANAGEMENT APPROACH

The Santa Cruz County Clerk / Elections Department will administer this grant using three permanent staff and potentially an extra help worker. The activities described in the projects proposed will be carried out by Tricia Webber, the Program Coordinator for Vote-By-Mail Services and Canvass Management. In the event of unscheduled elections being called during the award period, Ms. Webber may be assisted by an extra help staff person. Additionally, should there be an unscheduled election, the County would contract with Transcend Translations, a translation and plain language company, to execute portions of Project 1. Fiscal oversight will be handled by Rafaela Hoessel, the Senior Account Clerk for the County Clerk / Elections Department. Administrative oversight will be provided by Gail Pellerin, the County Clerk for Santa Cruz County and President of the CACEO.

Below you will find a description of each project and the management approach for that project.

Project 1 – Internal Procedural Upgrades

Strategic Goals and Justification: Clear, current processes should exist for handling UOCAVA voters. With written procedures, both election official staff and members of the public can understand what goes into the production, handling, security, tabulation and canvassing of an UOCAVA ballot. Election officials have the added benefit of greater consistency both in training and in the processing of UOCAVA ballots. Voters have the added understanding of why they are required to do particular things with their ballots and how the security and secrecy of their ballots is maintained, even when total anonymity cannot be achieved. Additionally, with improved envelopes, voters will not need to resend ballots multiple times due to post offices not sending the ballot to which it is addressed, but back to the voter based on a difficult to understand envelope design.

Current Processes: Santa Cruz County is proposing the updating of the CACEO statewide best practices manual, four Santa Cruz County specific manuals, and the Santa Cruz County Military and Overseas Ballot Envelope.

The current CACEO manual was completed in 2006. It does not contain the latest postal regulations, MOVE Act provisions, and other current changes to ballot handling and processing in California.

Santa Cruz County's internal handling procedures are an oral tradition coupled with samples from previous elections. No comprehensive or dedicated documents exist. The processes currently in place were developed for a voting system no longer in use in Santa Cruz County and, other than small technical changes to accommodate the new voting system, rethinking of the process has not been done in over 20 years. With the recent retirement of the UOCAVA ballot coordinator, the 33 year institutional knowledge was lost.

Individual Proposed Processes and Relevant Performance Measures: The following processes must be completed to achieve the goals of the project:
1. Research the most current UOCAVA regulations and laws

- Manual will be updated with postal regulations and other UOCAVA laws that are in place as of the time of the award of funds
2. Update the CACEO manual with current regulations and best practices from around the state
    - Performance will be based on the completed manual being approved by the post master, the CA SOS, and the president of the CACEO
3. Disseminate the CACEO manual at conferences and via the CACEO website
    - Performance will be based on the posting of the manual on the CACEO website and an email notification being sent to all 58 counties and the CA SOS.
4. Draft Santa Cruz County specific internal manuals and handbooks
    - Performance will be based on the finished Santa Cruz County specific manuals being approved of by the County Clerk that it matches the legal requirements spelled out in the CACEO manual.
5. Post local manuals on the county website
    - Performance will be based on successful uploading of the materials to the county website in the Military and Overseas portion of the website.
6. Train internal staff using the new manuals
    - Performance will be based on reduced staff time to prepare ballots for the Presidential Primary and General Elections when the overall preparation time is averaged to a pre ballot cost as compared to prior elections.
    - Performance will also be based on fewer errors in missing or extra voting materials in the UOCAVA ballot packets based on requests for additional materials or questions about items they received that do not match their correct ballot.
7. Redesign the local envelopes for UOCAVA voters
    - Performance will be based on approval from the postmaster for compliance with postal regulations.

Projected Effectiveness: By updating the manuals both for the CACEO and the local office, and the envelopes used by Santa Cruz County, the following improvements in performance are expected:

- A reduction of staff time to prepare the ballots from 12 minutes per ballot to 8 minutes per ballot.
- A higher percentage of ballots returned that are correctly assembled with their supporting documentation (estimated at a 10% increase).
- A reduction in ballots with ambiguous voter intent as shown anecdotally.
- A larger number of ballots being returned in a timely manner (prior to the deadline) due to a reduction in foreign postal errors (estimated at a 3% increase).

Project 2 – Upgrading Digital Tracking Methods

Strategic Goals and Justification: Unlike voters who are located in the U.S., UOCAVA voters have no failsafe system for address updates. By collecting an additional point of contact from each UOCAVA voter and tracking that information digitally, a smaller number of UOCAVA voters will end up in the inactive file and therefore not get a ballot for future elections. There are two basic types of UOCAVA voters: transitional (typically military and voter temporarily

residing abroad) and stationary (typically voters who have permanently moved abroad). The hypothesis is that voters who are transitional are more likely to reestablish their residence between elections without notifying elections officials than voters who have moved abroad permanently and because there is no failsafe system to alert elections officials of the new information, the transitional voters are more likely to be inactivated due to a returned ballot with a bad address. Based on the voter file as of 6/30/2011, 42% of military voters and 21% of voters temporarily residing overseas are in an inactive status which is in sharp contrast to 9.4% of overseas voters permanently living abroad. The proposed "emergency contact" collection should reduce the number of bad addresses to bring them more in line with one another.

