

State of Alaska **Reimbursable Services Agreement**

ORIGINAL AMENDMENT #

Payment Process
 Execute RSA (145-90 or 145-95) Agency Journal Entry (430-40) Other General Warrant

Requesting Agency Office of the Governor	BRU Elections	Component	ADN # 0180021
Servicing Agency University of Alaska/Anchorage	BRU	Component	ADN # 45-8-0149

I. Project or program title: **State of Alaska Election Security Project**

II. The servicing agency agrees to provide the requesting agency with the following service(s):
 (Answer who, what, where, when, why and how cost estimates are derived. Use attachment if necessary.)

The University of Alaska has been asked to analyze the Division of Elections technologies systems, and procedures to count and tabulate ballots by optical scanning and touch screen systems and develop a project plan to address vulnerabilities. See attached document for the scope of project and project proposal.

Current funding for Phase 1 (a&b).

REQ Program Contact/Phone: **Mini Cherian 465-4611** SVC Program Contact/Phone:

III. Terms and mechanics of reimbursement: <input type="checkbox"/> Payment upon approval <input checked="" type="checkbox"/> Payment upon receipt of inter-agency billing <input type="checkbox"/> Payment upon completion of service(s) <input type="checkbox"/> Other (Specify)	Billing Address: Office of the Governor Division of Administrative Services P.O Box 110001 Juneau, Ak 99811-0001/Fax 465-2211/ Joy Carrillo-Magallanes
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Commencement date 9/1/2007	Completion date 12/15/2007	Billing RD code EN 0187006	Phone # 465-3895
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IV. Servicing agency cost based on: Itemized costs of service(s) provided
 Cost allocation schedule (description of allocation methodology must be attached)

V. Schedule of maximum costs to be incurred by the Servicing Agency:

	Original Agreement	Previous Amendment(s)	This Amendment	Total
Personal Services	\$ 26021 - <i>kw</i>	\$	\$	\$ 26021 - 0.00 <i>kw</i>
Travel	\$ 2200.46 <i>kw</i>	\$	\$	\$ 2200. - 0.00 <i>kw</i>
Contractual	\$ 16979. - 60,000.00 <i>kw</i>	\$	\$	\$ 16979. - 60,000.00 <i>kw</i>
Supplies	\$ 2800 - <i>kw</i>	\$	\$	\$ 2800 - 0.00 <i>kw</i>
Equipment	\$	\$	\$	\$ 0.00
Grants	\$	\$	\$	\$ 0.00
Other	\$ 2570 <i>kw</i>	\$ 12,000 - <i>kw</i>	\$	\$ 12,000 - 0.00 <i>kw</i>
Total	\$ 60,000.00	\$ 0.00	\$ 0.00	\$ 60,000.00

Servicing Agency may not change line items without approval of Requesting Agency

VI. Budgeting and Accounting Information:

Requesting Agency Appropriation Capital Operating
 If Operating, Is item on Inter-Agency Services Report? No Yes, on detailed Budget Page

Financial coding to be charged 08-01222709 lc 1032001-73817 Appropriation Cite ch 82, sla 03, pg 28, ln 7
(Format: Sec Ch SLA Pg Ln)

HAVA Technological Security Appropriation Cite _____

Open Item # or Batch # (RS, EN, or AJE) RS 0180021 (0187006) Date funds lapse 6/30/2008

Federal funds No Yes, Amount \$60,000.00

Federal Agency/Program/CFDA/Grant/Contract No. 90.401 Federal Pass Through YES NO

Servicing Agency Authorization

Is this agreement using budgeted authorization? No Yes
 Is item on Restricted Revenue Report? No Yes, on detailed Budget Page

AR _____ CC _____ RR _____ Other _____
 AR _____ CC _____ RR _____ Other _____

VII: Approvals & Certification: The requesting agency and servicing agency agree to the terms and conditions above. In addition, the requesting agency certifies that sufficient funds are encumbered to pay this obligation or that there is sufficient unencumbered balance in the appropriation cited to cover this obligation. I am aware that to knowingly make or allow false entries or alterations on a public record, or knowingly destroy, mutilate, suppress, conceal, remove or otherwise impair the verity, legibility or availability of a public record constitutes tampering with public records punishable under AS 11.58.815-820. Other disciplinary action may be taken up to and including dismissal.

