



UNITED STATES
ELECTION ASSISTANCE COMMISSION
Best Practices Tool Kit



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I. Issues and Shared Practices in Administration Management and Security for All Voting Systems

A. Pre-Election Management

- Ten Election Management Tips
- Are You Introducing a New Voting System This Year?
- Voting System Vendor Management and Contract Issues

1. Ten Election Management Tips

1.1 Develop Strategic Plans and Checklists.

As you deal with the daily challenges that come in a presidential election year, it's easy to lose track of what needs to happen in order to meet key pre-election deadlines. Develop a "pre-election management checklist" and operations calendar, as well as task-specific checklists. Meet regularly with staff to go through checklists. Conduct a pre-election strategy session with staff, vendor and selected pollworkers and weekly status meetings.

Examples

- Travis County, Texas, recommends using Microsoft Project as a software to develop and monitor election calendars.
- [Election Calendar LA County](#)
- Prince William County [Check List for Elections](#)
- The Election Center is developing a series of checklists on a variety of election topics. Completed checklists include a "[Voting Systems Checklist](#)" and an "[Accessibility Preparations Checklist](#)".

1.2 Build Partnerships with Stakeholders.

Strengthening relationships with elected officials, the community and voters will both make the election go more smoothly and may help gain you public support both after Election Day and during the budget process. Solicit support from local government leaders and by establishing an elections steering committee. Conduct pre-election briefings with media, candidates, political leaders and community organizations. Conduct training programs for voter registration drive organizers and community pollwatchers. Send regular status reports to your bosses.

Example

Montgomery County, Maryland, established an "**Elections Task Force**" consisting of key county managers (County Executive, County Counsel, Public Works Department Head, Head of Public Schools, Head of IT Department, Telecommunications Director, etc.) to solicit specific support not only for Election Day (recruitment of County employees as

pollworkers and troubleshooters, use of county facilities as polling places, etc.) but for support for the increasing challenges in the election environment (such as voting technology.)

1.3 Focus Early on Pollworker Recruitment and Training.

Recruiting, managing and training pollworkers is difficult enough without the additional challenges posed by implementing new federal requirements. Many jurisdictions are aiming to recruit more pollworkers for the coming election. Develop recruitment plan and timeline for public service announcements, interagency solicitations, and corporate partnership solicitations and, if money allows, paid media advertising.

Consider hiring professional recruiters and trainers. Develop a training schedule and system for managing new and experienced pollworkers. Some new components to consider including in pollworker training programs: sensitivity training for working with voters with disabilities, accessibility of the voting process, security and contingency plans in the event of voting system failures. (For more details on recruiting and training pollworkers, see Section C, “Pollworkers and Polling Places” below.)

Example

[Metropolitan Kansas City’s Making Voting Popular Program](#) is a bi-state cooperative effort involving election officials in six jurisdictions in the metropolitan Kansas City, Missouri area: the Kansas City, Jackson County, Clay County, Platte County Missouri and Johnson and Wyandotte County Kansas Boards of Commissioners. The primary objective of the Making Voting Popular program is to recruit Election Day workers, however, there are a number of ancillary objectives:

- To educate the working public about the voting process,
- To create opportunities for individuals and organizations to commit to and meet civic responsibilities
- To create channels that can be used for other election related outreach programs.

1.4 Recruit Accessible, Reliable, Well-equipped Polling Places.

Develop a strategy and timeline for reaching out to most likely polling place hosts such as public schools, churches, and community centers. Involve community organization and interest groups representing voters with disabilities in the search for new polling places. Ensure commitment in writing from polling place host. After you conduct your polling place location survey, produce sample layouts, dimensions, and equipment/materials placement for your pollworkers.

As you conduct the survey, keep in mind that polling places should be accessible, sizable, visible, technology friendly, and reliable.

1.5 Develop Communication Plans.

Educating all stakeholders – and most importantly, the voters – on the Election process will help strengthen your relationships with key constituencies.

- **Outreach to voters.** Ensure registration forms are available. Train registration drive organizers to assist voters in properly and thoroughly completing the registration forms. Update your website to include information that voters need to participate effectively in the voting process, including election-specific candidate lists, downloadable registration forms, instructions on in-person and absentee voting using your voting system, sample ballots, polling place look-up, and accessibility status of polling places.

Example

Cook County, Illinois, has developed an online voter guide. By typing in their address on [Voterinfonet](#), voters can download a personalized virtual ballot that lists the offices and candidates for the upcoming election. The Clerk's office also requests that each candidate submit a 400-word statement that allows him or her to provide background information and positions on the issues. This allows voters to obtain more information by clicking on the candidate's name. Voters can also find their polling place and learn if they are registered.

- **Outreach/education of media.** Educate media on what to expect Election Night. Give them a timeline for results on Election Night, supplemental counts of absentee ballots and provisional ballots, as well as final certification of results. Explain the significance of each component, for example, who casts provisional ballots and the process of verifying the eligibility of those voters. Make sure the media understand the difference between unofficial and official results.

Example

[Sample letter to candidates and media](#) regarding unofficial Election Night results versus official election results.

- **Outreach/education of community organizations.** Actively solicit engagement in the election process from stakeholders, including the political parties, candidates and public interest and advocacy organizations.

Example

Beginning in 1998, the Los Angeles County Registrar of Voters invited community leaders, community-based organizations (CBO's), city clerks in Los Angeles County, disabled community advocates, political party representatives, and other interested individuals to attend twice-yearly Community Voter Outreach Committee (CVOC) meetings. The Committee has been effective in creating a partnership between the County and CBO's, toward maximizing voter outreach and education efforts, providing better services to all voters, and providing feedback on important election issues, such as provisional ballot design, transliteration, and voting system and legislative changes and challenges.

1.6 Prepare Back-up and Emergency Plans.

Conduct an analysis of the election process and points in the process where things are most likely to go wrong – a risk analysis – and develop plan for dealing with worst-case scenarios. For example, could you conduct the election if you were denied access to your central office? Make sure to prepare contingency plans for disaster, which might come in the form of, for example, technology failure, delay in election returns, natural disasters impacting polling place set up, voting or return of results, security/back-up of all computer systems, pollworker shortages, among others.

Example

[Emergency Procedures Guide for Iowa Counties Using an ES&S Central Count Scanner](#), which contain checklists for who to notify of an emergency, what constitutes an emergency, guidelines for rescheduling an election, etc.

Example

Boone County, Missouri's Basic Emergency and Recovery Plan for Pollworkers, [Emergency Procedures](#).

1.7 Develop a Budget and Procurement Plan

With new requirements, and in many jurisdictions, new voting equipment, come new and sometimes unexpected costs. Establish budget priorities. Work well in advance with your local budget officers and local legislative leadership so that they understand trends and needs. Make sure the procurement process is open to public scrutiny and abides by state and county or municipal guidelines. Build in plenty of time for procurement – and have back-up plans in the event that certain deadlines for printing, mailing, equipment or supply delivery are not met. Consider other funding resources, such as the “Election Assistance for Individuals with Disabilities” grants made available under the Help America Vote Act (HAVA) for the purpose of improving access to your polling places,

improving voter outreach to voters with disabilities, training of election officials and volunteers on accessibility issues.

1.8 Hire a Usability Consultant

Creating more legible polling place signs, reader-friendly voter guides, clear voting instructions, easy-to-use touch screens, and user-friendly websites will make it easier for voters to participate, reduce voter errors and build good will on the part of the voting public. Usability consultants can help identify where such improvements can be made. Usability consultants are professionals who specialize in making forms and computer interfaces easier to use; they can make everything from the voter registration application to the ballot to the DRE touch screen unit more voter-friendly. To find a consultant, go to the website of the [Usability Professional's Association](#). You can also find guidance on ballot design in the following subsidiary pages of the UPA website: "Voting and Usability: Top ten things to read" and "Voting and Usability Project."

The Federal Election Commission's Office of Election Administration (now located within the EAC) produced three booklets in 2003, which provide useful guidance on enhancing usability and accessibility:

- ["Usability Testing of Voting Systems"](#)
- ["Developing a User-Centered Voting System"](#)
- ["Procuring a User-Centered Voting System"](#)

1.9 Review the Legal Environment.

Review the laws as they pertain to that particular election. Ensure that all stakeholders have been educated about the applicable rules and laws prior to the election. Contact the appropriate judicial administrative authorities and request that a judge be assigned to be "on call" for urgent legal guidance.

1.10 Review Documentation to Ensure Accountability/ Transparency of Election Processes.

In an election that will inevitably come under intense scrutiny, sound documentation of all election processes – from voter registration list maintenance to ballot definition to the compiling of results on Election Night -- can help reassure the public that the election was conducted fairly and accurately. Remember that the objective of documenting election processes is, in part at least, to be able to recreate events after the Election in the event that questions arise.

- Keep copies of everything, good and bad: all documentation from tests, all copies of proofs from vendors, all submissions from candidates, etc. You can determine after the election what can be

thrown out and what should be retained according to legal retention standards and your own common sense.

- Documentation could include information about the experiences of users with disabilities; the operation of voting systems, the effectiveness of polling places accommodations; the reaction by voters, community leaders and media to outreach efforts and the effectiveness of strategic planning that was inclusive of the needs of all stakeholders, including those with disabilities.

Example

Three of the recommendations in the [Recommendations of the Brennan Center for Justice and the Leadership Conference on Civil Rights for Improving Reliability of Direct Recording Electronic Voting Systems](#) (July 2004):

- “Election Officials should develop procedures for random parallel testing of the voting systems in use to detect malicious code or bugs in the software.”
- “Election officials should establish standard procedures for regular reviews of audit facilities and operating logs for voting terminals and canvassing systems to verify correct operation and uncover any evidence for potential security breaches.”
- “All jurisdictions should prepare and follow standardized procedures for response to alleged or actual security incidents that include standardized reporting and publication.”

2. Are You Introducing a New Voting System this Year?

While conventional wisdom advises against launching a new voting system in a highly visible Presidential Election year because voters will be inexperienced with it, unanticipated problems with the voting system, pollworkers may not have absorbed all the problems during training, etc. However, it can be done successfully.

Prior to purchasing equipment or prior to implementation, you may find it helpful to consult the National Institute of Standards and Technology (NIST) analysis, [“Recommended IT Security Product Life Cycle Product Planning.”](#) available on the NIST website. The analysis provides a road map for planning, purchasing, using, maintaining and transitioning to electronic voting equipment, with a particular focus on the security issues related to electronic voting equipment. The document cross-references NIST technical papers that are available on the NIST website.

2.1 Ten Key Steps for Introducing a New Voting System This Year

1. Communicate and consult with colleagues who have made this transition recently or who are using the same system. If your budget and time allows, travel to a jurisdiction served by your vendor or voting system to observe an election, borrow training materials, and consult with staff on lessons learned.

Example

The publication [“Implementing A Voting System From a Local Election Administrator’s Viewpoint”](#) contains valuable advice on developing an RFP; on rating and selecting a vendor; on key warehouse storage, layout and electrical needs; sample acceptance testing procedures; sample voting machine diagnostics; suggested guidelines for logic and accuracy testing; tips for Election Day troubleshooting and a sample audit tracking mechanism. There is also an appendix devoted to paper ballots for voters physically unable to vote in person, back-up paper ballots for long lines or catastrophe and for provisional/challenged votes on paper ballots.