Current Processes: Currently, when a ballot is returned as undeliverable, the County Elections Department removes any mailing address and sends a post card to the residence address to confirm the change of address. If no mailing address exists, then the voter is moved directly to the inactive file. If a new address is provided on the returned ballot, the voter file is updated with the new address and a postcard is sent to new address to confirm change of mailing address. Once in the inactive file, no further ballots or notifications are sent to the voter.

Individual Proposed Processes and Relevant Performance Measures: The following processes must be completed to achieve the goals of the project:
1. Create the tracking form including a confirmation of current mailing address, email, emergency contact and preferred method of ballot delivery.
   - Performance will be based on the completion of the form and posting a similar web interface to the county website in the Military and Overseas portion of the website.
2. Disseminate via email and regular mail to existing voters.
   - Performance will be based on the successful mailing or emailing of the form to all current UOCAVA voters as of the date of the mailing.
3. Receive back the form/information from UOCAVA voters
   - Performance will be based on the successful and unsuccessful return of forms from the UOCAVA voters.
4. Update the EIMS system with form and information
   - Performance will be based on the procedures being finalized for inputting the information into the EIMS system
   - Performance will be based on the successful update of UOCAVA voters with the newly collected form and information.
   - Performance will be based on the updated information about ballot distribution on each UOCAVA voter including an increase of the number of voters using email as their preferred delivery method.
5. Run a test of the web interface system and train voters on its use prior to an actual election.
   - Performance will be based on the number of successful transactions via the web interface.

Projected Effectiveness: By creating the form and tracking the information, the following improvements in performance are expected:

- A reduction of percentage of military and temporarily abroad voters moved to the inactive file due to undeliverable ballots by up to 35%.
- A higher percentage of ballots returned (estimated at a 10% increase).
- A larger number of ballots being returned in a timely manner (prior to the deadline) due to a reduction in foreign postal errors (estimated at a 3% increase) and an increase in the number of ballots returned well in advance of the deadline as shown anecdotally.

Project 3 - Dedicated, Isolated, Secure Electronic Balloting Station

Strategic Goals and Justification: Ballot emailing and fax handling have been significant issues for the Elections Department due to logistical issues with equipment. Ballots are currently emailed from a standard county email address which is widely known and contains no special security enhancements. Ballots are currently received on the only office fax machine which means it can be out of paper, documents can get "shuffled" or lost, and all office staff have access to any ballots that are transmitted in this manner, thereby reducing the secrecy of the ballot even further than necessary. By dedicating a computer with a secure email system, dedicated printer, and dedicated fax, the ballots issued and returned by UOCAVA voters would be afforded the same high level of security as other regular ballots handled by the office. Additionally, the dedicated computer with limited programs would provide for high security for ballots being issued and returned as they must be prepared on another work station and imported using a USB drive to the system. Should CA SB 908 continue to receive bipartisan support and become a law, then the high level of security would be ensured for emailed ballot returns by using an email system similar to those that are HIPPA compliant. The lack of sophisticated software such as Adobe Acrobat would prevent returned ballots from being tampered with prior to printing. Furthermore, ballots returned by fax or email would be produced on official ballot paper as required by California Elections Code Section 3103. Finally, by including these improvements in the documentation posted to the website and sent to UOCAVA voters, voter confidence would increase. UOCAVA voters requesting a ballot by email would likely increase, saving valuable time and money by further automating the voting process.

Current Processes: Ballots are currently sent from the regular office email system and returned on the regular office fax. The regular office email and fax have no extraordinary security or privacy protections in place. The regular office fax is located in the center of the office and is used by all of the department staff. Any staff person can currently remove or move materials from the fax machine. During high use periods, materials often become "shuffled" coming off the fax and before they reach the proper staff. When fax-returned ballots are shuffled, it takes a great deal of time to contact the voters and sort out the various documents. If contact is not possible, ballots run the risk of not being counted due to clerical issues on the elections department end of the process.

Individual Proposed Processes and Relevant Performance Measures: The following processes must be completed to achieve the goals of the project:
1. Obtain the necessary hardware and software.
   - Performance measured by the purchase of a computer, monitor, mouse, keyboard, printer / fax machine, and assorted cables.

