



Post-Election Audits

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TEAM IN 2014



Rule Timeline

1S-5.026

- October 21, 2013 – Workshop held
- December 16, 2013 – Rule published in Florida Administrative Register
- January 7, 2014 – Hearing held
- Notice of change has been filed
- Should be adopted in February

Post-Election Certification Voting System Audit

F.S. 101.591 and Administrative Rule 1S-5.026

- Immediately following certification of each election, including municipal elections
- Manual or automated, independent audit (AIA)
- Randomly selected race and precinct(s)
- Election day, absentee, early voting, provisional and overseas ballots

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Definitions



Audit Team

Manual audit

- ✓ 2 person team that manually sorts and tallies the votes

Automated independent audit (AIA)

- ✓ one or more persons whom have been trained on the automated independent audit equipment

Definitions



Automated Independent Audit (AIA)

- ✓ Use of hardware and software technology to independently tally the votes cast across every race that appears on all ballots in at least 20% of the precincts chosen at random

Ballot Image

- ✓ Electronic record of a ballot cast on a touchscreen device

Definitions



Ballot Type

- ✓ Early voting, election day or absentee ballot. Provisional ballots cast or grouped with voting method as applicable. Overseas absentee ballots are grouped with the absentee ballots

Indeterminate Vote

- ✓ Marginal mark on the ballot where the voting system may not have tabulated

Definitions



Marginal Mark

- ✓ A mark which the tabulator or automated independent audit system may or may not interpret as the voter's choice in a race

Valid Vote

- ✓ Determined from the mark the voter has made a definite choice

Automated Independent Audit



To utilize an automated independent audit system:

- ✓ Rule 1S-5.026 must be adopted (February)
- ✓ DOE must approve system for use

Note: At this time there are no approved automated independent systems in the state of Florida

Forms

DS-DE 105-A

- Manual Audit Team Worksheet for DRE ballots

DS-DE 105-B

- Manual Audit Team Worksheet for marksense ballots

DS-DE 106

- Precinct Summary for manual audit

DS-DE 106A

- Discrepancy Report for Automated Independent Audit – **Note:** Form will be renamed soon

DS-DE 107

- Voting System Post-Election Certification Voting System Audit Report

General Procedures for Publication of Notice

Publish at least 24 hours prior to conducting audit

- Shall include date, time and place
- Posted in 4 conspicuous places in the county
- Posted on home page of SOE's website
 - A link to the notice will satisfy the website requirement

The Board shall conduct, complete and make the results of audit available no later than 11:59 p.m. of the 7th day after official certification

General Procedures for Random Selection Process

Random selections of race and precinct occur after certification of the election

Examples of selection process

- Drawing lots
- Ten sided die
- Computerized random selection

Selection method should be done in a way that the public is assured all races and precincts are included



General Procedures for Random Selection Process

1. Select a race
2. Select a precinct
 - 1% but no more than 2% of the precincts in which the race appears
 - If 2% or less of the precincts = less than a whole number, round up to the next whole number



General Procedures

Majority of the Board shall be present at all times until completion of audit

Board shall:

- Review rules and statutes governing audit procedures
- Review SOE's security procedures for audits
- Ensure minutes of the audit are taken, recorded and maintained
- Conduct in a room large enough to accommodate
 - The Board
 - Audit teams
 - Maximum of 2 public observers per audit team

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General Procedures

Board shall:

- Appoint as many audit teams as necessary
- May adopt rules and policies to ensure public does not interfere with audit
- Verify an accurate ballot count exists
 - ✓ Number of ballots cast = number of ballots to be audited

General Procedures



Board shall:

- If difference is $\frac{1}{2}$ of 1% or more, Board must investigate to determine if it can resolve
- If cannot be resolved, provide an explanation on the DS-DE 107

Only the Board, SOE staff or audit team shall handle any ballot



Specific Procedures for Direct Recording Electronic Voting Machines (DRE's Manual Audit)

1. Print ballot image report from each machine to be audited
2. Assign distinct color code to each possible choice in the race
3. Audit team shall highlight the voters choice with assigned color
4. Audit team shall tally the results and record on
DS- DE 105A



Specific Procedures for Direct Recording Electronic Voting Machines (DRE's Automated Independent Audit)

The Board may use one of the following three methods:

1. Duplicate votes from ballot image onto a marksense ballot;
2. Duplicate the ballot using a Division of Elections approved automatic duplication process specifically for auditing purposes;
3. Compare the number of total ballots listed on voting system minus the marksense ballots counted by the automated independent audit system to determine the number of ballots voted on touchscreen machines.