2. Conduct voter and media outreach. Develop Brochures. Set up self-help voting labs or kiosks at city halls, libraries, etc. Loan demonstration units to community organizations. Prepare materials for Media Outreach and conduct pre-election briefings.

Examples

- Harris County, Texas, recently implemented a successful implementation of a new voting system with a myriad of voter outreach and education which included conducting over 600 speaking/demonstration events in one year, demonstrating the system at Minute Maid Park in a partnership with the Houston Astros, a mall tour of the voting system performed by the League of Women Voters, a full color display features in the Houston Chronicle and numerous smaller events throughout the county. The County also works with its Speaker’s Bureau program to conduct outreach. Each speaker is required to participate in the County’s training program, which covers information on the basic operations of elections in Harris County as well as the setup and use of the voting system.
- The State of Georgia developed an extensive and multi-tiered voter outreach campaign designed to acquaint citizens with the new equipment before they arrived at their precinct to vote, [Georgia’s Voter Education Process for Successfully Implementing DRE Voting Equipment](#).

3. Develop a change management plan. Election officials who have made the transition to electronic voting systems advise quadrupling the amount of time allotted to test every piece of new equipment before it is deployed. Assess the new polling place requirements and ensure all polling places meet them. Some polling places may have to be reconfigured – make sure poll workers understand the reason for changing polling place layout. Consider how the new equipment will affect supply delivery schedules. Consider how you will secure voting equipment after it is delivered.
4. Provide extensive hands-on training for pollworkers. Train pollworkers on the appropriate approach in assisting voters, who will not be familiar with the equipment, particularly those voters with disabilities.

Example

[“Practice Makes Perfect” Hands-On Voting Machine Training for Election Workers](#), where pollworkers can drop by any of four training sites at their convenience to practice opening and closing the voting machines and get additional hands-on experience with voting equipment.

5. Establish a clear understanding between you and your vendor(s) regarding the expected level of support. For example, specify the number of vendor staff who will be available to you before the election, on Election Day and in the post-election period. Specify who will be responsible for training staff on programming the equipment and pollworkers on setting up and operating the new systems. Conduct acceptance testing on every single unit that comes from your vendor. If possible, obtain software from Independent Testing Authority (ITA), not the vendor. Request, in writing, from your vendor a copy of the ITAs report on the software version you will be using.
6. Consider contracting with an accessibility/usability professional to consult on ballot layout and ballot design. Go to: [Voting and Usability Project, Usability and Design Consultants](#) at the [Usability Professional’s Association](#) website. The site offers additional guidance on ballot design on the pages entitled [Critical Readings on the Usability of Voting Systems](#) and [Project: Voting and Usability](#).
7. Review records retention policy to determine if policy or records will change because of new technology.
8. Keep track of all costs, especially hidden or unanticipated costs, such as upgrading storage facilities to accommodate new voting systems or whether there will be any additional delivery systems.

9. Conduct a post-election debriefing with your pollworkers and stakeholders.
10. Recycle used voting supplies, booths, and supply election supply containers. Many are readily available and in good condition from counties that have changed to other systems. Consider requesting election publications such as Election Administration Reports to announce that you are seeking supplies or have supplies for sale.

3. Voting System Vendor Management and Contract Issues

3.1 Timing

Vendors should provide training materials to election officials at an early stage so that you can adequately train internal staff and prepare pollworker training materials. Vendors should highlight accessibility features in the machines. Establish timelines for equipment delivery, ballot printing, delivery and testing, etc. Develop a payment schedule that is contingent on deliverables and milestones and have a failure to deliver clause that is linked to payments.

3.2 Communication and Security Checks

Request that your vendor submit its certified software to the National Software Reference library (NSRL) at the National Institute of Standards and Technology (NIST). This will help you verify that you are using the correct, certified version of the software.

Start or join a users group that is user-driven. Election officials should share post-election summary of issues with each other for mutual education, aversion of problems and possible software and equipment upgrades. Share issues with the Election Assistance Commission, which could serve as a repository/clearinghouse for purposes of improving the voting system certification process.

3.3 Vendor Responsibility

If your vendor manages the bulk of your election planning, ask them to supply you with the following:

1. What are the qualifications, experience and number of personnel you will have available pre-election, on Election Day and post-election? (You may wish to get the names of the project staff and especially the name and background of the project manager.)
2. Do you have a copy of your vendor's letter to NIST and the state election office confirming receipt of this version of the software?

How can you become more independent from your vendor?

Develop other resources such as colleagues, user groups, independent technology consultants, and technology professionals working for local or state government agencies, technology professionals teaching at universities. Eventually, you may want to consider developing in-house programming and technology expertise.

Example

[Marshall County, Iowa established a user-driven user's group.](#)

B. Voter Outreach

- Five Tips on Reducing Voter Error
- Five Considerations for Accommodating Voters with Disabilities
- Five Considerations for Accommodating Voters with Limited English Proficiency

1. Five Tips on Reducing Voter Error

1.1 Provide a Demonstration Unit or Video.

Provide a demonstration unit (preferably one that is fully accessible) or, as an alternative, a continuous-running demonstration video, at every voting site and encourage every voter to try it. If possible, use video that is also accessible to deaf and blind voters. A resource for making the video accessible is [National Center for Accessible Media \(NCAM\) website](#).

1.2 Illustrations will make voting instructions much more effective.

Illustrations will make voting instructions much more effective. Remember that most people are visual. Keep instructional wording short, simple and focused on avoiding common voter errors.

Examples

- The Cook County, Illinois, Clerk's office has redesigned its ballot pages, polling place signs and instructions, election judge manual, and envelopes and forms to make them easier to read and more intuitive for voters and pollworkers. Cook County employs recent graduates of the University of Illinois-Chicago to provide more graphics and step-by-step diagrams to help polling places run more smoothly. For more information about this award-winning program, go to the [Design for Democracy](#) website.
- In CalTech/MIT's July 2004 "Immediate Steps to Avoid Lost Votes in the 2004 Presidential Election: Recommendations for the Election Assistance Commission" the following recommendation is made, "All jurisdictions using optical scanning should use the term "Someone

Else (write name)”, and should not use the term “Write-in”. According to the National Opinion Research Center’s study of ballots in Florida, optically scanned ballots arose when people chose one candidate and also wrote in that candidate’s name. [“Immediate Steps to Avoid Lost Votes in the 2004 Presidential Election: Recommendations for the Election Assistance Commission”](#)

1.3 Conduct Focus Groups

Conduct focus groups to test how clear and effective your voting instructions are. These focus groups need not be sophisticated – ask college classes, family members, members of the public or community, city or county employees, disability and advocacy organizations, etc. to read and follow the instructions. Focus groups may be as simple as requesting verbal feedback or asking participants to fill out a survey or a more extensive approach such as providing varying layouts of voting instructions to dozens of participants and asking participants to attempt to implement the instructions.

1.4 Survey voters on their polling place experience.

Survey voters on their polling place experience. Work with disability organizations to survey voters with disabilities.

Example

- In the March 2004 Primary Election San Bernardino, CA, conducted a voter survey on its new touchscreen voting system. Results from 130,000 voters were bar-coded so that the election department was able to compile the results within 2-3 days of the election. Please see the [San Bernardino Survey Report](#)

1.5 Encourage community organizations to assist in spot-checking.

Encourage community organizations to assist in spot-checking aspects of the elections that occur off-site, such as voter outreach and materials and polling place operations, the availability and clarity of voting instructions. Provide representatives with checklists and request that they provide specific feedback so that you can follow up as necessary.

2. Five Considerations for Accommodating Voters with Disabilities

2.1 Design an accessible website.

The federal Access Board has developed accessibility standards for various technologies. For more information on standards and assistive technologies, visit [The Access Board](#) website.

2.2 Accessible polling places.

Develop checklists for surveyors of polling places to assess whether doorways are too narrow, ramps are too steep, or door handles too difficult to manipulate. Consider borrowing wheelchairs from community organizations or churches so that surveyors can better appreciate whether the polling places is truly accessible. Survey the polling places whenever possible with representatives from the disability community.

Examples

- Consult the Department of Justice, [ADA Checklist for Polling Places](#)
- The Election Center’s Accessibility Task Force has developed an [Accessibility Preparations Checklist](#), using federal and state standards, which can be used as a survey tool.

2.3 Sensitivity Training for Pollworkers.

Model Program: The North Carolina State Board of Elections found that one of the best ways to reach a large audience was through the development of a well-produced training video. Using video training has proven to be very effective in providing highly detailed or complicated training in a consistent matter to election officials across the State.

The North Carolina State Board of Elections staff produced two resources on how to meet the specific needs of people with disabilities. Through a two part video series, training is provided in two areas. One video entitled, “Accessible Precincts Mean Accessible Elections” was produced as a sensitivity training piece for election and precinct officials. The video is structured with animated scenarios and a four-person panel discussion related to the animated scenarios. On the panel are Lee Page, Associate Advocacy Director of Paralyzed Veterans of America, Debbie Jackson with NC Services for the Blind, Don Bowen with the NC Division of Vocational Rehabilitation and Andrew Murray with the Caswell County Board of Elections of North Carolina.

The second video is a companion piece and is entitled “Ensuring Equal Access for All Voters.” It outlines all of the measurements and technical requirements of the Americans with Disabilities Act Accessibility Guidelines (ADA standards). It is to be used as a tool for in-house training and a reference guide.

Both videos are packaged together with instructional handouts to facilitate group training and are available from the [North Carolina Board of Elections](#).

2.4 Feedback from voters with disabilities.

Encourage organizations representing voters with disabilities to provide feedback, especially through on-site evaluations and review of materials utilized by voters with specific needs.

2.5 Public debriefing with disability organizations.

Conduct a debriefing with your community organizations and pollworkers to review Election Day concerns and to solicit with recommendations for future improvements.

3. Five Considerations for Accommodating Voters with Limited-English Proficiency

The Voting Rights Act, passed in 1975, requires that language assistance must be provided to voters who indicate a need for assistance in a targeted language or who reside in an area with a high concentration of multilingual citizens. The Act has the objective of enabling members of applicable language minority groups to participate effectively in the electoral process. The language minority provisions are contained in Sections 203 and 4(f)(4) of the Voting Rights Act. Section 203 is codified at [42 U.S.C. 1973aa-1a](#); Section 4(f)(4) is codified at [42 U.S.C. 1973b\(f\)\(4\)](#).

Even if you are not required by law to provide written and oral assistance to limited-English proficiency voters in your community, it is a good idea to work with community advocates to target populations and recruit bilingual pollworkers for oral assistance at polling places. If possible, involve sign language experts to develop your voter service and voter outreach programs.

3.1 Bilingual pollworkers and Interpreters.

Issue identification badges to bilingual pollworkers and interpreters so they can be readily identified by voters. Train bilingual pollworkers and interpreters to assist voters with limited-English proficiency and help them feel more comfortable in a polling place, demonstrate the voting system and translate election terms such as “provisional ballot” or “roster”. It is a good idea to translate and post basic signs.

3.2 Alternative Language Website.

Provide translated materials on your website, even if you are not required to do so.