- Performance measured by the purchase/obtaining of a license for Microsoft Windows, Microsoft Office, WinZip, Adobe Reader, a secure email system, Virus Protection Software, and any other mandated software.
2. Notify all UOCAVA voters of new options for voting
    - Performance will be based on the successful notification of all UOCAVA voters of the option to receive ballots by email. (NOTE: If Project 2 is not funded, Project 3 will include the mailing described in Project 2 which will still be performed on the Project 2 timeline.)
3. Stress test the email system and train UOCAVA voters on how to use the system during a "mock election"
    - Performance will be based on the number of emails successfully sent to UOCAVA voters.
    - Performance will be based on the number of successful returns of "mock" ballots.
4. Go live for the November 2012 Presidential General Election.
    - Performance will be based on the number of successfully returned actual ballots during the November Presidential General Election.

Projected Effectiveness: By creating an isolated computer and fax system, the following improvements in performance are expected:

- A 100% increase in ballot transmission and reception security as shown anecdotally.
- A reduction in percentage of faxed ballots that have missing pages due to internal clerical issues as shown anecdotally.
- A higher percentage of ballots returned (estimated at 3% increase).
- A reduction in the number of ballots rejected for missing information due to an increased ability to contact and make quick adjustments with UOCAVA voters as shown anecdotally.

Project 4 - Informational Packets for UOCAVA Voters, Their Families, & Service Providers

Strategic Goals and Justification: The single most important factor in the success of any type of voting improvement program is the sharing of information to the service providing community and the service seeking community. While all three other projects described here have focused on improving the internal processes for handling voters and ballots, little attention has been given to catching and informing UOCAVA voters prior to them heading abroad. A comprehensive outreach program to groups, agencies and other entities that serve people who are about to travel abroad will create partnerships and open dialogs about what works and doesn't work in assisting voters with getting into the UOCAVA system. By holding meetings, attending conferences, and working via correspondence, informational pamphlets, fliers, and posters can be created to educate prospective UOCAVA voters about their rights and options.

Current Processes: Other than compliance with California Election Code Section 3004, no outreach program is in place to reach UOCAVA voters who are not yet registered as UOCAVA voters.

Individual Proposed Processes and Relevant Performance Measures: The following processes must be completed to achieve the goals of the project:

1. Meet with interested parties to define their roll in the process and take feedback on how best to reach their clients.
    - Performance measured by the number of meetings held.
2. Create informational packets/fliers/pamphlets.
    - Performance measured by the completion of the materials as approved by the County Clerk.
3. Distribute pamphlets/fliers to all UOCAVA voter related groups within an approximate 30 mile radius of Santa Cruz County.
    - Performance measured by the number of meetings held.
    - Performance measured by the number of packets distributed.
    - Performance measured by the number of agencies that partner with the department.
4. Post the information on the county website in the Military and Overseas portion of the website.
    - Performance measured by the successful posting of materials on the county website in the Military and Overseas portion of the website.

Projected Effectiveness: By creating the UOCAVA outreach packets and distributing them to partnering agencies, the following improvements in performance are expected:

- An increase of materials available at partnering agencies as demonstrated by requests for information packets.
- A 5-10% increase in the number of registered UOCAVA voters registering earlier than historically shown as demonstrated by statistical analysis.
- An increase in overall UOCAVA registered voters.

Current and Pending Proposal Submissions

Santa Cruz County has experience with $3,816,656 in grant funds awarded via the California Secretary of State (state bond money and Federal HAVA funds, from grants, some of which were competitive) and the United States Election Assistance Commission (competitive Federal grant). Below is a description of each of the active outside funding sources for the County Elections Department. While none of them directly, or even indirectly, cover the same project focus, they are included here for full disclosure.

Help America Vote Act (HAVA) Funding

Proposal Summary: The Help America Vote Act of 2002 covers a wide variety of processes with four main areas: Statewide Voter Registration Databases, Provisional Voting, UOCAVA voters, and the elimination of punch card voting systems. The federal funds are administered to the states and then the states awarded funds to the individual counties. The

allocations were awarded to individual project areas. The remaining funds for Santa Cruz County are pertaining only to voting equipment.

Source: California Secretary of State, Agreement #07G30131

Amount of Funding:
    Total Award: $1,698,327.79
    Spent: $1,350,360.79
    Remaining: $347,967.00

Percentage of Effort Devoted to Project: As needed only and only in the voting equipment category now.

Identity of Prime Applicant: County of Santa Cruz

Complete List of Subcontractors: Dominion Voting Systems, Inc. and IT Fleet Services, Inc. currently receive licensing fees for software. Contractors who received funds previously for good or services and are no longer funded can be provided upon request.

