

## PROVISIONAL BALLOT PROCESSING SYSTEM

Maricopa County Elections Department Pew GeekNet MN July 14<sup>th</sup>, 2012

#### Maricopa County Profile

1,869,666 Active Voters (2,094,176 with Inactives)

- 38% Republican
- 34% Party Not Designated
- 28% Democrat
- (Less than 1% Green & Libertarian)



#### Voting Rights Act Coverage:

- Section 203: Spanish & Tohono O'odham
- Section 4f4: Spanish
- Section 5 Preclearance

Conduct elections for all jurisdictions with exception of the City of Phoenix.

Blended system of optical scan & DREs

>1/2 Voters on Permanent Early Voting



#### WHY SO MANY IN AZ??

- Volume of provisional ballots has been called the "canary in the coalmine" but what is being signaled?
  - Administrative issues?
  - Lack of list maintenance?
  - Insufficient or inconvenient registration methods?
  - Definition of what is a "provisional"?
  - Or, just maybe, human nature to procrastinate &/or not read instructions?



#### BACKGROUND TO PROVISIONAL BALLOTS

- In Arizona we have had a form of provisional voting for years—going back to before we were a state.
- Previously called "Ballots To Be Verified" and "Question Ballots", voters whose name did not appear in the Signature Roster were still able to cast their vote and have it count after it was determined that they were eligible.
- ➤ Historically the most common reason this occurs is due to voters not maintaining a current voter registration when they move.

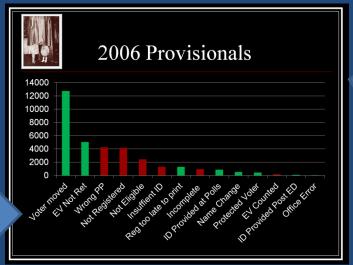


#### CHANGES IN TRENDS

- With the implementation of a Permanent Early Voting List (PEVL) we have seen a shift in Provisional voting.
- Previously on average 1% of the voters who had requested an early ballot went to the polls and voted a provisional.
- After PEVL, that has tripled to 3% (in some cases quadrupling the actual number).
- ➤ With more than 1 million on the PEVL that means volume...

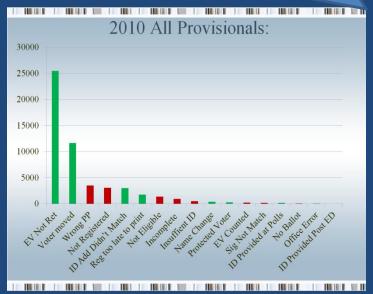


### GENERAL ELECTION COMPARISON



Pre PEVL





And volume means a need to innovate, automate, and "technologize"!





Setting the Stage

## STEP ONE: MANUAL PROCESSING













## CONDITIONAL PROVISIONALS: ID YES & NO

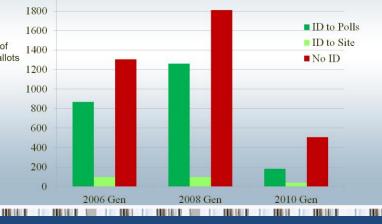
- Provisionals are all handsorted to isolate those which are waiting for the voter to return with valid ID so that their ballot can be processed...
- ➤ Voter initiative from 2004.



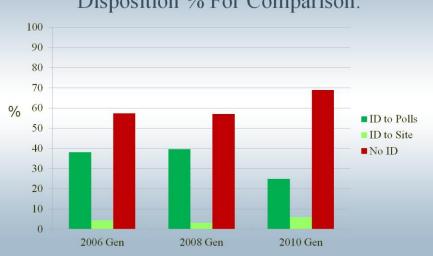


I include this for those states who are implementing similar legislation as a possible harbinger (that canary again) of what may come!

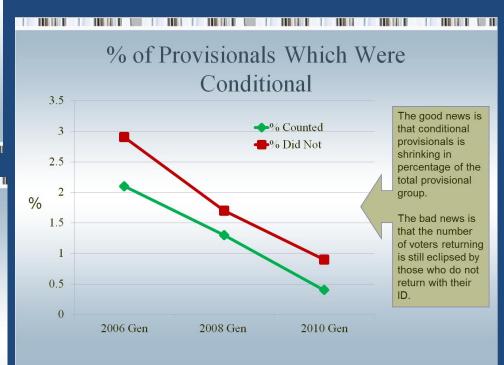
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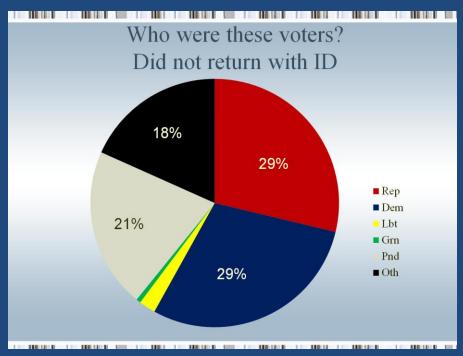
#### Conditional Provisionals & Their Disposition % For Comparison:

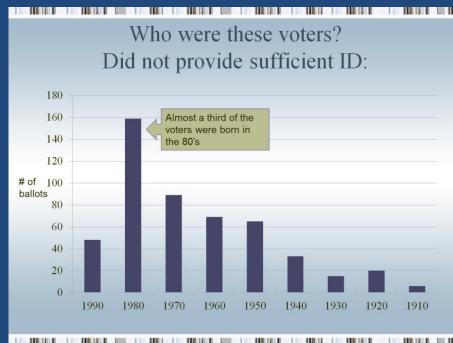


#### CONDITIONAL PROVISIONALS



#### 2010 GENERAL







# ORIGINALLY ALL THE PROVISIONALS WERE DISTRIBUTED AS A PACKET WITH THE FORM ATTACHED AND THE BALLOT INSIDE:





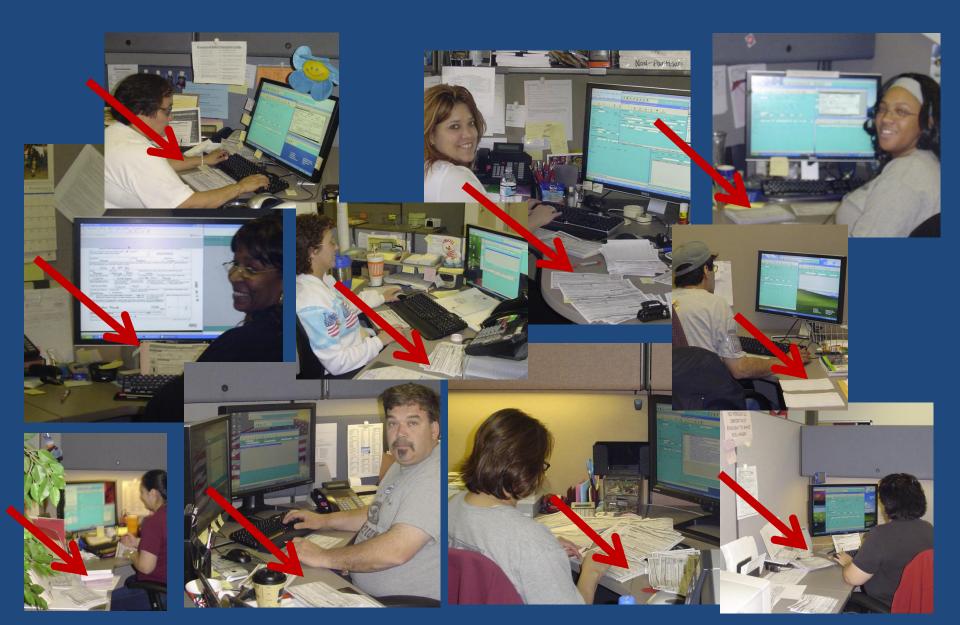


THIS WAS IMPROVED SO THAT ALL BALLOT ENVELOPES STAYED IN A SINGLE LOCATION AND A COPY OF THE FORM REMOVED FOR PROCESSING. THESE COPIES WERE PUT IN PRECINCT ENVELOPES WHICH WERE THEN CHECKED OUT AND RESEARCHED:





#### THEN THE FORMS WERE DISTRIBUTED THROUGHOUT OUR THREE OFFICES:



#### THE PHYSICAL DISTRIBUTION OF TENS OF THOUSANDS OF FORMS HOWEVER, STILL PROVIDES TOO MUCH OPPORTUNITY FOR MISPLACEMENT OR INEFFICIENCY.



There was always the safeguard of the envelope with the back-up form still attached.



## PROVISIONAL FORMS AFTER RESEARCHING THE BALLOT'S DISPOSITION:





#### CHANGES IN 2012

- We implemented a program where all the forms are scanned and then the image is processed by staff.
- All changes to voter registration are done simultaneously—no second keying of the data.
- Interfaces also with our reconciliation auditing of every precinct.