3.3 Hire Bilingual Staff for Your Election Operations for Key Election Periods.

Recruit temporary and permanent staff by working in partnership with community organizations.

3.4 Pollworker Sensitivity Training.

Provide sensitivity training to pollworkers on how to assist voters with limited English proficiency. Make sure your pollworkers are aware that in many jurisdictions services for voters with limited-English proficiency are required by federal law. Provide pollworkers with simple talking points to explain why it is important to provide these services. (For example, complex ballot propositions and measures are difficult to read in English. Even translating titles of offices will enable voters to cast an informed vote.)

Pollworker training should make clear the importance of assisting these voters throughout the voting process – not just by providing alternative language ballots.

3.5 Outreach to minority language communities.

Work with your community organizations and language-specific community media in preparing limited-English voters for the voting experience. The organizations can help develop and proof your absentee voting instructions, polling place voting instructions, etc. They can help ensure that the translation is accurate and sensitive to local usage.

C. Pollworkers and Polling Places

- Tried and True Ideas for Pollworker Recruitment and Retention
- Pollworker Testing and Training
- Five Methods for Directing Voters to the Correct Precinct

1. Tried and True Ideas for Poll Worker Recruitment and Retention: “Partners in Democracy”

Pollworker recruiting and retention have become increasingly challenging. The pollworker work force is aging; volunteerism is declining; volunteer schedules may not accommodate the long hours of service required, and the compensation is usually just a volunteer stipend.

Further, with the introduction of new voting systems, some pollworkers may be reluctant to continue to serve because of increasingly complicated procedures. The following examples illustrate some solutions that election officials have devised to overcome these challenges through expanding their bases and retaining the best workers from the pool of veteran volunteer pollworkers.

General Resource: Los Angeles County, California, has developed a [“Pollworker Connections: Specialty Recruiting for County, Student and Bilingual Pollworkers”](#) manual that covers the successes and lessons learned in developing the various types of pollworker recruiting programs listed below.

1.1 College Pollworker Program.

Recruit college or university students to serve as pollworkers. It is recommended that students and sponsoring college administrators/professors coordinate with all the professors with whom the student is usually in class on Election Day. Students receive class credit and the pollworker stipend.

1.2 High School Student Pollworker Program.

According to the National Association of Secretaries of States’ New Millennium Best Practices Survey, 74% of states have laws that allow for Election Day workers under the age of 18. Student Pollworker Programs typically encourage 16 and 17-year-old high school seniors, who are likely to be tech-savvy, serve as pollworkers. Students receive class credit or volunteer service hours and, in many cases, the pollworker stipend. Students are also motivated to serve because the service looks good on college applications.

To ensure that school administrators and parents are aware of the students’ plans and whereabouts, those with experience implementing the program have found that the nominating form should include parental/custodial permission. Consider providing a pollworker stipend to the nominating teacher or administrator as a motivation and appreciation for their commitment to the program.

Examples and Samples from Colorado schools:

- [Election Press Release](#)
- [Liaison Feedback Form](#)
- [Student Election Judge Approval Form](#)
- [Article for School Newspapers](#)
- [Student Congratulations Letter](#)
- [Student Feedback Form](#)
- [Student School Brochure](#)
- [Student Election Judge Program Description](#)
- [Student Judges Brochure](#)

1.3 County/City Pollworker Program.

Work with local officials to arrange for county employees to work at the polls. Local government employees may be given an “alternate work assignment” at the Elections Department on Election Day. County/City pollworker applications should include approval by supervisor. The advantage of such programs is that county employees are community-service oriented, often tech-savvy and may be bilingual.

Example

Alameda County, California, obtained a ruling from County Counsel which stated that overtime requirements for county employees serving long Election day hours are not incurred because the service falls under FSLA’s provisions regarding “occasional and sporadic” work.

1.4 Corporate Pollworker Program.

Approach corporate leaders to encourage staff to serve as pollworkers as a commitment to community service.

Resource: The U.S. Election Assistance Commission has developed a proactive Corporate Pollworker Program, called the National Pollworker Initiative.

Sample Program: Johnson County, Kansas, has a well-developed corporate pollworker program, called the Partners in Democracy Corporate Sponsor Program (description, company response form, polling place information for private businesses, and employee questionnaire.)

Sample Program: Marshall County, Iowa, has developed a successful corporate pollworker program with banking industry.

Sample Program: Montgomery County Maryland’s Executive Officer initiated a successful corporate support program by sending an explanatory letter to corporate leaders in the hospitality industry, local biotech companies and federal government agencies.

1.5 Bilingual Pollworker Program.

Bilingual pollworkers can play a critical role in assisting voters with limited-English proficiency to understand how to navigate the process of voting. (See “Top 5 Considerations Regarding Access for Voters with Limited-English Proficiency”) Bilingual pollworkers can be recruited through community organizations, by placing news stories and ads in community newspapers and by dispatching recruiters to community events. Supplemental training classes can be offered to assist bilingual pollworkers in fully understanding voting procedures and terminology such as “provisional ballot,” “roster” and “primary election.”

1.6 Interpreter Program.

Some jurisdictions that are required to recruit bilingual pollworkers have resorted to hiring bilingual interpreters, who may or may not be citizens and may or may not be permitted to assist in processes such as tallying of votes. Interpreters can play a critical role in assisting limited-English proficiency voters.

1.7 Adopt-a-Poll.

Some jurisdictions have successfully challenged community organizations to “adopt a poll” as a fundraiser. Adopting a poll may encompass the organization’s recruiting members to serve on pollworker boards and possibly providing a polling place such as a church or club headquarters.

Example

Ventura County, CA, pioneered an Adopt-a-Poll Program in 1996 with 23 organizations participating. To date, 44 organizations are participating to show their civic pride and support democracy. Visit [Ventura’s website](#) for more information.

1.8 Incentive programs.

Ideas that focus on recognizing pollworker service include: election-specific lapel pins, pollworker newsletters and even chocolate kisses.

1.9 Creative Ideas for pollworker retention.

Pollworker retention is also a challenge for election officials. To the extent that you can regain pollworkers by easing the labor involved and by creating incentives for them to sign up again, you reduce your recruitment needs. What follows are a few ideas that jurisdictions have tried to retain their pollworker pool.

Example

Los Angeles County, California, communicates with its 22,000 pollworkers via a pollworker newsletter, [“The Poll Cat.”](#) This newsletter serves at least 3 purposes: (1) Educates pollworkers on the county’s strategic initiatives such as new voting systems, Neighborhood Voting Centers and the Inspector Supply Pick Up Program, (2) briefs pollworkers on key procedures for that particular election such as changes in the roster of voters, (3) highlights interesting pollworkers such as long-time pollworkers, pollworkers who went above and beyond the call of duty, student pollworkers, etc. and (4) repeatedly seeks input from and gives thanks to the pollworkers.

1.10 Split Shift Option.

To expand the pollworker base by reducing the number of hours required, some jurisdictions now offer a “Split Shift Option.” There are many

varieties of split shifts, including a simple signed agreement between two pollworkers, each pollworker receiving a stipend or sharing a stipend, both pollworkers being required to attend training or one pollworker being invisible to the election official.

2. Pre-Election Poll Worker Testing and Training

In addition to the challenge of recruiting and retaining a sufficient number of pollworkers, election officials face the difficult task of training this volunteer army of pollworkers to conduct the election. This task will be even more challenging in a year when new federal requirements go into effect for the first time. The following suggestions aim to ensure pollworkers are adequately prepared on Election Day.

2.1 Pollworker screening.

Conduct a pre-screening test as part of the pollworker application process. This test should present reading tasks that will be part of administering the election such as distinguishing name spellings and address formats.

Example

Alameda County Registrar of Voters, [Questionnaire for New Inspectors](#).

2.2 Hands-on training.

Give pollworkers an opportunity for extensive hands-on training close to the election. This training can be offered outside the normal curriculum and training schedule in the form of “pollworker clinics.” Observing pollworkers in this context may help you identify who is willing and able to take on more sophisticated assignments.

Example

Johnson County, Kansas has developed a Pollworker training program called “Practice Makes Perfect”. Johnson County invites pollworkers to stop by hands-on training centers for more intensive practice sessions than were possible at training classes. Go to the [Pollworker Invitation](#) and [Practice Makes Perfect Training](#) outline for more information.

2.3 Training Content

- Remember: It’s not about *YOU*; it’s about *THEM*. Training presentations need to be developed and conducted from the pollworkers’ perspective. As you develop the program, put yourself in the pollworkers’ position and provide the information and tools they will need to do the best job possible. In addition to the focus on their responsibilities, provide details about lunch, pay, responsibilities, how they should communicate with you, and *how much you appreciate them*.

- Include training on Help American Vote Act (HAVA) requirements such as provisional ballots, assisting voters with the voting process to prevent over-voting, handling new identification requirements for first-time voters who registered by mail. (See Section VI.)
- Include training on polling place accessibility and sensitivity to persons with disabilities. Emphasize to pollworkers the importance of setting up the voting booths in accessible areas of the voting space. (For instance, encourage pollworkers to be careful not to move the voting area from the floor of a high school auditorium up to an inaccessible stage.)

Resources: See discussion of the North Carolina Board of Elections’ Accessibility Kit, number 3 in the “Top 5 Considerations with Respect to Disability, Accessibility and Accommodations” Section. Also, the [Eastern Paralyzed Veterans of America](#) has publications on the etiquette and appropriate manner for assisting people with disabilities.

2.4 Training Methods

- Develop training programs based adult learning models which prescribes three repetitions of the content:
 - 1) Review all components of the training.
 - 2) Review again and focus on the most important procedures and concepts.
 - 3) Review the most important procedures and concepts again using hands-on practice and feedback sessions.
- Provide training manuals that are user-friendly and contain explanatory graphics.

Example

Travis County, Texas, pollworker [Election Day Training Manual](#) and Travis County, Texas, pollworker [Early Voting Training Manual](#).

- Hands-on training is key to a successful polling place on Election Day. Pollworkers should practice each important component of the election process, especially using the voting equipment.
- Provide checklists and train pollworkers on how to use them.
- Provide training videos to vary the format and, importantly, ensure consistency in training on key information and practices. Reinforce the videos by providing copies of the videos in the election supplies and/or work with your cable access channels to show the videos.

- Training the trainer. Consider partnering with or employing local continuing education professionals.
- Coordinate with a local university in developing your training materials. For example, a local university may be able to work with you to establish a certification program or to develop training videos.
- Remember the “WHY”: Pollworkers will better retain and properly implement procedures if you help them understand WHY they are being asked to follow the many steps and follow the checklists. In training class, interactively practice filling out all documents that the pollworkers will be required to read, comprehend and complete such as use of the roster, provisional ballot envelopes, etc.
- For maximum retention by pollworkers, training should occur as close to Election Day a possible (but optimally not more than six weeks prior).

2.5 Follow Up

To evaluate your training and make improvements, and also to help retain pollworkers, keep in contact with pollworkers and follow up on problems related to the pollworker program after the elections.

- Pollworker Testing and Certification. Some jurisdictions have teamed with local colleges to train election officials and pollworkers in accreditation programs.
- Evaluate pollworker performance via analysis and tracking of errors to a specific precinct. Use the analysis to constantly improve your training approach and materials...and to help select the best pollworker teams. Many jurisdictions are employing “pollworker report cards” to track pollworker performance.