Technical Contact Name:
    Name: Gail L. Pellerin
    Address: 701 Ocean Street, Rm. 210, Santa Cruz, CA 95060
    Phone/Fax: 831-454-2419 / 831-454-2445
    Email Address: gail.pellerin@co.santa-cruz.ca.us

Period of Performance: December 19, 2005 to December 31, 2011

Projects of Senior Personnel: No outstanding projects. Money is in reserve to pay for equipment licensing, repairs, parts and the purchase of new equipment.

Award Period: December 19, 2005 to December 31, 2011

Amount and Labor Hours Devoted to Project: Staff time for equipment repairs are on an as needed basis.

How Projects are Related to Proposal: Current projects are in no way related to the proposal. Prior projects included revised instructions, envelopes, the purchase of an envelope printer, etc.

Pre-Election Logic and Accuracy Testing and Post-Election Audit Initiative from the U.S. Election Assistance Commission

Proposal Summary: Santa Cruz County Clerk/Elections Dept. was awarded the Pre-Election Logic and Accuracy Testing and Post-Election Audit Initiative from the U.S. Election Assistance Commission for a blended application of $25,000 to document and improve current effective practices Pre-Election testing and Post-Election Auditing. The current California Election Code, certification mandates, and Use Procedures and manuals released from the vendor. The focus of the work is on more comprehensive testing prior to the election and a more detailed series of post-election audits focusing on easy audits and clear and comprehensive chain of custody procedures to promote greater transparency and more uniform results. The project will do the following:

- Create a library of current practices on pre-election testing and post election canvassing.
- Examine ballot & equipment testing procedures
- Examine ballot, equipment & procedural audit practices from close of polls to certification
- Develop uniform escalation procedures
- Revise audit log reviews & storage based auditing
- Comprehensive reports will be created for the Statement of the Vote
- Ask other counties with the same equipment vendor to participate in sharing experiences, procedures & data, and if resources allow, to test procedures

Source: U.S. Election Assistance Commission, Award #EAC110150D

Amount of Funding:
Total Award: $25,000
Spent: $0.00
Remaining: $25,000

Percentage of Effort Devoted to Project: 21.92%

Identity of Prime Applicant: County Of Santa Cruz

Complete List of Subcontractors: None

Technical Contact Name:
Name: Gail L. Pellerin
Address: 701 Ocean Street, Rm. 210, Santa Cruz, CA 95060
Phone/Fax: 831-454-2419 / 831-454-2445
Email Address: gail.pellerin@co.santa-cruz.ca.us

Period of Performance: May 23, 2011 to April 30, 2012

Projects of Senior Personnel: Tricia Webber – Post Election Canvass / Jaime Young - Pre-Election Testing

Award Period: May 23, 2011 to April 30, 2012

Amount and Labor Hours Devoted to Project: Regular staff- $18,750.00, 720/Hrs.

Extra Help $2,500.

How Projects are Related to Proposal: The programs are only related in that these ballots are handled during the canvass and therefore are included referentially.

VoteCAL from the Secretary of State

Proposal Summary: This funding is provided by the U.S. Election Assistance Commission to the Secretary of State which funds the County to provide the county with funds to all for participation in the following activities:
- Workshops and Meetings
- VoteCal System Training
- EMS Modification Training

- Data Conversion, Correction and Verification and VoteCal Implementation
- Pilot Testing and Implementation.

Source: Secretary of State, Agreement #█████████

Amount of Funding:
Total Award: $468.00
Spent: $0.00
Remaining: $468.00

Percentage of Effort Devoted to Project: None

Identity of Prime Applicant: County Of Santa Cruz

Complete List of Subcontractors: None

Technical Contact Name:
Name: Gail L. Pellerin
Address: 701 Ocean Street, Rm 210, Santa Cruz, CA 95060
Phone/Fax: 831-454-2419/831-454-2445
Email Address: gail.pellerin@co.santa-cruz.ca.us

Period of Performance: January 1, 2010 to December 31, 2011

Projects of Senior Personnel: None

Award Period: January 1, 2010 to December 31, 2011

Amount and Labor Hours Devoted to Project: None

How Projects are Related to Proposal: The VoteCAL system will be California's Statewide Voter Registration Database. Because UOCAVA voters are tracked by that system, the projects are related referentially, but in no practical way. Additionally, since the VoteCAL system is yet to be designed, there is no overlap in project focus.