Image Capture

#### STEP TWO: SCANNING





# ELECTION NIGHT STAFF SCAN IN THE SIGNATURE ROSTERS WHILE THE PROVISIONAL FORMS ARE PREPPED FOR SCANNING:







Signature Rosters contain the voter's ID barcode and it updates their voting history.



➤ By doing this we can ensure that in the processing of provisionals that voters are not allowed to vote twice.





NAIE NO ADRESS		EARLY	REG	BEFORE VOTING	PRECINCT CODE
PPNO 1 - GILBERT  BALLOT, FMRTY, REG. DATE, EDGE		VOTE	NO.	ELECTOR MUST SIGN HERE	6591 VOTER D
AARC 4768 8490 WHT		<b>X</b> EV	1 0001	PLEASE ISSUE A PROVISIONAL BALLOT	904657
A880 4977 WHT		X EV	2 0002	PLEASE ISSUE A PROVISIONAL BALLOT	
ABB0 4977		X EV	3	PLEASE ISSUE A PRO-ESIONAL BALLOT	
WHT A880 4481			4		2345345
WHT ABBR 4500		EV	5	LEASE ISSUE A	3164585
WHT ABBR 4500		EV X	0005 6	PLEASE ISSUE A	1502203
WHT ABEL 5031	0	EV X	7	PROVISIONAL BALLOT  PLEASE ISSUE A	1592221
WHT	0	EV X	0007	PROVISIONAL BALLOT	3191563
5031 WHT ABEN	0	EV	0008	PLEASE ISSUE A PROVISIONAL BALLOT	3191504
4475 WHT	0	<b>X</b> EV	0008	PLEASE ISSUE A PROVISIONAL BALLOT	2987568
ABEN 4475 WHT		X EV	10	PLEASE ISSUE A PROVISIONAL BALLOT	2987569
ABER 4477 WHT		X EV	11 0011	PLEASE ISSUE A PROVISIONAL BALLOT	1692358
ABRA 3863 WHT		EV	12		3047659
ACEV 4290			13		
WHT ADAN 4001		X.	14	PLEASE ISSUE A	3388354
WHT ADAN 4190	0	EV X	15	PROVISIONAL BALLOT  PLEASE ISSUE A	3094783
WHT ADAN 4861	0	EV X	0015 16	PROVISIONAL BALLOT  PLEASE ISSUE A	3434033
WHT		EV	0016	PROMISSIONAL SALLOT	3103806
3849 WHT	0	EV	0017		3017661

#### SIGNATURE ROSTER

We also modified the signature field in the roster to remind boardworkers that early voters at the polls have to vote a provisional ballot.





#### STEP THREE: PROCESSING



#### PROVISIONAL PROCESSING



After scanning, the images are retained in batches by precinct number and staff process them electronically.

Here staff process the provisionals without the handling and transportation of the paper records.





#### **General Information**

Determine why the voter had to vote a Provisional Ballot and verify the voter was eligible to vote in the election.

- Voter must be at least 18 years of age on or before the date of the election.
- When verifying provisional ballots, the voter needs to be registered within the appropriate district boundaries.
- Voter must vote at the polling place where they currently reside.
- Voter must be registered on or before the registration cut-off date for each election. (29 days)



#### PROVISIONAL PROCESSING

#### Provisional Ballot Error RED Exclamation Marks

Every voter is checked by the program by different parameters.

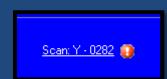
Possible errors will be marked by a **red** "!". Using your mouse roll over the exclamation mark to view the error message. This can be used to help you to select the correct reason code for each ballot.

CPC: 1071 🐞	CL: CH	ELEM: 0	80	HS: 080
SUP: 001 Vot	er Voted at INC	ORRECT POLLIN	G PLACE OR	OUT OF DISTRICT!
	08/05/2008	Voter ID:	3148054	DATEL
(UEEN CF				
	09/10/1998	AGE Requirem	08/05/200 ent not met!	
	EV: G:	COOD STON	TUDE	

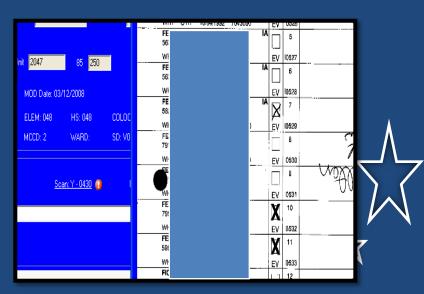
Staff receive notifications in **red** with exclamation marks to bring the issue to their attention.