Example

Solano County, CA, provides bonus incentives for excellent implementation of pollworker procedures. The program pays for itself over time as canvass staff spend less time researching pollworker errors.

- Provide the name of a reliable, single point of contact for pollworkers at the election office.

Example

Los Angeles County, California, recently began an “Ask Wanda” program. Trainers distributed business cards after training classes for pollworkers to call staff member Wanda with questions. The program

has been enormously popular and valuable for identifying and tracking those areas that needed to be strengthened in training.

- Conduct a pollworker debriefing following the election to get the pollworkers' perspective and evaluate training.

3. Five Methods for Directing Voters to the Correct Polling Place

3.1 Polling Place Look Up

Many jurisdictions have added a “polling place look up” function to their websites. Special consideration could be provided to blind voters using this function.

Example

Hamilton County Ohio has the polling place look up on its website: [“Where Do I Vote?”](#)

3.2 Pre-election Notices to the Voters

Some jurisdictions provide a pre-election notice to the voter. This notice can be as simple as a post card or as targeted as a sample ballot including a mirror image of the voters' exact ballot style. If possible, inform voters about accessibility of the polling places, including information as to why the poll is considered inaccessible, and how to get other information such as driving directions.

3.3 Employ a phone bank and/or automated voice system

Employ a phone bank and/or automated voice system that provides information on polling place locations and accessibility to voters who may not have access to the Internet. The automated voice system may also direct voters to the website or to other governmental or community entities that can direct voters to their correct polling place.

3.4 Provide Street Finders or Precinct Maps to Polling Places

In the polling place, provide street finders or precinct maps (showing adjacent precincts or countywide) to polling places.

3.5 Train One of Your Pollworkers to Serve as a “Greeter” at Each Polling Place.

Train one of your pollworkers to serve as a “greeter” at each polling place to ensure voters are directed to the correct polling place. The greeter may be stationed outside the precinct to assist voters before they waste time standing in line at the wrong poll.

D. Election Operations/Technology and Equipment

- Before the Election: Challenges and Solutions
- Election Day/Election Night: Challenges and Solutions
- Post-Election Period: Challenges and Solutions

1. Before the Election: Challenges and Solutions

1.1 Ensuring system integrity.

In light of increased public and media scrutiny of elections and heightened concerns regarding the security of the elections process, consider the following actions to protect the integrity of your voting system.

- Obtain documentation from your voting system vendor regarding the testing and certification that the system (hardware and software and including any patches or other enhancements) has been through (for example, state certification requirements or, at a minimum, has undergone independent testing to ensure it meets federal voluntary Voting System Standards). Double check by contacting the state election office to substantiate that your system as installed has been certified.
- Request that your vendor submit its certified software to the National Software Reference library (NSRL) at the National Institute of Standards and Technology (NIST). This will help you verify that you are using the correct, certified version of the software.
- You may wish to contact NIST to inquire and to confirm that the version of your vendor’s software matches the certified version of the software on file with NIST.
- Test every piece of voting equipment prior to deployment, using the ballot styles for that election. Invite the public and media to a “public test of the system” at which you may include other information that they will need to know. Develop your own test deck to be utilized in the testing process.

Example

New York [Test Deck Preparation Procedures](#), which are appropriate for punch card, optical scan and DRE voting systems.

- To reduce the risk of raising public concerns, conduct pre-testing prior to conducting a public test to ensure the machines are working properly.

1.2 Ensuring Transparency.

To bolster public confidence, take steps to make every component of administering your voting system as transparent as possible.

- Invite the public and media to view all aspects of testing.

Examples

- Boone County, Missouri, encourages political party observers to participate in the testing process by paying representatives \$8.22 per hour to attend public testing, to prepare the test decks according to pre-set requirements and they do all of the checking to the hand counts from reports run at the public tests.
- New York [Test Deck Preparation Procedures](#), using incremental patterns.

1.3 Establish chains of custody.

A chain of custody allows you to track who has handled the systems -- including paper ballots, punch card counters, optical scanners and DRE's -- and who performed what functions. In the event of any malfunction or irregularity, you will be able to trace the problem back to the cause. In addition, a chain of custody will promote stricter accountability on the part of both staff and pollworkers.

- Separate staff duties for each test you conduct and require staff signatures to ensure each procedure has been completed and appropriately documented.
- Draft and implement well-organized procedures that identify the chain of custody for every instance when the ballots and/or voting equipment changes hands.

2. Election Day/Election Night: Challenges and Solution

2.1 Ensuring Trouble-free Polling Place Opening and Closing

- Prior to Election Day, double-check that the proper equipment and supplies have been delivered to the correct polling places. Many jurisdictions are using a bar code system to ensure accurate delivery of voting systems, ballots and supplies.
- Be sure to give the pollworkers extension cords of sufficient length to lay out the polling place properly and adequate table space, chairs for pollworkers and voters.
- Require each chief polling place official to contact other team members to confirm they will serve on Election Day.
- Provide alternate contact or emergency numbers in case polling place is locked or inaccessible.
- For paper ballot systems, ensure the ballot box is empty. For DRE or central count paper-based system, print out and consider posting the zero report prior to the polls opening.
- After the polls have closed, have pollworkers verify the number of voted ballots, unused ballots, provisional ballots, absentee ballots (if the jurisdiction allows voters to drop absentee ballots at the polling place) and spoiled ballots to make sure the number of ballots corresponds with the number of ballots issued by the supervisor of elections. If there is a difference, the pollworkers should report such differences in writing to the county election officials, with an explanation, if known, so that any discrepancy can be evaluated during the canvass period.

2.2 Troubleshooting Strategies

- Develop a Troubleshooter Program.

Example

Monroe County (Rochester) New York's [Election Inspector Coordinator Handbook](#)

- Provide fully documented procedures for dealing with Election Day problems, such as equipment failures, supply delivery snafus and voter complaints. These procedures should be covered in troubleshooter pollworker training and be available in writing at the polling place.

Have pollworkers to keep a log documenting problems with equipment.

- Enlist support from community partners to assist in reviewing polling place operations.

Example

Montgomery County, Maryland, has instituted a “Polling Place Support Program” in partnership with the local League of Women Voters. LWV members are provided a stipend for intensive training and Election Day duties.

The League surveys five to seven polling places for a minimum of 30 minutes each, to observe and fill out a checklist. Results are shared with the chief pollworker. A post-election debriefing helps the election office to develop its training methods and provides feedback on pollworker performance.

- Develop an effective communication plan to handle calls from voters, pollworkers and stakeholders on Election Day.
- Require staff and pollworkers to keep an Election Day “problem log” for all problems that are reported and how they were handled.
- Establish a policy for what constitutes a vote when a voter leaves the voting booth without casting a ballot.
- Instruct pollworkers not to issue a ballot until the voter has signed the roster/register and until a booth is available.

2.3 Protecting Physical Security of Equipment on Election Day

Following the public controversy over the vulnerability of voting systems to tampering, software problems and mechanical failure – a controversy that follows on the heels of debate over the accuracy of punch card systems – the public and media will be paying close attention this November.

While experts may disagree over technological security, election officials can take some effective steps to protect the integrity of the election process by ensuring the physical security of voting systems and election materials.

Resource: [Election Reform and Electronic Voting Systems \(DREs\): Analysis of Security Issues](#), Congressional Research Service Report for Congress, November 4, 2003.

The report examines several questions about voting system security, including: “Do DREs exhibit genuine system vulnerabilities?” “If so, could those vulnerabilities be exploited to influence an election?” “To what extent do current election administration procedures and other security measures protect against threats to and vulnerabilities of DRE systems?”

Resource: [Brennan Center for Justice and Leadership Council on Civil Rights’ Document for Improving Reliability of Direct Recording Voting Systems](#) (July 2004)

Resource: CalTech/MIT’s [“Immediate Steps to Avoid Lost Votes in the 2004 Presidential Election: Recommendations for the Election Assistance Commission”](#)

- If you must deliver election equipment or supplies to the polling place prior to Election Day, seal equipment, supply boxes, and each sensitive item in the box so you will know if tampering has occurred.
- Restrict access to election office both before and after election. At the polling place, provide badges to pollworkers and pollwatchers. At your election headquarters, require staff and visitors to sign-in, sign-out and wear badges. Consider placing a video camera in the ballot room at headquarters.

Example

Some jurisdictions use “swipe cards,” which are coded to log who entered and exited the election office.

- Provide well-marked supplies with thorough instructions.
- Establish a chain of custody to protect all ballots in the polling place (including provisional ballots, emergency ballots and absentee ballots dropped off at polls).
- Provide well-marked containers for issuance and return of ballots.
- Create reconciliation checklists to account for all ballots.
- Include chain of custody instructions in pollworker training.

Example

San Bernardino, California, uses large, zip-lock baggies with pre- and post-processing checklists affixed to side of bag.

3. Protecting Voter Privacy/Voting Accessibility

- Instruct pollworkers on how to configure polling place to maximize voter privacy.
- Instruct pollworkers on how to configure polling place to ensure routes to voting units are safe and accessible.

4. Preventing Problems at Polling Places that Contain More Than One Precinct (“Multiples”)

Some jurisdictions are required to house several precincts in one polling place. Such multiple-precinct polling places present a special set of requirements for election officials, including directing voters to the correct line and ensuring voters either receive the proper ballot, vote on the proper machine or receive a properly-programmed voter card.

- Provide pollworker instructions that dictate model polling place configuration to avoid voter confusion.
- Provide color-coded supplies and well-marked voter rosters/registers.
- Provide precinct maps, if possible.
- Recruit an experienced pollworker to be a “Traffic Coordinator.”

Example

Los Angeles County’s [Neighborhood Voting Centers: A Conceptual Overview](#) provides a model of how to establish multiple precincts at one location. Election officials actively recruit sites that are accessible, visible, sizeable, stable and technology-friendly.

5. Election Night

- If you are using modems, test them prior to Election Day.
- If you are modeming in your unofficial results, use a phone line – not a wireless connection – and ensure the modem encrypts the information.
- Educate media and candidates regarding the difference between unofficial Election Night results and official results at the legal deadline. Explain that additional ballots are likely to be included in the official certified results such as provisional ballots and that can impact the results of close elections.

Example

[Sample letter to candidates and media](#) regarding unofficial election night results versus official election results

- Reconcile that the number of ballots cast matches the number of voters who signed each precinct's roster.
- On lever machines and DRE's, check the machine's public vote counter to verify that the number of voters who signed in matches the number of the public counter. Account for any discrepancies.
- Use "Ballot Reconciliation Statements" or "Ballot Supply Record" as an audit.

Example

Marshall County Iowa's [Ballot and Supply Record](#), which reconciles various types of ballots issued/ballots returned and votes cast as well as keys issued and check-in of critical supplies.

- Develop administrative procedures (or implement those procedures developed by state officials) to audit the accuracy of your election results.

Example

The State of Iowa has developed administrative procedures governing reconciliation/audit of modem transmission. See the Iowa Administrative Rules, [Electronic Transmission of Election Results](#).

- Designate a particular space for pollwatchers where they can see, hear and observe the process but not disrupt the flow of voters.