Qualifications

Gail Pellerin – Administrative Oversight

Gail Pellerin first joined the county in 1993, heading the Elections Division of the County Clerk/Recorder. Gail was appointed as County Clerk in 2004 and has since run unopposed two times. Prior to her work with the County, she was Assistant Director, Speaker's Office of Majority Services (1991-1992), Director of Legislative Unit – Speaker's Office of Majority Services (1988-1992), Legislative Aide, Speaker' Office of Majority Services (1987-1988) as well as working on many campaigns and as an aide throughout the state (1985-1992), teaching at Merced Community College (1985-1987), and writing for several newspapers (1985-1992). Gail is the current President of the CACEO, Co-Chair of the Secretary of State's Voter Accessibility Advisory Committee, instructor for the Cal-PEAC Accessibility and Budget courses, as well as teaching innumerable election officer training classes at the local level. Gail is also published as a co-author in a UC Berkeley study on Risk-Limiting Audits. Gail has received many awards, the most notable being the American Civil Liberties Union Hammer of Justice Award and Proclamations from the City of Santa Cruz and County of Santa Cruz. Gail is also a graduate of

the inaugural class of California Professional Election Administration Credential Program in 2005.

Tricia Webber – Project Principal

Tricia Webber joined the department in May 1998 as a temporary worker assisting with many of the department functions. She worked in this capacity until November 2007 when she moved to a permanent position where she oversaw election officer staffing and training. In this position she was charged with finding over 900 people to work on Election Day and train them to fill the various positions. During her tenure in this position, she worked on building relationships with local high schools (student poll worker program), colleges, and non-profit organizations (adopt-a-poll program), as well as updating the training materials to reflect changes in the state's election codes and mandates. Due to a retirement in March 2010, she also took on the Vote-By-Mail Services position and ran both programs until August of the same year when a replacement for the Election Officer position was hired, but continued to help with the training through the November 2010 election. Since 2008 she has been actively involved with the post election canvass activities and was recently name Canvass Manager. In addition to her commitments at the Elections Office, Tricia serves on several committees locally and on the state level. She is a member of the CACEO Legislative Committee, Summer Institute Training Committee, Voters with Specific Needs Committee, the State Poll Worker Guidelines Committee, the Post Election Audit Committee where she helped draft California Assembly Bill 2023, and is President of her local PEO Chapter and the school's Parent's Association. She was a participating member of the Risk-Limiting Audit Pilot in 2008 with Phil Stark and UC Berkley (published) and will be participating again in the second round of the pilot in 2011 and 2012. Tricia became a California Registered Election Official in 2010 after completing courses offered through the Election Center and CACEO. She has also been nominated for the County of Santa Cruz Employee Recognition Award for General Government twice, winning the gold award in 2008. In 2011 she was awarded a $25,000 competitive grant from the EAC for Pre-Election Testing and Post-Election Audits. Tricia is also an accredited teacher and has taught a variety of studies, including high school students with disabilities.

Rafaela Hoessel – Fiscal Oversight

Rafaela Hoessel is the Senior Account Clerk. Rafaela joined the department in January 2011 after working as an Account Clerk for the Civil Division of the Santa Cruz County Sheriff-Coroner's Office from 2006 to 2011. Rafaela also has 10 years of corporate bookkeeping and personnel experience. During her corporate employment, she was rewarded as the employee of the quarter and received a certificate for her service.

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BUDGET PROPOSAL NARRATIVE

This proposal is broken down into four independent projects. The projects weave together to create a comprehensive reform package. If fully funded, the projects will create an advanced, modern, and secure network of information and processes that will significantly improve the voting experience for UOCAVA voters. The programs described are all sustainable, long term solutions that are scalable for any size jurisdiction. The ongoing costs for each project are minimal and easily absorbed by the local jurisdictions. The new and innovative projects described in this proposal will make a substantial impact on reducing the high failure rates of each stage of the UOCAVA process.

For each project below a synopsis of the program is provided along with the associated justifications and estimated costs. The costs are structured to match the SF424A form attached to this proposal. The County is not claiming any Fringe Benefits, Construction, or Indirect Costs including Administrative or Clerical costs generated by this proposal.

California has two possible elections that may impact the ability to deliver on the projects. The Presidential Primary Election is currently set by code in February. Because the Democratic Party rules would not allow California's votes to be considered in choosing the nominee, there are several bills currently in the works to reconsolidate the Presidential Primary and the Direct Primary or to move it a later date, but not consolidate it. This proposal was written with the assumption that the Primaries will be consolidated. Secondarily, the Governor has indicated his desire to have a statewide election some time in fall of 2011. Should either of these scenarios occur, the alternate budgets listed below would be used. The alternate budgets allow for the use of a contractor to assist with the manual layout and language simplification and structuring.

Finally, should only portions of the proposal receive funding, some expenses from one project may need to move to another project. These costs have been broken out separately for easy conversion, but they have not been incorporated into the alternate project.

Project 1 – Internal Procedural Upgrades

This project consists of an update of the CACEO manual and then the development of local manuals. As stated above, if an election is called for 2011 or a third election is scheduled for 2012, the alternate budget will need to be used for the development of the local manuals. Both budgets are listed here.