- The system checks to be sure the voter is eligible based on:
  - Age
  - Date of registration
  - Polling place
  - Party affiliation
- It also checks to see if they have already voted:
  - Returned EV
  - Voted at PP

Rosters used at the polls Election Day on election night, the system can pull the captured image of the voter's signature to be sure it is the same person (and that someone didn't sign in the wrong place).





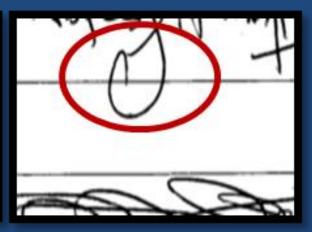


## IMAGE CAPTURE

- With the easy access to the image staff can quickly discern if a voter actually signed or if the barcode history update was triggered in error.
  - This is also caught in the auditing process.









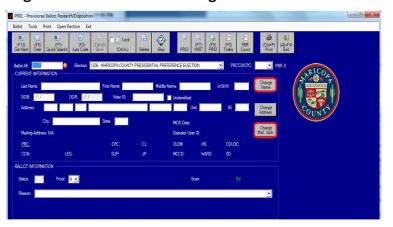
#### PROVISIONAL PROCESSING

• Saves \$\$\$!

This new system allows for the automatic update to the voter's registration record from the PROV system:

- Residence address
- Mailing address
- Name change





- Name Changes: Click on the "Change Name" button and enter the complete "NEW" name in the appropriate fields.
- Adding/Removing Mailing addresses: Click on the "Change Mail Addr" button and enter the complete "NEW" mailing address in the address fields.

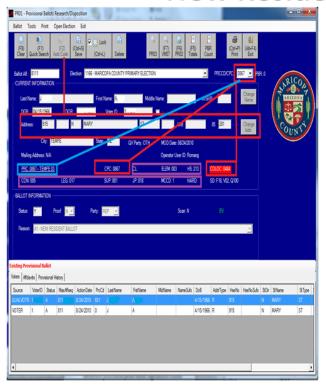


#### VOTER HAS MOVED

The system interfaces with GIS to be sure the voter is in the correct district



#### **New Residence Ballot**



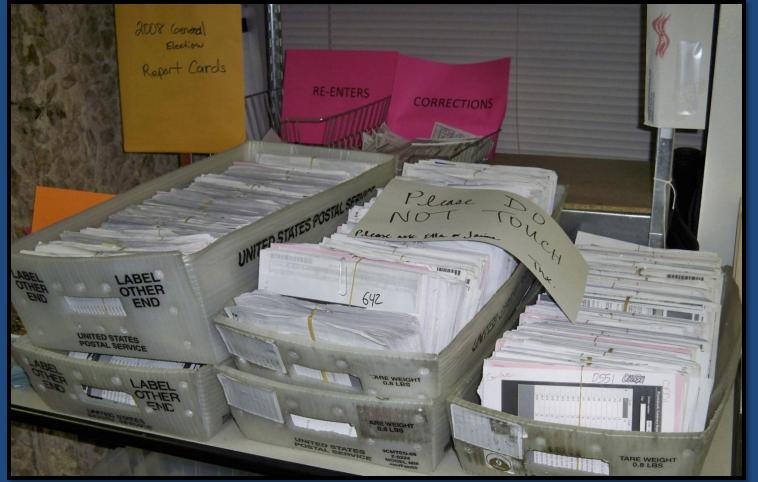
- If the voter is registered at an address that is different than the address given on the Provisional Ballot form in box A.
- The new address needs to be auto coded to determine if the address is valid and is within the district boundaries.
- When the Change of Name button is selected, the background color will change.
- To make an address change click on the "Change Add" button enter the complete NEW address and click the "AUTO CODE" button. The background color will change.
- If the address cannot be auto coded click on the skip button, print the form and place in the designated tray.
- Check the SCAN field. If this field indicates YES followed by a CPC/precinct number and a Red exclamation point the voter signed a signature roster in that CPC/precinct that's listed, double-click on the "SCAN LINK" and compare the signatures. If the same person signed in two different precincts, print the signature roster pages, the Provisional Ballot form and notify the supervisor in charge.