Requesting Agency Authorized Signature <i>Whitney H Brewster</i>	Printed Name Whitney Brewster, Director	Date 11-07-07
Servicing Agency Authorized Signature <i>Carol Weatherby</i>	Printed Name Carol Weatherby, Dir. Grants & Contracts	Date 11/13/07
OMB Authorized Signature (as applicable)	Printed Name	Date

RECEIVED
NOV 09 2007
DIVISION OF ELECT.

[Handwritten initials]

State of Alaska Election Security Project: Project Proposal Summary (Final Version October 26, 2007)

October 26, 2007

Contacts: LuAnn Piccard, Principal Investigator, ESPM Department, School of Engineering, 786-1917

PROPOSED PROJECT:

ANALYZE ALASKA DIVISION OF ELECTIONS' TECHNOLOGIES, SYSTEMS, AND PROCEDURES TO COUNT AND TABULATE BALLOTS BY OPTICAL SCANNING AND TOUCHSCREEN SYTEMS. DEVELOP PROJECT PLAN TO ADDRESS VULNERABILITIES.

The University of Alaska has been asked to review the current system and determine if there are security problems that could jeopardize the results of elections. Ten years ago Alaska became the first state in the nation to use optical scanning on a statewide basis. It is appropriate to review whether the technology and the procedures and practices used in Alaska are secure and still constitute "best practice" in vote processing.

Recent studies conducted by the University of California and Florida State University to compare a variety of vote tabulation systems, including one similar to Alaska's, have concluded that significant problems exist with all of the systems they tested. They concluded that several of the systems could be certified by the state with certain procedural protections, highlighting the importance of the business practices that are utilized with technology.

After consultation with the evaluation teams from University of California and Florida State University, we propose the following phased project to identify and address issues that may impact the integrity of Alaska's election process:

Phase 1a: Overview-level evaluation of recent studies relative to existing Alaska systems, technologies and procedures

Inclusions:

- A brief review of studies and tests that have been undertaken that might be relevant to Alaska's situation.
- A summary of the University of California's and Florida State University's tests and conclusions, analyzing the recommendations that were made and are applicable to Alaska's optical scanning technology.
- Research and assess improvements made by Premier (formerly Diebold) based on California and Florida studies and their applicability to our systems
- Assessment of existing Alaska systems and equipment and ability to upgrade security functionality
- Research other states that are conducting similar research. Determine potential points of collaboration, partnership and leverage
- General evaluation of Alaska's election policies, processes and procedures
- Provide repository for public input via Division of Elections website. Use this input to guide suggested approach for interactive public input/response in Phase 2. Ensure that both UAA and Division of Elections have record of public input. Provide automated response message that thanks public for input as follows (or as otherwise agreed):
"Thank you for your interest in the Election Security Project being conducted by the University of Alaska at the request of Lieutenant Governor Parnell and the Division of Elections. We value your suggestions, ideas and questions. During

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the initial phase of this project, comments are being collected that may be studied in future phases. Phase 1 will consist of an overview-level evaluation of recent studies relative to existing Alaska voting systems, technologies and procedures that will give the Division of Elections a high-level vulnerability assessment and preliminary recommendations for implementation prior to the 2008 elections. During a later phase of the project, we will also provide a more interactive mechanism to answer questions and field suggestions.”

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Exclusions:

- Detailed analysis, hands-on operational and technical evaluation of systems.
- Detailed study of Alaska’s election policies, processes and procedures
- Direct responses to public input.

Deliverables: High-level vulnerability assessment and preliminary recommendations. Proposed statement of work for Phase 2 detailed analysis and recommendations.

Timeframe: September 18-November 30, 2007

Cost estimate: \$50,000

Phase 1b: Additional overview evaluation of security related issues for touch-screen voting systems

Inclusions

- Evaluation of existing studies of security issues for touch screen systems and implications for Alaska

Exclusions

- Evaluation of usability issues for touch screen systems including ease of use, training, set-up, removal, quality, transportation, etc.

Deliverables: Extension of high-level vulnerability assessment of touch-screen systems. Proposed statement of work for Phase 2 detailed analysis and recommendations to include touch-screen systems.

Timeframe: September 18-December 15, 2007

Cost Estimate: \$10,000

Total Phase 1 (a &b) budget estimate: \$60,000

Movement to the next phase dependent on agreement between the State of Alaska Division of Elections and the University of Alaska Anchorage.