CACEO Manual

Activity Synopsis
- Update the 74 page manual that is posted on the CACEO website
- Host 2 meetings in association with the CACEO Legislative Subcommittees (1 in northern CA, the other in southern CA) to gather information and best practices from attending counties
- Visit counties with large UOCAVA participation to see their practices (up to 10 counties statewide)
- Host conference calls to gather information and best practices from counties not attending CACEO Legislative Subcommittee meetings
- Make individual calls to counties for clarification of procedures and information

Costs
- **Direct Labor**
  - 140 hours for Tricia Webber's time at $28.19/hour (at the time of submittal)
  - Not to exceed $4000.00
- **Travel**
  - 2 subcommittee meetings
  - 10 statewide county visits
  - Plane tickets/vehicle mileage and expense/hotel (if overnight)/per diem
  - Not to exceed $3000.00
- **Supplies**
  - Photocopying envelopes and other materials submitted by counties
  - Photocopying sections for counties to review/edit before final posting to website
  - Not to exceed $50.00
- **Other Direct Costs**
  - Telecom charges for the conference call capability and applicable long distance charges
  - Not to exceed $230.00

Santa Cruz County Manual (in house)	Santa Cruz County Manual (using contractor)

Activity Synopsis
   ▪ Create/update manuals for use in Santa Cruz County Elections and to post on the website
      ○ UOCAVA Voter Registration Handling Procedure Manual
      ○ UOCAVA Ballot Issuing Guidelines
      ○ UOCAVA Ballot Acceptance Handbook
      ○ UOCAVA Returned Ballot Handling Procedures
      ○ Update outgoing and return UOCAVA ballot envelopes
Costs
   ▪ **Direct Labor**
      ○ 30 hours for Tricia Webber's time at $28.19/hour (at the time of submittal)
      ○ Not to exceed $850.00
   ▪ **Supplies**
      ○ Photocopying manuals for training purposes
      ○ Binder and tabs for a procedure manual
      ○ Not to exceed $100.00 (based on County's Duplicating prices and catalog list prices)
	Activity Synopsis
	   ▪ Create/update manuals for use in Santa Cruz County Elections and to post on the website
	      ○ UOCAVA Voter Registration Handling Procedure Manual
	      ○ UOCAVA Ballot Issuing Guidelines
	      ○ UOCAVA Ballot Acceptance Handbook
	      ○ UOCAVA Returned Ballot Handling Procedures
	      ○ Update outgoing and return UOCAVA ballot envelopes
	Costs
	   ▪ **Direct Labor**
	      ○ 17.5 hours for Tricia Webber's time at $28.19/hour (at the time of submittal) for creation and editing
	      ○ Not to exceed $500.00
	   ▪ **Supplies**
	      ○ Photocopying manuals for training purposes
	      ○ Binder and tabs for a procedure manual
	      ○ Not to exceed $100.00 (based on County's Duplicating prices and catalog list prices)
	   ▪ **Contractual**
	      ○ 20 hours at $87.50/hour (based on current purchase order with Transcend Translations)
	      ○ Not to exceed $1750.00

Totals:
   ▪ **In House**
      ○ Direct Labor - $4850.00
      ○ Travel - $3000.00
      ○ Supplies - $150.00
      ○ Contractual - $0.00
      ○ Other Direct Costs - $230.00
	Totals:
	   ▪ **Contractor**
	      ○ Direct Labor - $4500.00
	      ○ Travel - $3000.00
	      ○ Supplies - $150.00
	      ○ Contractual - $1750.00
	      ○ Other Direct Costs - $230.00

Grand Total - $8230.00	**Grand Total - $9630.00**

As discussed in the Goals and Objectives portion of the Technical Approach and Justification Section, the County anticipates that the return on the initial investment would be significant as training costs would go down, transparency and therefore voter confidence would go up with a low initial cost and minimal ongoing cost. Furthermore, as discussed in the Management Approach Section, the performance measures for these upgrades are:

- Completed CACEO Manual being approved by the post master, the CA SOS, and the president of the CACEO
- Posting of the manual on the CACEO website and an email notification being sent to all 58 counties and the CA SOS.
- Finished Santa Cruz County specific manuals being approved of by the County Clerk that it matches the legal requirements spelled out in the CACEO manual.
- Successful uploading of the materials to the county website in the Military and Overseas portion of the website.
- Reduced staff time to prepare ballots for the Presidential Primary and General Elections when the overall preparation time is averaged to a pre ballot cost as compared to prior elections.
- Fewer errors in missing or extra voting materials in the UOCAVA ballot packets based on requests for additional materials or questions about items they received that do not match their correct ballot.
- Approval from the postmaster for compliance with postal regulations.

