

Minutes
State Election Commission Meeting
January 13, 2020

The State Election Commission meeting was called to order by Chairman Kent Younce at 12:04 p.m., Central Standard Time, January 13, 2020. The following members and staff were present: Commissioners Barrett, McDonald, Wallace and Wheeler; Coordinator of Elections Mark Goins and Kathy Summers, Elections Specialist.

Commissioner McDonald made a motion to adopt the minutes from December 17, 2019, telephonic meeting, Commissioner Barrett seconded the motion and the minutes were unanimously approved. (Aye votes: Barrett, McDonald, Wallace, Wheeler and Younce; No votes: None; Abstention: None.)

Commissioner Wheeler made a motion to adopt the minutes from January 3, 2020, telephonic meeting, Commissioner Barrett seconded the motion and the minutes were unanimously approved. (Aye votes: Barrett, McDonald, Wallace, Wheeler and Younce; No votes: None; Abstention: None.)

No county election commission appointments were made.

Old Business

- **TACEO Review**

Chairman Younce recognized Mark Stephens, TACEO – President.

Mark Stephens, President of TACEO, gave a brief update of TACEO business. Mr. Stephens provided the updated fiscal policies. **(See attached handout for TACEO's Updated Fiscal Policies and Procedures.)**

Commissioner Barrett asked Mr. Stephens for clarification about checks written for cash, and if the association would consider making those type checks payable to an individual, instead of cash with details what the money is being used for and require receipts to back up the expense. Mr. Stephens agreed with the suggestion and will implement the procedure when writing checks.

Commissioner Barrett stated GAAP is still missing in the updated fiscal policies. Mr. Stephens provided letters from TACEO's CPA on why they do not believe GAAP would apply to TACEO.

Commissioner Barrett asked about the status of the updated 1099's, 990's and financial statements. Mr. Stephens provided a draft of the Fiscal Policies and current 990. Mr. Stephens advised the 1099's and prior 990's were in the hands of the CPA.

Chairman Younce recognized Jeanette Cronise TACEO Treasurer. Mrs Cronise reminded commission members that at the last meeting she had not had any communications with TACEO President, Mark Stephens. Mrs. Cronise stated she

still has not received any correspondence from Mr. Stephens. It was Mrs. Cronise's understanding, based on the recommendation from Commissioner Barrett, both TACEO President and the Treasurer would be the liaisons to the CPA. Mrs. Cronise's duties are very limited and she only writes checks and takes deposits. When the finance committee was to meet an email was sent out from Susan Knopf with changes to Commissioner Barrett's recommendations and the committee was required to vote by email on the changes. No information was provided on the results of the votes done by email. Mrs. Cronise reminded commission members they requested Mr. Stephens to provide proof of correspondence with her. Mrs. Cronise does not have access to the CPA, 990's, 1099's or financial statements.

Commissioner Wallace asked Mr. Stephens why the Treasurer is not permitted to be the Treasurer. Mr. Stephens stated the bylaws require the Treasurer to pay the bills, receive the dues and make a report at the annual seminar. Mr. Stephens believes under the bylaws he has the authority to hire the CPA and that task is not a duty of the Treasurer or the Finance Committee.

Chairman Younce asked Mrs. Cronise what she needs to do her duties and what she perceives her role to be as Treasurer. Mrs. Cronise explained what TACEO treasurers have done in the past. Prior treasurers have had a CPA and insurance company in their town, prepared and signed the 990's, received dues, registration money, took care of finances for the conference, set up their own budget and finance committee and they were the chairman of the budget and finance committee. Mrs. Cronise stated Mr. Stephens advised her not all of the bylaws changes were accurate and he went back to using prior bylaws as he interprets the bylaw to say as President of TACEO he is the Chairman of the Budget and Finance Committee. Mrs. Cronise stated Mr. Stephens is in control of the bylaws, finances and the overall organization of TACEO and there are no segregation of duties.

Commissioner Barrett suggested TACEO to seek guidance from CTAS to see if they have suggestions for segregation of duties for the officers.

Chairman Younce stated the State Election Commission is looking for transparency when TACEO is spending taxpayer's money.

New Business

- **Dominion Request for approval of de Minimis changes to D-Suite 5.5 – Ian Piper, Director of Certification**
 - **ECO 100653 Dell OptiPlex 5270 AIO Computer**
 - **D-Suite 5.5 – Mobile Ballot Production Solution**

Ian Piper, Director of Certification for Dominion made the presentation before the commission. (See attached presentation provided by Dominion Voting.)

- **ECO 100653 Dell OptiPlex 5270 AIO Computer**

Commissioner Wheeler made a motion to approve the ECO 100653 Dell Optiplex 5270 AIO Computer, Commissioner McDonald seconded the motion. The motion to approve the ECO 100653 Dell Optiplex 5270 AIO Computer was unanimously approved. (Aye votes: Barrett, McDonald, Wallace, Wheeler and Younce; No votes: None; Abstention: None.)

- **D-Suite 5.5 – Mobile Ballot Production Solution**

Commissioner Barrett made a motion to approve the D-Suite 5.5 Mobile Ballot Production Solution, Commissioner Wheeler seconded the motion. The motion to approve the D-Suite 5.5 Mobile Ballot Production Solution was unanimously approved. (Aye votes: Barrett, McDonald, Wallace, Wheeler and Younce; No votes: None; Abstention: None.)