E. Post-Election: Challenges and Solutions

1. Post-Election Audits

- Conduct a post-Election audit of all electronic systems. The National Institute for Standards and Technology (NIST) advises that all jurisdictions using electronic voting systems should plan to incorporate accepted independent auditing standards for information systems. For a description of auditing procedures, refer to models provided by the [Information Systems Audit and Control Association](#).
- NIST also offers its own guidelines in [NIST Handbook 150](#) and [NIST Special Publication 800-55](#).
- Hire an independent firm to conduct an audit of all election documentation after the election.

Example

New Mexico hires a certified public accounting firm to conduct a post-Election audit. State law requires pollworkers to mail a copy of the Election Night results to the Secretary of State; these results are compared to results provided by local election officials.

- Consider conducting a manual recount of one percent of the ballots cast or of a randomly selected precinct.

2. Recount Procedures

In the wake of the 2000 election, states and local election officials would be well advised to plan for recounts and educate the public and media beforehand on the rules and procedures. Consider placing the recount procedures on your website.

Sample: Johnson County, Kansas, Recount Procedures for a DRE/Absentee-Optical Scan Election:

“Unless the recount is automatic under state law, it may be possible to demonstrate to the inquiring candidate that all of the numbers add up and that you can support the results. Losing an election often requires a “grieving” stage, and if you allow the candidate to examine your audit documentation and view the audit trail, it may avoid the recount.

- If you have implemented a voter receipt procedure, show that the number of voter receipts in each machine’s voter receipt envelope equals the number on the Public Counter of the machine. This proves that the machine registered every voter’s vote.
- Show that the precinct splits on the voter receipts match the precinct splits for every voter on the registration book. This proves that the correct ballots were issued for the voters and that the voters had the opportunity to confirm that the correct ballot was displayed on the screen. It also demonstrates that there is a voter signature for every vote in the machines.
- Show that the precinct splits on the voter receipts and the registration book equals the ballots cast in each precinct/split on the election summary. This proves that the correct ballots were voted.
- Show that the vote totals from the machine equals the vote totals reported by the election software. This proves that the software tabulated the voting machine results accurately.
- Show that the advance/early vote totals in the election software are equal to the results from the paper mail ballots and the results from the advance/early/satellite voting machines combined. This proves that the

software tabulated the paper ballot and early voting machine totals correctly.

- Show that the accumulation printout (if applicable) is equal to the total votes from the individual voting machines combined for a polling place. This proves that the results that were transferred to the election software were compiled correctly.
- Show that everything added together is equal to the final election results. This proves that the outcome is a true and accurate reflection of the election results.

2.1 Step-by-Step Recount Procedures

1. Identify the precincts involved in the race in question.
 2. Identify the storage media for each precinct involved in the recount.
 3. Isolate the storage media in a secured area.
 4. Gather storage media for advance/early/satellite voting locations.
 5. Collect the paper (mail) ballots and any provisional paper ballots for the election.
 6. Make copies of the voting machine tapes from each voting location.
 7. Gather the other reports that substantiate the results and place in the secured area along with the storage media.
 8. Summary reports
 9. Election software machine reports
 10. Abstract for race
 11. Supplemental reports
 12. Advance reports
 13. Provisional reports
- If required by law, assign a special election board to conduct the recount in the secured room. Ideally, the room will have an observation window for the candidates, public, media, and party representatives.

- If the recount request allows you to reload your storage media, reload and verify the results to the original. If a hand-count has been requested, print the paper audit trail/ballots from each storage media, voting machine, precinct, etc. depending on your voting system. County the votes in the race in question by hand.
- Rescan the paper ballot (mail and provisional), keeping them in their original batches, if allowed. If not, hand-count the paper ballots.
- Total all reports and make sure that they agree. Results from machine tapes should agree with election software reports. Hand count of mail ballots equals election software report OR mail ballots plus advance in-person votes equals election software report, depending on your procedures.
- Initial each step that is verified.

(Above verbiage courtesy of Johnson County, Kansas.)

Johnson County, KS, sample [Election Verification](#) form

Los Angeles County, CA's [Requesting a Recount](#) recount procedures.

[Michigan's Secretary of State](#) website, which describes its model for a state involved in local recounts.

II. Lever Voting Systems

LEVER MACHINE CHALLENGES	SOLUTION(S)/EXAMPLES/RESOURCES
Voter Interaction with Voting System/Voter Education	Provide good voter instructions to help prevent unintended "lost votes." If a voter casts a write-in vote, the voter is prevented from using the lever for that office. Provide clear voter instructions cautioning voter that opting to write-in the vote forecloses using the lever. Example See the Oswego County, NY, overview of lever machine instructions on its website; instructions are also available at the polling place. See the Oswego Voting on the AVC Electronic Voting Machine booklet.
Pollworker Training	Provide well-organized pollworker training materials with detailed instructions.

LEVER MACHINE CHALLENGES	SOLUTION(S)/EXAMPLES/RESOURCES
Testing	<p>Every election, test every unit with a sampling of contests for at least 100 votes.</p> <p>At the same time, ensure that each lever is operable and in the correct place.</p>
Pre-Election Management and Security	<p>Develop preventive maintenance procedures such as stripping the oil and lubricant out for every election.</p> <p>Example Monroe County, NY, provides election officials with a maintenance checklist.</p>
Election Day Management and Security	<p>Configure machines in polling place to ensure that the back of the machine is visible.</p> <p>Store and seal keys during election in a secure location.</p> <p>Make sure that all the seal numbers from the opening and closing of the polls have been recorded.</p> <p>At the end of Election Day, reconcile number from public counter and the protective counter with number of voters who entered the polling place.</p>
Post-Election Management and Security	<p>New York State has a transparent program to conduct a “re-canvass” within a specified period of time after the election, including, for example, physically comparing the paper results from Election Night with the back of the voting machines.</p>
Considerations for Making Lever Voting Systems Accessible	<p>See the “Accessibility Preparations Checklist”.</p>

III. Punch Card Voting Systems

PUNCH CARD CHALLENGES	SOLUTION(S)/EXAMPLES/RESOURCES
<p>Voter Interaction with Voting System/ Voter Education</p> <p>Preventing “Undervotes” and “Overvotes”</p>	<p>Ballot Design:</p> <p>Discourage butterfly and caterpillar ballot layout.</p> <p>Example Cook County and the City of Chicago have developed a working relationships with the American Association of Graphic Artists to provide usability guidance on the ballot layout.</p>

PUNCH CARD CHALLENGES	SOLUTION(S)/EXAMPLES/RESOURCES
	<p>See the Testing of Vote Recorders from the Illinois Institute of Technology for good usability study on punch cards.</p> <p>If you are at ballot capacity and MUST use butterfly layout, consider the following options:</p> <p>Option 1. Skip a column (consult state guidelines); however, skipping a column also eliminates a page.</p> <p>Option 2. A 312 card offers more positions but will be more expensive</p> <p>In order to reduce errant punches, use a custom-punched mask containing holes only for positions utilized.</p> <p>Train pollworkers to go through with a demo ballot in each vote recorder to make sure it is not possible to punch through any areas where there are no contests for that election.</p> <p>Check the clarity of ballot layout with a usability consultant or by testing with focus groups of potential voters.</p>
<p>Problems with “Chad” – How do you treat unreadable punch card ballots?</p> <p>Voters may not punch through thoroughly, leaving doubt as to voter intent</p>	<p>Encourage voters to remove chad from their own ballot.</p> <p>Example Los Angeles City developed a “Got Chad?” notice that is placed in every voting booth to remind voter to remove chad.</p> <p>Protect ballot from tampering during counting and post-election procedures.</p> <p>Example Chicago/Cook County developed a voter-friendly “Chad” character to remind voters to remove chad. Released prior to the November 2002 election, this multi-media voter education campaign urges voters to examine their punch card ballots for loose chads. Employing the slogan “Don’t Leave Us Hanging,” the partially punched out animated pair are featured hanging from an improperly punched ballot card. “Chad and Dimples” appeared on polling place posters, stickers and brochures.</p> <p>Consult state policies or, if there are no state policies, establish county policies for what constitutes a vote.</p>

PUNCH CARD CHALLENGES	SOLUTION(S)/EXAMPLES/RESOURCES
	<p>Confirm with your vendor that their perforation template is sufficient cutting depth and position accuracy.</p> <p>Stylus – Use a non-blunt, positive chad remover “PCR” needlepoint tip. It is more expensive but more likely to push chad through.</p>
<p>Providing Second-Chance Review with Punch Card Systems</p>	<p>Most punch card systems do not allow second-chance voting. Therefore clear instructions and good ballot layout are critical in preventing voter errors.</p> <p><u>Example</u> Cook County and Chicago, Illinois developed precinct ballot counters as an adjunct to their punch card voting system. The precinct ballot counters either tally the vote as cast or returns it to the voter with a screen message advising the voter of an “over” or “under” vote.</p> <p>Train pollworkers to be sensitive in how they advise voters that they have “under” or “over” voted. Pollworkers could briefly explain the consequences of the “over” or “under” vote.</p> <p>Encourage the voters – not the pollworkers! – to clean the chad off their own ballots.</p>
<p>Pollworker Training</p>	<p>Establish policies to prevent poll workers from mishandling the punch card ballots. The policies are designed to ensure that no one should have the opportunity to alter or change the ballot in a way that will compromise the integrity of the ballot.</p> <p><u>Example</u> Hamilton County Ohio’s inspection table procedures are one example of how to follow the state directive.</p>
<p>Testing/ System Integrity</p>	<p>Proof to ensure vote recorder pages are pointing to the right candidate and in correct order.</p> <p><u>Example</u> Create an audit listing, complete sheet of every contest. (Ohio model)</p> <p>Pre-election logic and accuracy testing-- Develop test deck – without vendor assistance – using an incremental test pattern that tests all voting positions. Conduct a pre-test by running the test deck through the ballot counter multiple times to verify that the test deck has been correctly marked.</p>

PUNCH CARD CHALLENGES	SOLUTION(S)/EXAMPLES/RESOURCES
	<p><u>Example</u> St. Louis County, Missouri tests all punch positions for all candidates and issues in every polling place in which that candidate or issue is running. Ensures integrity of the ballot counting program.</p> <p>See the New York Test Deck Preparation Procedures for incremental testing procedures.</p> <p>Provide open public testing.</p> <p>Make sure public counter is working properly with the software. Do this test again on Election Day and during canvass.</p> <p>Store sealed memory card in locked office; secure it after Logic and Accuracy test.</p>
<p>Pre-election Management and Security</p> <p>Humidity or Dryness can make ballots sticky or warped, which may impact counting.</p>	<p>Store ballots in a climate controlled environment for as long as possible.</p> <p>According to NIST, climate control standards are defined by the manufacturers of the computer equipment. Request this information specifically from your vendor.</p> <p>Store boxes of unused ballots on their sides to avoid warping.</p> <p>Buy new card stock for every election (or at least buy new card stock for November 2004). Gives cleaner punches, avoids swelling and bowing.</p> <p>Have your ballot counters professionally serviced before every election.</p>
<p>Maintaining punch card equipment</p>	<p>Calibrate the rollers in the ballot counter so that it will only grab one ballot to be counted at a time.</p> <p>Blow out the chad from the counters after every election.</p> <p>Establish procedures for “chad-picking.” The process should be transparent. Have bi-partisan teams do the picking.</p> <p><u>Example</u> Ohio Advisory 2001-04 sets policies regarding canvass board</p>