#### NO MORE RE-KEYING!!









#### PROVISIONAL PROCESSING

The voter's signature is verified on every provisional form with the image clip which is automatically pulled:

#### Verifying the voter's signature on the Provisional Ballot Slip



- You must verify the voter's signature on each of the Provisional Ballot slips.
- If the voter's signature is missing, check the "Election Official" line, the voter may have signed on that line by mistake.
- If the voter's signature is missing on the Provisional Ballot Slip, this ballot will not count and should be coded accordingly.
- If the signature does not match the current record check the previous registration forms and if the signature's still do not match, this ballot will not count and should be coded accordingly.



#### DISPOSITION

- The system allows for the employee to enter in the disposition of the voters ballot:
  - Does it count, or not?
  - & Why?
- Because the form is barcoded with the affidavit number this is immediately available to the voter via our online lookup tool or if they call in to our call center.

### $\sqrt{\phantom{a}}$

#### PROVISIONAL PROCESSING



- Not everyone loves provisionals as much as Flora!
- ► (But we all love the enhancements.)





#### THE NOD:







#### THE NUMBERS

- 14% of our Provisionals were automatically updated in our PPE.
- Department saves roughly \$ .75 for each one updated using the new system.
  - If we see another 100,000+ this fall this will save an estimated \$15,000\*.
  - ➤\* This DOESN'T include the cost/time\
    savings of staff being able to access
    work product at their desks.





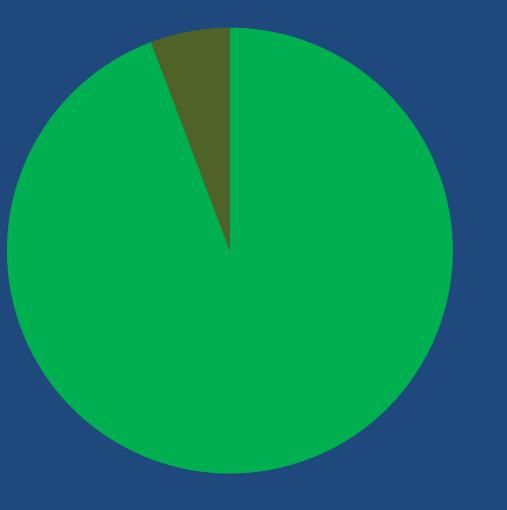


## STEP FOUR: PROCESSING OF BALLOTS



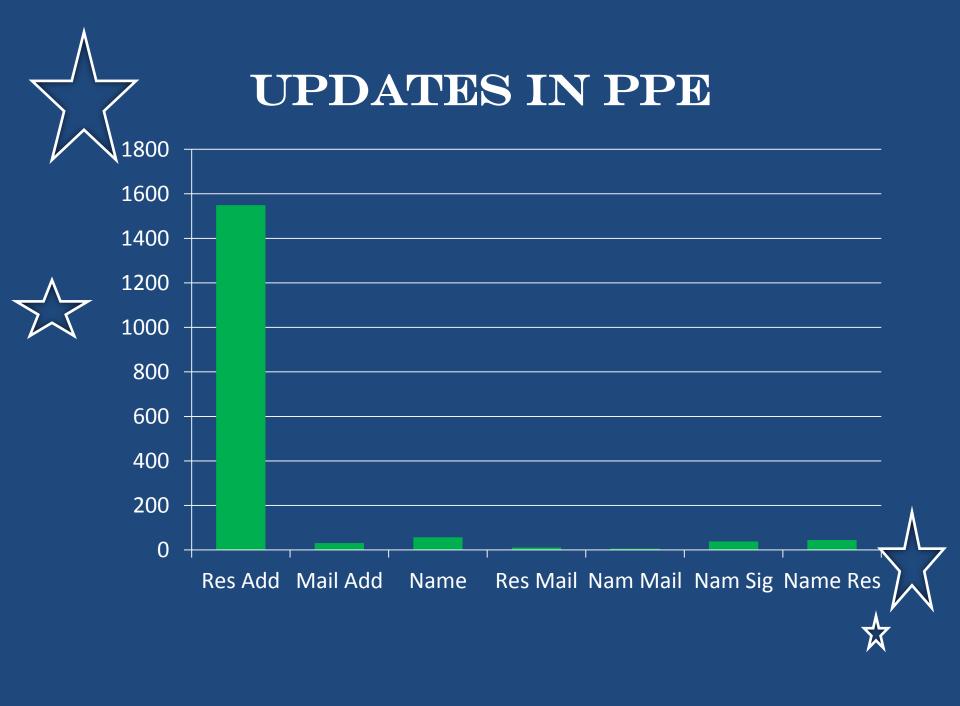
### UPDATES IN PPE





- Single Update
- Multiple Update







## BALLOT DISPOSITION

- The physical aspect of ballot processing has not changed that much with the new system with one exception.
- Because of the automation the reports can now be generated as precincts are done, staff can be shifted to begin this processing earlier.