Finally, the County expects to see the following changes in the UOCAVA statistics as of a result of these projects:

- A reduction of staff time to prepare the ballots from 12 minutes per ballot to 8 minutes per ballot.
- A higher percentage of ballots returned that are correctly assembled with their supporting documentation (estimated at a 10% increase).
- A reduction in ballots with ambiguous voter intent as shown anecdotally.
- A larger number of ballots being returned in a timely manner (prior to the deadline) due to a reduction in foreign postal errors (estimated at a 3% increase).

Project 2 – Upgrading Digital Tracking Methods

Activity Synopsis
- Create a contact form for each UOCAVA voter that lists the current mailing address, email address, phone number, preferred voting method (email versus regular post), and name/address/phone number for a contact person
- Meet with DFM (the EIMS vendor) to create a way to integrate the contact information into the UOCAVA registration records
- Update all UOCAVA registration records
  - To reflect any information changes
  - To reflect voting preference (email versus regular post)
  - Scan as a supporting document the contact information to registration record
- Test the new equipment (dedicated electronic balloting station) by sending out these forms to all UOCAVA voters that are currently on the email preference list

Costs
- **Direct Labor**
  - 16 hours for Tricia Webber's time at $28.19/hour (at the time of submittal) (for stuffing the mailings)
  - 92 hours for Tricia Webber's time at $28.19/hour (at the time of submittal) (for remaining activities)
  - 40 hours at $18.30/hour (extra help for data entry) (wage is an average of current extra help employees as of the time of submittal)
  - Not to exceed $3800.00
- **Travel**
  - 1 trip to Irvine to meet with the EIMS vendor to work on a program enhancement to integrate contact information
  - Plane tickets/vehicle mileage and expense/hotel/per diem
  - Not to exceed $600.00
- **Supplies**
  - Photocopying the form for sending through regular post ($20.00)
  - Mailing packets (envelopes - $105.00; mailing labels - $25.00, postage - $1650.00)
  - Not to exceed $1800.00 (based on County's Duplicating prices and catalog list prices)

Totals:
- Direct Labor - $3800.00
- Travel - $600.00
- Supplies - $1800.00
  - **Grand Total - $6200.00**

As discussed in the Goals and Objectives portion of the Technical Approach and Justification Section, the County anticipates that the return on the initial investment would be the largest return on investment of all the programs proposed. The ease of sustainability will mean that for a very small initial investment, the county will be able to address the two largest problems with UOCAVA voters and be able to virtually eliminate undeliverable ballots and reduce the number of ballots not returned due to mail failures. Furthermore, as discussed in the Management Approach Section, the performance measures for these upgrades are:

- Completion of the form and posting a similar web interface to the county website in the Military and Overseas portion of the website.
- Successful mailing or emailing of the form to all current UOCAVA voters as of the date of the mailing.
- Successful and unsuccessful return of forms from the UOCAVA voters.
- Procedures being finalized for inputting the information into the EIMS system
- Successful update of UOCAVA voters with the newly collected form and information.
- Updated information about ballot distribution on each UOCAVA voter including an increase of the number of voters using email as their preferred delivery method.

- The number of successfully transactions via the web interface during the test of the system.

Finally, the County expects to see the following changes in the UOCAVA statistics as of a result of these projects:
- A reduction of percentage of military and temporarily abroad voters moved to the inactive file due to undeliverable ballots by up to 35%.
- A higher percentage of ballots returned (estimated at a 10% increase).
- A larger number of ballots being returned in a timely manner (prior to the deadline) due to a reduction in foreign postal errors (estimated at a 3% increase) and an increase in the number of ballots returned well in advance of the deadline as shown anecdotally.

Project 3 – Dedicated, Isolated, Secure Electronic Balloting Station

Activity Synopsis
- Obtain a computer with a printer/fax to create a dedicated electronic balloting station
- Set up a secure email account
- Set up a fax line to the balloting station
- Test the new station with a mock election

Costs
- **Direct Labor**
  - 21 hours for Tricia Webber's time at $28.19/hour (at the time of submittal)
  - Not to exceed $600.00
- **Equipment**
  - Computer - $800.00 (based on County's ISD price list)
  - Monitor - $250.00 (based on County's ISD price list)
  - Printer/Fax - $850.00 (based on County's ISD price list)
  - Secure Email Encryption Software - $100.00 (based on County's ISD price list)
  - Fax Line - $100.00 (based on County's ISD price)
  - Not to exceed $2100.00
- **Supplies**
  - Printer Toner Cartridge - $100.00 (based on catalog price list)
  - Paper - $10.00 (based on catalog price list)
  - Envelopes - $110.00 (based on catalog price list)
  - Not to exceed $220.00

Totals:
- Direct Labor - $600.00
- Equipment - $2100.00
- Supplies - $220.00
  - **Grand Total - $2920.00**