PUNCH CARD CHALLENGES	SOLUTION(S)/EXAMPLES/RESOURCES
	<p>inspection for and removing chad, remaking ballots, etc. for the purpose of determining what constitutes a vote.</p> <p>Hamilton County, Ohio, has inspection table procedures for the process of inspecting and processing damaged ballots, extraneous materials, etc. for the purpose of preparing ballots for ballot counting machines.</p> <p>The State of California has developed guidelines for determining acceptable votes.</p>
Protecting the security of printed ballots	<p>Use a certified print vendor and get the exact specifications from the vendor for the printing.</p> <p>Digital printing vs. off-set/plate print. Need procedures to make sure printer did not mix up stacks, (Marshall County)</p> <p>Establish procedures for ballot shortage. Develop procedures for if you have to photocopy.</p> <p>Keep every generation of every proof.</p> <p>Seal the tabulation machine with numbered seals when election definition is loaded and then record the numbers in logbook.</p> <p>Create a back up of the election program and of software version you used. You should be able to recreate the whole environment in case questions arise after the election. Copy all files on the server for storage.</p>
Chain of Custody	<p>Keep all communications with your print vendor and your programmer.</p> <p>Keep a log of everyone who lays out, proofs, transports, stores, etc.</p> <p>Never let a vendor proof your ballots.</p> <p>Require electronic transmission of ballot format to/from printer.</p> <p>Make time to proof every ballot, every version, every correction.</p> <p>A benefit of sample ballots that go to voters pre-election is that you get a heads-up on errors!!</p>

PUNCH CARD CHALLENGES	SOLUTION(S)/EXAMPLES/RESOURCES
	<p>Establish security procedures for printing and shipping of ballots.</p> <p>Bring candidates, voters and community organizations in to review. Also, post to your website.</p> <p>Have security procedures in case of a disaster.</p>
Election Day/Election Night Security	<p>Develop accounting and documentation procedures to make sure you get the cards back from polls.</p> <p>Segregate “hanging chad” ballots for challenge board to make decision.</p> <p>Install a security camera where your ballots are stored and where you are counting.</p>
Post-Election Management and Security /Equipment maintenance	<p>Clean the chad out of the vote recorders after every election, attempted votes may not register.</p> <p>Example LA County performs a procedure known by the warehouse workers as “Shake and Bake” where staff knock the vote recorders on its side to loosen and eliminate any residual chad.</p> <p>Hamilton County, OH, uses air compressors to clean out chad from the ballot counters before every election.</p>
Accounting and records retention	<p>Print and preserve audit logs for the retention period of the election.</p> <p>Memory cards are really now electronic ballots. Treat them with same security procedures.</p>
<p>Considerations for Making Punch Card Voting Systems Accessible</p> <p>Making punch card systems accessible for alternative language voters</p>	<p>Provide translated, mirror-image sample ballots that can be used in conjunction with the vote recorder.</p> <p>Example See the “Accessibility Preparations Checklist”.</p>

IV. Optical Scan Voting Systems

OPTICAL SCAN CHALLENGES/ISSUES	SOLUTION(S)/EXAMPLES/RESOURCES
<p>Voter Interaction with Voting System/Voter Education</p>	<p>Improve usability through voter education:</p> <p>Provide clear voting instructions with explanatory graphics, on the ballot if possible.</p> <p>Example American Institutes of Graphic Artists (AIGA) website</p> <p>Example All jurisdictions using optical scanning should use the term “Someone Else (write name)”, and should not use the term “Write-in”. According to the National Opinion Research Center’s study of ballots in Florida, optically scanned ballots arose when people chose one candidate and also wrote in that candidate’s name. “Immediate Steps to Avoid Lost Votes in the 2004 Presidential Election: Recommendations for the Election Assistance Commission”</p> <p>Provide a secrecy sleeve to cover the ballot prior to scanning.</p> <p>Print instructions on the ballot sleeve.</p> <p>To help voters properly cast a write-in ballot, use a secrecy sleeve. Use the language: “write-in, if any” to avoid overvotes.</p> <p>To improve ballot layout: when you design the ballot, be wary of where absentee voters may fold the ballot. On certain systems, a fold through an oval will reflect a vote, causing an over-vote if another mark was made.</p> <p>Example To solve this problem, Boone County, Missouri provides envelopes to absentee voters in to which the ballot will fit without being folded.</p> <p>Avoid splitting races across pages and across columns to prevent over-votes.</p> <p>Encourage statewide uniformity in ballot layout.</p>

OPTICAL SCAN CHALLENGES/ ISSUES	SOLUTION(S)/EXAMPLES/RESOURCES
	<p>Compile and analyze “under-vote”/”over-vote” statistics with explanation of voter errors and choices in order to evaluate and improve your voter education effort and ballot layout.</p> <p>Example See the State of Michigan website and what constitutes a vote on optical scan ballots.</p>
Providing second-chance voting with in-precinct scanners	<p>Issue the writing implement or have it available to use in each unit.</p> <p>Example DC Board of Elections provides the writing implement in order to prevent the voter from using an implement that will result in unreadable ballots.</p> <p>HAVA will prohibit disabling the ballot-scanning feature by 2006.</p> <p>Dedicate a pollworker to assisting voters with the casting/feedback function for major elections.</p> <p>Establish procedures for resolving “unvoted” (damaged, defective or blank ballots) ballots left by “fleeing voter.”</p> <p>Example A good resource for these procedures is the Pasco County, Florida’s Election Security Procedures.</p> <p>Have written procedures to determine voter intent for the purpose of “remaking” or hand counting ballots. If “remaking” ballots, use labels or overmarks so that voter’s original marks will not be lost.</p>
Pollworker training	<p>If using in-precinct counting system, provide pollworkers with a script for assist the voter without compromising voter’s privacy.</p> <p>Example Fremont County, Wyoming, developed a pollworker training video on the basic procedures in Fremont County and use of their optical scan voting equipment. Pollworkers may check these out.</p>

OPTICAL SCAN CHALLENGES/ ISSUES	SOLUTION(S)/EXAMPLES/RESOURCES
	<p>See Hamilton County, Ohio’s Pollworker Training Manual, page 20.</p> <p>Also on sensitivity in assisting a voter cast their ballot.</p> <p>Provide pollworker training on ballot and equipment storage requirements and security measures (see below).</p>
<p>Testing/System Integrity</p>	<p>Test the calibration of every scanner prior to the election.</p> <p>Example See pages 19-22 of Pasco County, Florida’s Election Security Procedures for testing methodology.</p> <p>Conduct printing tests; quality control tests. Hand tally machine generated results.</p> <p>Example Marshall County State of Iowa’s, Certificate of Public Test Precinct/Central Count System documentation.</p>
<p>Pre-Election Management and Security</p> <p>Storage of Optical Scanners and ballots</p>	<p>Take steps to prevent condensation in display in storage and in transition to polling place.</p> <p>Example Marshall County, Iowa: To increase air circulation in counting center, ballots can be weighted and stacked on a table with a fan blowing on it for 15 minutes.</p> <p>Obtain and follow storage requirements from the vendor.</p>
<p>Protecting the security of printed ballots</p>	<p>Use a certified print vendor and get the exact specifications from the vendor for the printing.</p> <p>Develop procedures to make sure the printer did not mix up stacks of printed ballots. (Marshall County)</p> <p>Establish procedures for ballot shortage. Develop procedures for if you have to photocopy.</p> <p>Example Iowa has a code-specified regulation for endorsement and tracking of photocopied ballots necessary in the event of ballot shortage, Ballot Photocopy Record.</p>
<p>Chain of custody for printed ballots</p>	<p>Keep every generation of every proof.</p>

OPTICAL SCAN CHALLENGES/ISSUES	SOLUTION(S)/EXAMPLES/RESOURCES
	<p>Keep all communications with your print vendor and your programmer.</p> <p>Track anyone who lays out, proofs, transports, stores, etc.</p> <p>Never let a vendor proof your ballots.</p> <p>Require electronic transmission of ballot format to/from printer.</p> <p>Make time to proof every ballot, every version, every correction.</p> <p>Establish security procedures for printing and shipping of ballots.</p> <p>Bring candidates, voters and community organizations in to review. Also, post to your website.</p> <p>Have security procedures in case of a disaster.</p>
<p>Election Day Management and Security</p>	<p>With central count systems, have pollworkers verify ballot box is empty prior to opening and at the end of the day.</p> <p>Example Marshall County, Iowa’s Pollworkers Guide to Opening the Polls</p> <p>For in-precinct optical scan equipment, check to see that internal ballot box is empty at beginning of the day. Pollworkers should keep keys for machine and ballot box in a secure location.</p> <p>Log all seal numbers. Don’t open it until all board members are together. Have two officials present when count packets of ballots.</p> <p>Provide security checklists for pollworkers:</p> <p>Make sure polls have the correct ballots and correct machines.</p> <p>Pollworkers should document the zero count.</p> <p>Keep ballot transfer case near the ballots you are issuing. Put</p>

OPTICAL SCAN CHALLENGES/ ISSUES	SOLUTION(S)/EXAMPLES/RESOURCES
	<p>the ballot scanner in public view. Keep traffic flow of (1) ballot issued, (2) voting booth, (3) tabulator.</p> <p>Establish procedures for handling a machine failure, such as roving technicians, a technical help desk and technical back-up support.</p> <p>Develop a troubleshooting plan. Define the response time - know how long it will take to get a troubleshooter to the polling place. Have satellite locations from which to dispatch technical people and replacement supplies.</p>
<p>Post-Election Management and Security</p>	<p><u>Example</u> Refer to NBS Special Publication 500-158 “Accuracy, Integrity and Security in Computerized Vote Tallying” (August 1998), pg. 118-199.</p> <p>Modeming results: NIST asserts that encrypting modem results offers a reasonably secure transmission mode for unofficial results.</p> <p>NIST recommends against using a wireless transmission mode. There are no wireless (“Wi-Fi”) or international security standards for wireless transmission of data.</p> <p>Develop documentation to track delivery and receipt of results.</p> <p><u>Example</u> Kansas, Florida, Oklahoma have statewide standards for securing the transportation of ballots, memory cards and tapes.</p> <p>Have two pollworkers transport results.</p> <p>Establish procedures for when security measures are not followed such as when materials come back unsealed or unsigned.</p> <p><u>Example</u> See Pasco County, Florida’s Election Security Procedures</p> <p>Ballot Reconciliation Audit: Do a precounting of stacks of ballots or you could compare the voter body count to the ballot count run through the scanner.</p>

OPTICAL SCAN CHALLENGES/ ISSUES	SOLUTION(S)/EXAMPLES/RESOURCES
	This is so you know the number going in to the machine to be read. This is especially important in processing absentee ballots.