Phase 2: Detailed Analysis, Validation and Prioritized Recommendations

- A series of test runs of Alaska’s technology with attempts to corrupt the results with existing policies and procedures in place.
- Evaluation of processes for functionality testing, logic and accuracy testing, system security, pre-election and post-election auditing.
- Evaluation and recommendations of data transmittal to GEMS computer to avoid introduction of viruses and long-time delays in election returns.

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- An analysis of the process and procedure requirements, to evaluate effectiveness against tampering (technologies, systems and procedures).
- Evaluation of procedures for transportation of election materials and equipment to provide sufficient time for set-up prior to the election while maintaining necessary security of the equipment.
- Evaluate methods to protect system from malicious insiders seeking to affect election outcome
- Suggestions for changes to processes and procedures to increase the security of the elections.
- Evaluation of any security related issues associated with touch-screen voting units

Deliverable: Project Plan to address prioritized list of technology, systems and procedural vulnerabilities phased to meet 2008 election process timeline

Timeframe (est): January – End March 2008

Cost (est.): \$900,000 (\$450,000 for systems and technology evaluation and \$450,000 for process, system, personnel and procedural analysis and recommendations. Preliminary estimate based on costs for California and Florida studies applied to Alaska environment.)

Movement to the next phase dependent on agreement between the State of Alaska Division of Elections and the University of Alaska Anchorage.

Phase 3: Execution of Phased Project Deliverables

- Develop and test prototype systems and processes in partnership with users
- Oversee implementation of key technology, system, process, training, documentation, etc. recommendations phased with 2008 election process timeline
- Audit completion of key deliverables and procedures to ensure conformance

Deliverables: Completion of key deliverables as defined and agreed in project plan.

Timeframe: March 31, 2008+ (deliverables completion phased with 2008 election process timeline)

Cost: TBD based on project scope defined in Phase 2.

Movement to the next phase dependent on agreement between the State of Alaska Division of Elections and the University of Alaska Anchorage.

Phase 4 (optional): Live audit of systems and procedures during election

- Audit systems and election process in real-time
- Test for and identify additional gaps and issues
- Propose future corrective action

Deliverables: Collaborate with Division of Elections to conduct real-time analysis and assessment of actual system and procedure use during election. “Post Mortem” analysis to determine lessons-learned and identify opportunities for additional corrective action.

Timeframe: November 2008-January 2009

Cost: TBD

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Movement to the next phase dependent on agreement between the State of Alaska Division of Elections and the University of Alaska Anchorage.

Over the course of the three- to four-phase project, the project leader and participants will interact and confer with relevant state and regional election officials, as well as industry and academic experts in voting system security and voting system vendors. Each phase of the project will provide a written report on findings and recommendations. Minor modifications of the phases may be necessary dependent on findings from the previous phase. All final reports will be made available to the public through the Division of Elections website and other agreed public forums (e.g. University of Alaska library, Division of Elections offices, etc.). The Alaska State Division of Elections will make the final determination of what information will be made public in order to safeguard the election process and systems from criminal activity and to protect confidential vendor information. All work will be done in consultation with the Lieutenant Governor's office as needed.

FDE 110-10: ADD ENCUMBERED EXPENDITURE

B 2065369 S 0011

ENC EXP NUMBER 187006 ADDITIONAL AUTH RD _____
DOCUMENT NUMBER AA20653690011 DATE DUE 6 30 2008
SOURCE RD CODE 1240 DATE ESTABLISHED 11 7 2007
TOTAL AMOUNT 60000.00 SPREAD AMT(Y/N) N
DESCRIPTION SHORT UAA/ELECTION SEC PRO
DESCRIPTION LONG UAA/ELECTION SECURITY PROJECT _____

FISCAL PERIOD	CODE C	LIQ RULE LN	DENOMINATOR	RETENTION(Y/N)	N
1	RS	0180021	60000.00	9 1 2007	
COMMENTS UAA ELECTION SEC PROJECT _____					
2	COMMENTS _____				
3	COMMENTS _____				

FIN	AMOUNT	SY	CC	PGM	LC	ACCT	FY	NMR	MORE	FINS	N
1	60000.00	08	1222709		1032001	73817	08				
2											

Enter-PF1---PF2---PF3---PF4---PF5---PF6---PF7---PF8---PF9---PF10--PF11--PF12---
UPDAT QUIT SUBMT ERRS BASE FINS REFS PFKYS HELP