Specific Procedures for Optical Scan Ballots



Election Day, early voted and absentee ballots (which include UOCAVA and provisional ballots) shall be audited separately (provisional ballots shall be audited separately if tabulated separately)

Manual audit shall continue until completed

- Recess may be called but procedures for securing the tally results and ballots shall be followed



Specific Procedures for Optical Scan Ballots

Audit team examines ballot and if in agreement place into one of the following stacks:

- ✓ Overvoted
- ✓ Undervoted
- ✓ Should have been tabulated
- ✓ Might not have been tabulated

Audit team shall sort the ballots in the should have been tabulated stack according to the voter's choice

Audit team shall tally the votes and record on DS-DE 105B

Specific Procedures for Optical Scan Ballots

Selected race “**Vote for no more than _____**”

Audit team shall sort out undervoted ballots with no selection made and record the count

For the remaining undervoted ballots, the Audit team shall sort the ballots into two stacks

- First stack containing Candidate A
- Second stack with remaining candidates
- Record votes for Candidate A on the DS-DE 105B worksheet

Specific Procedures for Optical Scan Ballots Cont.

Selected race “**Vote for no more than _____**”

Audit team shall resort the ballots again with two stacks

- First stack containing Candidate B
- Second stack with remaining candidates
- Record votes for Candidate B on the DS-DE 105B worksheet

Process shall be repeated for each candidate until complete

Results – Manual Audit

SOE will provide detailed report from the voting system to the Board

Board will compare numbers listed on report from voting system with manual audit

If there is a discrepancy of more than $\frac{1}{2}$ of 1%, Board shall determine if it can be reconciled by reviewing audit teams stacks

If discrepancy is still more than $\frac{1}{2}$ of 1%, a different audit team conducts a manual re-tally.

If the totals do not match, Board will record such on DS-DE 106

Results – Automated Independent Audit



After the AIA system has finalized its tally, the Board or AIA system shall compile and compare the results to the official vote totals for all races in the selected precincts

A produced summary report shall list the number of ballot and vote discrepancies computed at the lowest level of aggregation reported in the election

If there is a discrepancy of less than $\frac{1}{2}$ of 1%, the Board shall record result on the “Voting System Post-Election Certification Voting System Audit Report” (DS – DE 107)

Results – Automated Independent Audit

If discrepancy is $\frac{1}{2}$ of 1% or more:

- Board must investigate by reviewing the ballot images or extracts therefrom to ascertain if the vote was marked in a race that likely was not read by the voting system tabulator or AIA system
- Shall prepare a “Summary for Automated Independent Audit” form (DS-DE 106A) or the AIA system may print a report with the same required information
- Board shall explain the discrepancy on the DS-DE 107

Audit Report

The Board shall submit to the Department of State a report of the audit results within 15 days after the completion of the audit.

The audit report shall include a description of:

- ✓ Overall accuracy of the audit
- ✓ Problems/discrepancies encountered, if any
- ✓ The likely cause of any problems/discrepancies encountered, if any
- ✓ Recommended corrective or remedial actions for any problems/discrepancies encountered for future elections

Audit Report

Submittal methods

- Email: BVSC.Reports@DOS.MyFlorida.com; or
- Mail: Bureau of Voting Systems Certification, R.A. Gray Building, Room 316, 500 S Bronough Street, Tallahassee, FL 32399-0250; or
- Fax: 850-245-6236 (must be followed with an original by mail); or
- SOE File Transfer Utility:
<https://soefileutil.elections.myflorida.com>

Security Procedures

Pursuant to Section 101.015, F.S., each SOE shall ensure their security procedures include procedures relating to:

- ✓ Security of ballots
- ✓ Chain of custody controls
- ✓ Protocols for authorized access
- ✓ Secure storage of ballots

Automated Independent Audit System



For all elections after January 1, 2016, the AIA system must be capable of operating without outside manufacturer or vendor support to use the system

However, if desired, a county may decide to use the audit system's manufacturer or vendor support



Manual Recount

If a manual recount is conducted pursuant to Florida Statutes 102.166, the Canvassing Board is not required to perform the audit provided for in Florida Statutes 101.591(6).