V. Direct Recording Equipment (DRE)

DRE CHALLENGES	SOLUTION(S)/EXAMPLES/RESOURCES
<p>Voter Interaction with Voting System / Voter education</p>	<p>Improving usability: Consider hiring a usability expert (see Resources) to review your system and make recommendations. In addition to the on-screen instructions and layout, other factors affecting usability include appropriate lighting and placement of machines.</p> <p>Example Arlington County, Virginia, dispatches demo units in each polling place. Make sure pollworkers learn procedures for activating demo smart cards so they don't accidentally use "live" smart cards.</p> <p>Review FEC publications on usability (see Resources).</p> <p>Develop a web-accessible sample ballot that shows each screen, including the instruction and ending screen.</p> <p>Example Arlington County, Virginia, includes a presentation on voting machines and the voting process on its website.</p> <p>Track over-vote and "under-votes." Develop Election Day procedures to help determine the nature and cause of under-votes and blank votes to determine whether they are genuine under-votes or the result of voter confusion.</p> <p>Ask minority language organizations to review ballot translations.</p> <p>If you find a higher percentage of voter error in certain communities, work with pertinent community groups to educate voters in those communities.</p> <p>Establish procedures for how to handle a scenario in which a voter exits before casting a vote.</p> <p>Develop procedures that allow you to determine after the election which machine the voter used; ensure these procedures also protect the secrecy of the ballot.</p> <p>Example</p>

DRE CHALLENGES	SOLUTION(S)/EXAMPLES/RESOURCES
	Montgomery County, Maryland, requires the pollworkers to conduct a written tally for each unit.
Pollworker Training and Polling Place Procedures	<p>Pollworker recruiting: Recruit local government employees, particularly those with IT background.</p> <p>Example The Washington, DC, Board of Elections created a “precinct technician” position to provide technical support in the polling place; the technician receives hands-on training on start up and troubleshooting machine problems.</p> <p>Pollworker training:</p> <p>Create a pollworker position that is dedicated to machine set up, shut down and troubleshooting. Provide supplemental training on equipment; supplement pay for extra training.</p> <p>Require pollworkers to keep a log of Election Day events and problems, including voter complaints, that will help you to recreate the events of that day.</p> <p>Polling Place Setup Use USB’s as machine power source; connect each machine to a USB. Daisy-chaining machines may become a single point of failure. Have a back-up plan and train pollworkers on how to troubleshoot and report alleged “power failure” problems. See Resources.</p> <p>Angle the machines to protect voter privacy.</p> <p>Survey polling places with tech support to check outlets and modem phone line access for modems.</p> <p>Pollworker Accountability. Establish checklists to track pollworker performance on key steps of DRE voting processes.</p> <p>Example Montgomery County, MD, has a Precinct Performance Report which tracks such factors as completion of election logs, provisional ballot accounting forms and compliance with check-in procedures.</p>
Testing/System	Rely as little on the vendor as possible; look for outside IT expertise if it is not available in house. Have either election

DRE CHALLENGES	SOLUTION(S)/EXAMPLES/RESOURCES
<p>Integrity</p> <p>Calibration Issues – too much wear and tear can impact sensitivity.</p>	<p>staff or independent consultants design and run tests.</p> <p>Ensure systematic and consistent testing of each machine.</p> <p>Conduct, at a minimum, both acceptance testing and logic and accuracy testing on each system. Logic and accuracy test should include “incremental testing.”</p> <p>Conduct system diagnostics on every machine for every election before you conduct Logic and Accuracy.</p> <p>Use separate machines for training and outreach.</p>
<p>Pre-Election Day Management and Security</p>	<p>Establish a deadline for patches or modifications to prevent unnecessary confusion.</p> <p>Create a timeline for election preparation. If you are introducing DREs, expect to quadruple the amount of time necessary for preparing precinct-specific units. Preparation, testing and staging all require more time.</p> <p>Conduct a risk analysis – where are you most vulnerable to problems? At what points are the system – both the administrative system and the machines – most likely to breakdown. For example, is there an indispensable person? If so, develop a plan for dealing with his/her absence. Develop contingency plans, such as off-site storage of all software and data.</p> <p>Cross-train election staff to perform multiple tasks.</p> <p>Ensure all software, including patches, is certified.</p> <p>Example New York uses bar codes to track delivery of lever machines in anticipation of transitioning to DREs.</p> <p>Develop sound documentation of all election administration procedures that will allow you to identify the cause of problems after an election. Keep a log of receipt of equipment and software, who performed the programming and testing, and delivery to staging area or polling place. all paperwork that may be relevant in recreating how a failure might have occurred.</p>

DRE CHALLENGES	SOLUTION(S)/EXAMPLES/RESOURCES
	<p>If the state is the contract holder, develop Memorandums of Understanding (MOUs) with state election office on authority over the system maintenance and modifications, including appropriate liens of communication.</p> <p>Develop rules for access to any sensitive equipment.</p> <p>Keep a maintenance log for all voting system equipment. This log should track who has had access to the machine(s).</p> <p>Computers used for ballot definition should be stand-alone PCs unconnected to servers or the Internet.</p> <p>Machine delivery: Conduct risk analysis of the delivery system.</p> <p>Develop agreements with each polling place delineating the responsible election office and the facility.</p> <p>Establish chain of custody.</p> <p>Develop checklist for delivery.</p> <p>Use bar-coding to ensure proper delivery of all machines to polling places.</p>
<p>Election Day / Election Night Management and Security</p>	<p>Control access to the voter “smart cards.” Educate pollworkers and voters to know that the “smart card” is not the ballot and the voter’s choices are not recorded on the “smart card.” The card merely directs the voting unit to bring forward the voter’s correct voting screens.</p> <p>Example Montgomery County, MD directs the pollworker to insert the Smart Card in to the unit on behalf of the voter to ensure that the voter correctly accesses the system.</p> <p>Develop a plan to provide Election Day technical support for pollworkers, including a troubleshooting checklist, a call center, and rovers.</p> <p>Establish written procedures for handling Election Day equipment failure.</p>

DRE CHALLENGES	SOLUTION(S)/EXAMPLES/RESOURCES
	<p>Provide for redundant records of results, including paper printouts.</p> <p>Ensure transparency in all aspects of the tabulation process, especially in the transport or transmission of results to the central election office.</p> <p>Develop chain of custody for memory cards and machines.</p>
Post-Election Management and Security	<p>Conduct post-election logic and accuracy testing of machines.</p> <p>Modem unofficial results over phone line using encryption to protect data during transmission.</p> <p>Conduct a post-election audit to reconcile all records, especially the number of voters and the number of votes cast.</p> <p>Conduct a public post-election “debriefing” to address any concerns related to the voting system.</p>
5 Considerations for Making DRE Voting Systems Accessible	<p>Solicit the help of disability organizations in training poll workers to assist voters using accessible equipment.</p> <p>Place machines in a location where polling place noise won’t overwhelm the audio ballot.</p> <p>Recruit voters with disabilities and minority language voters to serve as pollworkers.</p>

VI. Provisional Voting Challenges and Solutions

- Ensuring Transparency and Accountability
- Ensuring Trouble-Free Implementation on Election Day
- Issuing Provisional Ballots
- Processing Provisional Ballots

A. Ensuring Transparency and Accountability

1. Ensure that standards and procedures for issuing, processing, researching and counting provisional ballots are clear, transparent, public and uniform.
2. Record and publicize how many provisional ballots were issued, how many provisional ballots were counted and the reasons for not counting. Jurisdictions are already mandated by HAVA to inform individual voters whether their provisional ballot was counted.

Example

The South Dakota Secretary of State posted on its website the number of provisional ballots per county that were issued in its June 2004 Special Editions.

3. Evaluate pollworker implementation. Develop a method for evaluating how well pollworkers are following provisional voting procedures to determine if pollworker error contributed to any provisional ballots not being counted.

Example

Montgomery County, MD, created a spreadsheet to monitor reasons provisional ballots were not counted to evaluate and improve the training and procedures. Montgomery County, MD, also created an “Assistant Chief Judge” position (one from each political party) who is responsible for supporting the Chief Judge, particularly in the areas of provisional ballot procedures, technical support and language needs.

B. Ensuring Trouble-Free Implementation on Election Day

1. Reduce the need for provisional ballots. Verifying the eligibility of voters who cast provisional ballots can be burdensome. Find way to reduce the need for this safeguard by addressing registration problems ahead of time and by attempting to resolve eligibility questions at the polling place so that voters may cast a regular ballot. For example, include educate the public about the importance of voting in the correct precinct.
2. Make the provisional voting process voter-friendly.

Example

Los Angeles County displays a “Count Me In!” poster to help voters understand and feel comfortable with the provisional voting process.

3. Establish sound methods for directing voters to the correct polling place (and correct precinct if there are multiple precincts within a polling place). Such methods might include voter notification cards, web-based poll site locators, automated phone systems, adjacent precinct maps, and street directories. Include instructions in pollworker training on how to identify a voter's correct polling place and precinct. Provide resources to help the pollworkers direct a voter to his/her correct voting place.

Example

In Virginia, voters can look up their registration status on the VA State Board of Election website. The site can also tell you where your correct polling place is; all the voter needs is his or her "Driver's License PIN number."

Example

In St. Louis County, MO, when a pollworker calls the election office to clarify the voter's registration for the purpose of sending the voter to his/her correct polling place, the voter is given an authorization code to present to the pollworkers at the correct place. This practice saves redundant phone calls on Election Day.

4. Promote pollworker accountability by tracking errors made in misdirecting voters to the incorrect voting place.

Example

New York City pollworkers are required to sign paperwork when they direct voters to another polling place; as a result, election officials know who made mistakes in this process and will count the vote to correct for pollworker error.

5. If possible, provide access to the voter registration list at the polling place.

Example

Cook County, Illinois, provides a bonus to pollworkers for using their personal cell phones to communicate with the election office regarding troubleshooting problems and to clarify voter registration issues.

Example

Boone County, Missouri, supplies poll workers with cell phones, pagers and networked lap tops for processing change of addresses on Election Day.

6. Ensure access to the list of inactive voters. Provide a list of inactive voters at every polling place so that the voter might be activated and the vote file updated when appropriate.

Example

Miami-Dade County, Florida, provides every polling place with a lap top computer containing the full voter list.

C. Issuing Provisional Ballots

1. Include questions that will help you investigate the voter’s eligibility in the application process for provisional ballots. Such questions would include asking where or how they registered: at the DMV? By mail?

Example

The Missouri provisional envelope leaves space for the voter to explain why he or she believes they’re eligible to vote. Boone County, MO, provides a supplemental checklist for the voter to select the location where they registered.

2. Use information from provisional ballot application process to register voters who weren’t registered. Alternatively, attach application to the provisional ballot envelope.

Example

Two sample letters to voters from Marshall County, Iowa: [Not Counted and Why](#) and [Good News Letter](#). The “Not Counted and Why” letter advises voters that for those ballots not counted, the provisional envelope has been designed to serve as a registration application and that the voter is now eligible to vote in future elections.

3. Ensure secrecy of the provisional ballot. For paper-based systems, consider developing a two-envelope system: voters place the provisional ballot in one envelope – a secrecy envelope – that is placed within the envelope that has the application and processing information printed on one side.
4. Put a window or hole-punch in the provisional ballot envelope to make it easy to check and make sure the voter has put the ballot inside.

Example

Hamilton County, Ohio.

5. Simplify the process for pollworkers. For example, print the information on one side of the envelope – pollworkers often forget to turn things over. Provide procedural flow charts.