As discussed in the Goals and Objectives portion of the Technical Approach and Justification Section, the County anticipates for a relatively low initial investment, the potential services and security upgrades for the voters are incredible. The ability to issue second ballots, service votes with no fixed mailing address, and quickly address missing information clearly provides a very high return on the investment. The testing of the online system would prepare the County for the heavy volume associated with presidential voting years, ensuring smooth voting for the UOCAVA voters without ever risking ballot issues during a real election. Furthermore, as discussed in the Management Approach Section, the performance measures for these upgrades are:
- Purchase a computer, monitor, mouse, keyboard, printer / fax machine, and assorted cables.
- Purchase/obtaining of a license for Microsoft Windows, Microsoft Office, WinZip, Adobe Reader, a secure email system, Virus Protection Software, and any other mandated software.

- Successful notification of all UOCAVA voters of the option to receive ballots by email. (NOTE: If Project 2 is not funded, Project 3 will include the mailing described in Project 2 which will still be performed on the Project 2 timeline.)
- Number of emails successfully sent to UOCAVA voters.
- Number of successful returns of "mock" ballots.
- Number of successfully returned actual ballots during the November Presidential General Election.

Finally, the County expects to see the following changes in the UOCAVA statistics as of a result of these projects:
- A 100% increase in ballot transmission and reception security as shown anecdotally.
- A reduction in percentage of faxed ballots that have missing pages due to internal clerical issues as shown anecdotally.
- A higher percentage of ballots returned (estimated at 3% increase).
- A reduction in the number of ballots rejected for missing information due to an increased ability to contact and make quick adjustments with UOCAVA voters as shown anecdotally.

Project 4 – Informational Packets for UOCAVA Voters, Their Families, & Service Providers

Activity Synopsis
- Create a campaign to inform UOCAVA voters, families and service providers of UOCAVA voting rights
- Meet with local agencies that provide service to UOCAVA voters to discuss their stake in the process and what their needs/wants are in this information packet
- Create pamphlets, fliers, handouts, posters, etc. to be distributed at various locations for the UOCAVA voters. These pamphlets would include information on eligibility, registration, obtaining and returning ballots, and where to get more information
- After creating the pamphlets, distribute to all applicable agencies within a 30 mile radius of Santa Cruz County (military recruiting offices, universities, passport acceptance facilities, international companies, etc.)
- Create a letter campaign to distribute to all travel agencies within a 30 mile radius of Santa Cruz County
- Post handouts and other information on website

Costs
- **Direct Labor**
  - 84 hours for Tricia Webber's time at $28.19/hour (at the time of submittal)
  - Not to exceed $2400.00
- **Travel**
  - 7 "pre-meetings" with military recruitment officers, postal service representatives, colleges (UC, CSU, and Junior Colleges)
  - 50 locations to distribute the completed packets
  - Vehicle mileage and expenses
  - Not to exceed $750.00
- **Supplies**
  - Photocopying/folding of the finished materials (pamphlets, posters, flyers) in color (based on County's Duplicating prices)
  - Display holders (based on catalog price list)
  - Paper, envelopes, postage for mailing to travel agents (based on catalog price list and US postage rates)
  - Not to exceed $2500.00
- **Contractual**
  - Translation of the finished packet into Spanish at $.20/word (based on current purchase order with Transend)
  - Not to exceed $600.00

Totals:
- Direct Labor - $2400.00
- Travel - $750.00
- Supplies - $2500.00
- Contractual - $600.00
  - **Grand Total - $6250.00**

As discussed in the Goals and Objectives portion of the Technical Approach and Justification Section, the true returns on the investment cannot be tracked during the grant period. The results of outreach take time to develop as relationships are formed and the partnering agencies begin to get positive feedback from their clients. Furthermore, as discussed in the Management Approach Section, the performance measures for these upgrades are:

- Number of pre-meetings held.
- Completion of the materials as approved by the County Clerk.
- Number of meetings held.
- Number of packets distributed.
- Number of agencies that partner with the department.
- Successful posting of materials on the county website in the Military and Overseas portion of the website.

Finally, the County expects to see the following changes in the UOCAVA statistics as of a result of these projects:

- An increase of materials available at partnering agencies as demonstrated by requests for information packets.
- A 5-10% increase in the number of registered UOCAVA voters registering earlier than historically shown as demonstrated by statistical analysis.
- An increase in overall UOCAVA registered voters.

Total for the 4 projects: .

In House
- Project #1 – $8230.00
- Project #2 – $6200.00
- Project #3 – $2920.00
- Project #4 – $6250.00
  - **Grand Total – $23600.00**

Contractor
- Project #1 – $9630.00
- Project #2 – $6200.00
- Project #3 – $2920.00
- Project #4 – $6250.00
  - **Grand Total – $25000.00**