## REPORTS ARE GENERATED FOR EACH PRECINCT/CONSOLIDATION:









# RUNNERS MATCH THE REPORTS WITH THE APPLICABLE BALLOT BATCHES AND DELIVER THEM TO THE BOARD FOR PROCESSING:









# BI-PARTISAN BOARDS MATCH THE REPORT TO THE ACTUAL ENVELOPES CONTAINING THE BALLOT TO DETERMINE WHICH ONES ARE TO BE COUNTED:



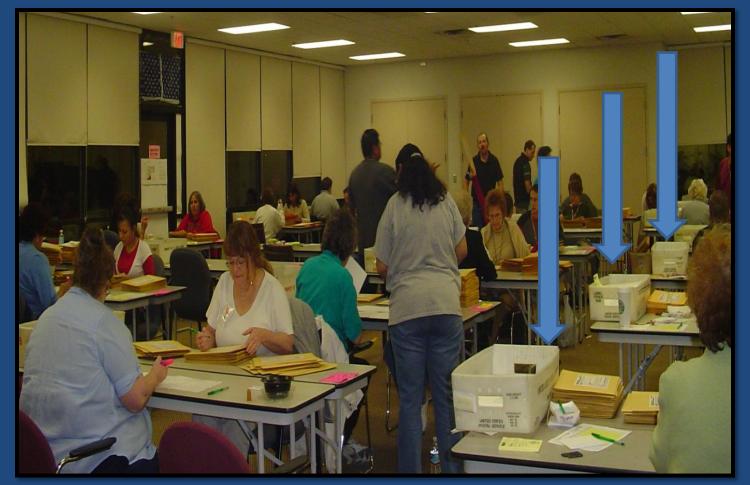






# THE ENVELOPES ARE OPENED AND THE BALLOTS PLACED IN A TRAY TO GO TO THE TABULATION CENTER.











# STEP FIVE: NEW AUDITING INTERFACE





## ADDITIONAL BENEFITS

- The new system also has auditing implications which help in identifying when there are anomalies or discrepancies.
  - In AZ we do a reconciliation audit of all precincts prior to canvass.







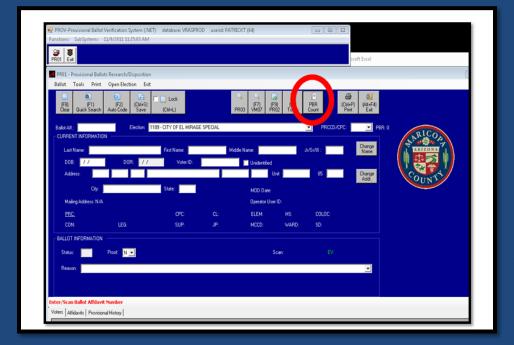
Our boardworkers (pollworkers) complete a Precinct Ballot Report at the polls on Election Day complete with the number of names on their provisional roster.