Example

Los Angeles County, has a 3-piece provisional ballot envelope:

- [Provisional Ballot \(front\)](#)
- [Provisional Ballot \(back\)](#)
- [Provisional Ballot \(slip\)](#)

6. Promote pollworker accountability. Remind pollworkers they are responsible for making sure that the provisional ballot envelope is filled out properly.

7. Ensure provisional ballots cast by voters voting after polling hours because of a court order are kept separate from other provisional ballots.

Example

Virginia's provisional envelope includes a check box for the pollworker to check indicating that the provisional is due to the poll have to be kept open.

8. Alert your pollworkers that some voters might refuse to vote electronically; educate pollworkers on the policy of how to handle such voters.

Example

The Maryland State Board of Elections issued a policy for the March 2004 Primary stating that paper provisional ballots were not to be provided to voters who were properly listed in the precinct register and wished to avoid voting on DREs.

D. Processing Provisional Ballots

1. Keep the provisional ballot process public. Count the number of provisional ballots issued Election Night so you can report the next morning. Develop procedures for tracking and accounting for ballots issued, spoiled and those not voted/returned by voter.

Example

Marshall County, Iowa, uses a spreadsheet to track provisional ballots cast: This serves to: (1) produce the state-required list that must be posted in county offices for challenge review, (2) track types of provisional ballots cast and counted/not counted designation, (3) produce follow up/"free-access" communications with voters, and (4) help identify precincts where pollworkers did not properly implement procedures or where a large number of voters were not registered.

2. Protect the security and secrecy of provisional ballots. Ensure all provisional ballots are securely stored at the polling place and while in transit. Consider conducting the research regarding voter eligibility by using a photocopy of information on provisional ballot envelope to protect ballots.
3. Develop method to verify that voters who claim to have registered at the motor vehicle agency did so.

Example

In Iowa, pollworkers fills out a worksheet that includes information from the driver's license to track disposition of registration. The Iowa Department of Transportation has responsibility for verifying these registration applications voter's disposition of registration during the canvass period.

VII. Checklist for HAVA Implementation

A. *Identification for New Voters**

Voters who register to vote for the first time by mail, and who have not previously voted in a federal election in the state, must provide either a copy of certain identification documents when they register or show such identification (i.e. photo identification, utility bill, bank statement, paycheck or other government document) the first time they vote in a federal election held after January 1, 2004. Voters not meeting these requirements can vote a provisional ballot. These requirements do not apply to individuals who are entitled to vote absentee under various federal laws such as the Uniformed and Overseas Citizens Absentee Voting Act and the Voting Accessibility for the Elderly and Handicapped Act. These requirements also will not apply to anyone who provides either a driver's license number or the last 4 digits of a social security number if the state is able to match that information with an existing state identification record bearing the same number, name and date of birth as provided in the registration application.

HAVA requires that the federal mail-in registration form include check-off boxes for citizenship and being 18 years of age by Election Day. If neither the "yes" box nor the "no" box is checked, the State is required to notify the applicant of the incomplete form with sufficient time to allow completion of the form. This subsection is "subject to state law," so the state may choose to honor the affirmation of citizenship and age that goes with the signing of the registration form and register a person who did not check the "yes" box. (If a "no" box" is checked, the application should be rejected). HAVA does not require states to redesign their state voter registration forms to include check-off boxes.

Checklist:

- Distribute new state registration forms that may include space to provide Driver's License and/or last four digits of the Social Security number.
- Clarify policy for what is considered a mail-in registration and establish policy to process.

Example

North Carolina's [State Election Information Management System \(SEIMS\) HAVA Policies and Procedures](#) is a clear statewide definition for what constitute a "mail-in" voter.

- Develop policy and procedures for processing "incomplete" voter registration forms.
- Develop policy and procedures for processing "First Time Mail-in" voters on Election Day who need to present identification.

Example

North Carolina's [State Election Information Management System \(SEIMS\) HAVA Policies and Procedures](#) compares voter-provided drivers license information with motor vehicle records and exempts first-time mail-in registrants from having to show ID at the polls on Election Day.

B. Provisional Voting*

Voters who declare they are registered and eligible to vote in the jurisdiction in which they desire to vote, but whose names do not appear on the registration list, must be permitted to cast a provisional ballot. If the election official is able to verify that the individual is a registered and eligible voter, the provisional ballot can be counted under applicable state law. The state must establish a free access system (such as a toll-free telephone number or Internet website) where the voter can discover whether the vote was counted, and if not, the reason why. In addition, voters who vote in a federal election after the established time for polls to close, due to a court order or other order requiring the polls to remain open for extended hours, must vote by provisional ballot.

Checklist:

- Design pollworker and voter-friendly provisional envelopes that may include information designed to enable you to register the individual if they were not registered by Election Day.
- Set up a “free-access” system that is voter-friendly.
- Develop provisional voting flowchart for pollworkers.

Example

Model [Provisional Ballots](#) voting flowchart from Johnson County, Kansas

- Develop pollworker procedures for issuing.
- Develop staff procedures for counting.

C. Voter Information*

After January 1, 2004, voting information must be posted at every polling place on election day, including: a) a sample of the ballot used for that election, b) instructions on how to vote, including how to cast a vote and how to cast a provisional ballot, c) instructions for mail-in registrants and first-time voters (see other sections), d) general information on voting rights under applicable federal and state laws, including information on the right of an individual to cast a provisional ballot, e) instructions on how to contact the appropriate officials if these rights have been violated, and f) general information on federal and state laws prohibiting fraud and misrepresentation.

Checklist:

- Develop voter-friendly HAVA / Voter Rights Sign.

D. Complaint Procedures*

Checklist:

- Develop complaint procedures (coordinate with your state election official).
- Develop notice to voters of how to access complaint procedures and means for voters to provide feedback.

E. Disability Access*

In addition to requiring and paying for one accessible voting system in every polling place by January 1, 2006, HAVA allocates \$100 million to make polling places physically accessible.

Checklist:

- Work with local accessibility advocates to survey your polling places to ensure accessibility.
- Work with your state election official to coordinate application for federal “Election Assistance for Individuals with Disabilities” (EAID) funds.
- Work with your state election official to coordinate the allocation of federal “Election Assistance for Individuals with Disabilities” (EAID) funds.
- Be innovative and creative and give tools to your pollworkers to improve accessibility of polling places. Examples include providing a wooden door wedge to prop open a heavy door, providing duck tape which can go over a door knob lock so the knob does not have to be turned, laminate handicapped access parking signs so that pollworkers can affix them to stakes in parking lots on Election Day.

F. General Resource

A [HAVA Requirements and Compliance](#) checklist is being developed by the California Association of Clerks and Election Officials (CACEO).

* Verbiage copied from:

[U.S. Department of Justice Press Release \(12/31/03\)](#) website

[League of Women Voters](#) website

VIII. RESOURCES

National Institute of Standards and Technology (NIST) Documents

- 1) NIST Security Checklists from NIST website.
- 2) [NBS Special Publication 500-158 “Accuracy, Integrity and Security in Computerized Vote Tallying”](#) (August 1998)
- 3) [NBS Special Publication 500-30 “Effective Use of Computing Technology in Vote Tallying”](#) (April 1978)

Election Assistance Commission (EAC)/ Federal Election Commission (FEC) Documents

- 1) [“Usability Testing of Voting Systems”](#) (written for voting system manufacturers and for election officials who may be procuring new voting systems), October 2003.
- 2) [“Developing a User-Centered Voting System”](#) (written for voting system developers who want to enhance their user interface design process to ensure system usability), October 2003.
- 3) [“Procuring a User-Centered Voting System”](#) (written for election officials who seek a voting system best suited to their constituents’ needs and preferences), October 2003.

Publications from Government and Non-Governmental Organizations

- 1) The State of Georgia ‘s Office of Secretary of State Elections Division and Kennesaw State University Center for Election Systems has developed a [Georgia Election Official Certification Program \(GEOC\)](#).
- 2) [“Recommendations of the Brennan Center for Justice and the Leadership Conference on Civil Rights for Improving Reliability of Direct Recording Electronic Voting System”](#), July 2004.
- 3) CALTECH/MIT, [“Immediate Steps to Avoid Lost Votes in the 2004 Presidential Election: Recommendations for the Election Assistance Commission.”](#) Voting Technology Project, July 2004.

IX. Acknowledgements

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U.S. Election Assistance Commission
Public Hearing
May 5, 2004
Washington, DC

Public Hearing on the Use, Security and Reliability of Electronic Voting Systems. The hearing included: Overview of Direct Recording Electronic (DRE) Voting, Technology Panel, Vendor Panel, Election Administrator Panel, Research / Human Interaction Factors Panel, Advocacy Organization Panel.

Kim Brace, President, Election Data Services, Inc.; Dr. Avi Rubin, Johns Hopkins University, Information Security Institute; Stephen Berger, Institute of Electrical and Electronics Engineers (IEEE); Dr. Ted Selker, Massachusetts Institute of Technology (MIT); Dr. Brit Williams, Kennesaw University, Georgia; Neil McClure, General Manager & Vice President, Hart Intercivic; Mark Radke, Director of Marketing, Diebold; Dr. Kevin Chung, Founder and CEO, Avante; William F. Welsh, II, Board Member, Election Systems & Software; Alfie Charles, Vice President of Business Development, Sequoia; Kevin Shelley, Secretary of State of California; Kathy Rogers, Director of Elections Administration, Office of the Georgia Secretary of State; Conny McCormack, County Clerk and Registrar, Los Angeles County, California; Denise Lamb, Director of Elections, New Mexico; Dr. Sharon Laskowski, National Institute of Standards and Technology (NIST); Dana DeBeauvoir, County Clerk, Austin Texas; Alice Miller, Executive Director, District of Columbia Board of Elections and Ethics; Jim Dickson, Vice President for Governmental Affairs American Association of People with Disabilities; Kay Maxwell, President, League of Women Voters of the U.S.; Angela Arboleda, Civil Rights Policy Analyst, National Council of La Raza; Melanie Campbell, Executive Director & CEO, National Coalition on Black Civic Participation, Inc. - Voices of the Electorate; Chellie Pingree, President, Common Cause.

U.S. Election Assistance Commission
Public Hearing
June 3, 2004
Chicago, Illinois

Public Hearing to identify best practices, problems and transition issues associated with Optical Scan and Punch Card voting systems and the successes and problems identified with the use of Provisional Voting.

Eric Fischer, Congressional Research Service; Doug Lewis, Director, Election Center; Lance Gough, Elections Director, Chicago, Illinois; Sharon Turner-Buie, Director of Elections, Kansas City, Missouri; Amy Naccarato, State Election Director, Utah; Mary Kiffmeyer, Secretary of State, Minnesota; Ion Sancho, Supervisor of Elections, Leon County, Florida; Michael Clingman, Secretary, Oklahoma State Board of Elections; Paddy McGuire, Deputy Secretary of State, Oregon; David Orr, County Clerk, Cook Co, Illinois; Sandy Steinbach, State Election Director, Iowa; Kelly Anthony, Director, Missouri Disability Vote Project; Maria Valdez, Esq., Regional Counsel, MALDEF Chicago; Alice Tregay, Voter Registration/Education Coordinator, Rainbow/Push Coalition.