PRECINCT BALLOT REPORT TS#
For more information on how to complete this form, consult the training manual  -Upon completion, place this report in the front pocket of the "Signature Roster"-
~ Place a check mark ( ✔ ) in the boxes ₩ below to indicate you have verified the Seal Numbers ~
Opening of Polls POLL/CPC INFO: PPNO 9 - SPECIAL ELECTION / 6109
Insight: Memory Pack DOOR Seal # 48325
Number of Ballots Received (Per Count at Set-up Meeting)
2) Number of Additional Ballots Received (write "none" if not applicable)
Edge: Machine# 47896 Polls Open/Close Switch DOOR Seal# 45036525
Results Cartridge <u>DOOR</u> Seal# <u>45076155</u>
Edge Printer   Printer Cartridge <u>HINGE</u> Seal# <u>896524</u> Edge Card Activator → Card Activator BAG Seal# <u>259358</u>
Beginning Protective Count# Beginning Public Count#
Close of Polls  -Upon completion, place this report in the front pocket of the "Signature Roster"-
Edge: Ending Protective Count# Ending Public Count#
Edge Qualified Votes
Edge Provisional Votes
Edge Total Votes
3) Printer Bag Seal#
4) Card Activator BAG Seal# STATE OF ARIZONA Thoight: SPECIAL ELECTION
111Signt: MAY 18, 2010
5) Number of Names from the Poll List  6) Number of Names from Pink Provisional Ballot Signature Roster
7) Number of Misread Ballots (from door #3 of Blue Insight tub)
8) Number of Write-in Ballots (shown at the end of the Insight tape)
9) Number of Spoiled Ballots (found in the clear Official Envelope)
10) Number of Unused Ballots (unopened packets have total noted on outside label)
11) Black Bag Seal# (seal placed on bag at close)
12) Green Bag Seal# (seal placed on bag at close)
13) Red Provisional Ballot Box Seal#1 Seal#2
14) Blue Early Voting Ballot Box Seal#1 Seal#2
15) Clear "Memory Pack/Results Cartridge" Bag Label Seal#
<b>W</b> e, the members of the election board, certify to
the truth and correctness of this Precinct Ballot Inspector
whose signature appears on the Official Signature Judge
Roster was provided a ballot to vote in this  MAY 18, 2010 SPECIAL ELECTION.  Judge



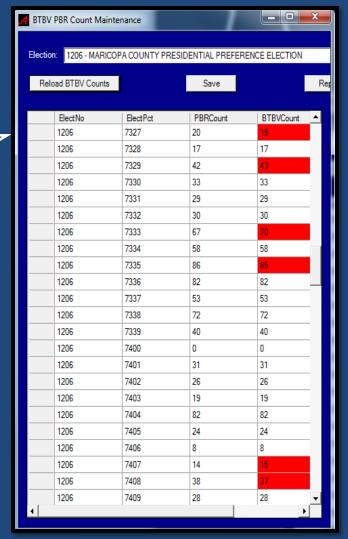
This number is quickly keyed into our new system which provides a baseline in the audit to determine if any provisionals are missing or precincts

co-mingled:







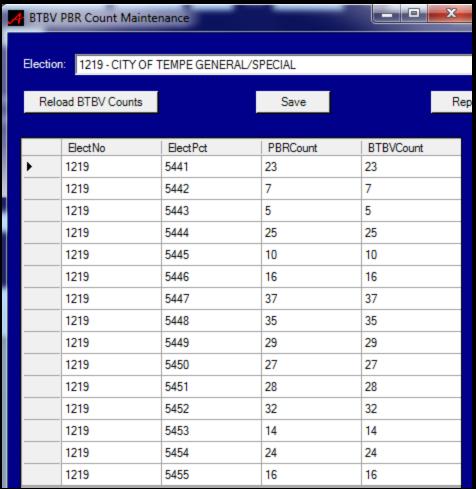


The system identifies any precincts where the number on the PBR does not match the number of provisionals processed.

We can then review for resolution.





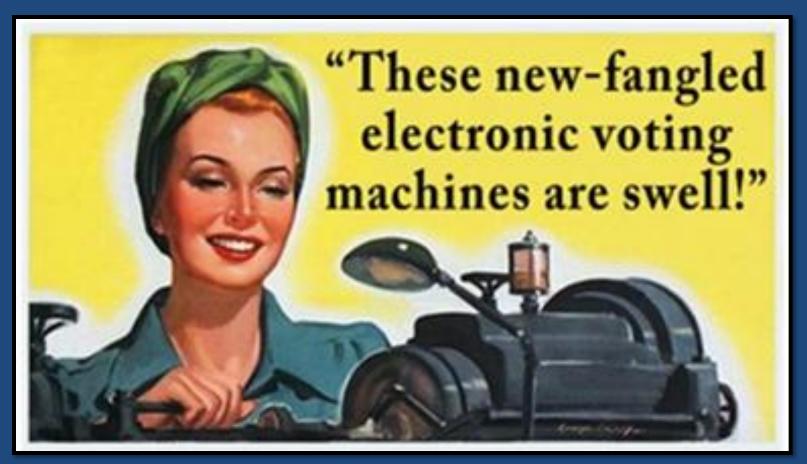


- This is what a perfect election looks like!
- The workers correctly completed their paperwork and everything balanced beautifully.









### **QUESTIONS?**

(PLEASE BE KIND ABOUT THE TECHIE STUFF!!)