- **Certify Administrators of Elections who passed the certification test given on December 19, 2019.**

A motion was made by Commissioner McDonald and seconded by Commissioner Wallace to certify those Administrators of Elections, who passed the certification test given on December 19, 2019. (Aye votes: Barrett, McDonald, Wallace, Wheeler and Younce; No votes: None; Abstention: None.) **(See attached memo regarding administrators passing the certification test.)**

County	Administrator
Giles	Zena Dickey
Hawkins	Crystal Rogers
McMinn	TeAnna McKinney

Coordinator Update

Humphreys County - Coordinator Goins reminded commissioners of their recent discussions regarding the voting machine bid process in Humphreys County. Previously, the commission had asked for an affidavit from the sales rep regarding the process his company experienced in Humphreys County. John Hastings, the sales rep for Dominion Voting was in the audience and Coordinator Goins suggested Mr. Hastings come before the commission to discuss the bid process.

John Hastings, Regional Sales Manager for Dominion Voting spoke before the commission. Mr. Hastings stated Dominion gave presentations before the Humphreys County Election Commission and visited the office several times. Humphreys County advised Mr. Hastings he would be notified when the RFP was released. Mr. Hastings never heard from the county regarding the RFP release. After not hearing anything Mr. Hastings contacted the county and he was told the RFP was in the paper and they would send him a copy. Mr. Hastings never received anything by email or mail; nor did Dominion's main office receive anything. Mr. Hastings contacted the county back about the RFP and he was told it was too late to submit a bid. Mr. Hastings is not sure if there was a communication issue on the behalf of the county purchasing office, but assured the commission his company

would have bid on the machines if given the RFP in a timely manner. Mr. Hastings stated the bid process was reopened and his company submitted a bid for voting machines.

Commissioner Barrett made a motion for all counties to provide RFP's to all certified vendors, as well as to the Coordinators office with a copy of the RFP and proof of notification (by a time/date/stamp method) to the vendors, Commissioner Wheeler seconded the motion. The motion was unanimously approved. (Aye votes: Barrett, McDonald, Wallace, Wheeler and Younce; No votes: None; Abstention: None.)

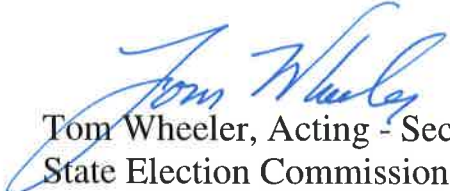
Attorney General's Office – Commission members went into executive session with attorneys from the Attorney General's Office to discuss litigation.

Commissioner Wallace made the motion to go into Executive Session, Commissioner Barrett seconded the motion. The motion to go into Executive Session was unanimously approved. (Aye votes: Barrett, McDonald, Wallace, Wheeler and Younce; No votes: None; Abstention: None.)

Commission members returned from Executive session and adjourned at 2:30 p.m. Central Standard Time.

The next scheduled meeting is set for April 13, 2020 and will be held in the William R. Snodgrass – Tennessee Tower, Nashville Room - 3rd floor at 12:00 Noon, Central Standard Time.

Respectfully submitted,


Tom Wheeler, Acting - Secretary
State Election Commission

State of Tennessee



State Election Commission
312 Rosa L. Parks Avenue, 7th Floor
Nashville, Tennessee 37243-1102

Vacant Status

January 13, 2020

#Type!

Total Vacancies: 0



TENNESSEE ASSOCIATION OF COUNTY ELECTION OFFICIALS

FISCAL POLICIES & PROCEDURES

DECEMBER 4, 2019

TACEO Fiscal Policies & Procedures

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TACEO Fiscal Policies & Procedures

Accounting Procedures

Tennessee Association of County Election Officials (TACEO) is responsible to implement a regular process to safeguard the organization's assets.

Basis of Accounting:

TACEO will operate on a Cash Accounting system. TACEO will recognize revenue when it is received and expenses when they are paid. A Chart of Accounts shall be used to track expenses by activity. Accounting records shall be kept up to date, and quarterly financial statements prepared on a timely basis.

Procedures:

Bank Account:

- All monies will reside in an interest-bearing checking account, if it's available, in one bank established by and for TACEO.
- The account shall be maintained and managed by the Treasurer and the President or the Treasurer and Secretary in the absence of the President of TACEO. (wording changed due to rec from SEC)
- The funds in the bank accounts should not be used to receive or disburse non-TACEO funds.
- No bank account should contain more than the FDIC insured amount. If that amount is reached, the excess amount shall be transferred into another account (i.e. money market, or savings.)
- The TACEO bank account number is never to be provided over the internet for purchases.
- All checks are to be pre-numbered and have the TACEO name on them.
- All unused checks are to be kept in a locked drawer and accounted for monthly.
- Electronic banking allows wire transfers and electronic transfers. However, TACEO will not perform these functions. All transactions / expenses will be paid via check whenever possible. If a check is not an option, use of the credit/debit card shall be used up to \$1,500.

Journal Entries:

- The accounting firm will post journal entries on a quarterly basis.
- The Treasurer, President, and Secretary will review records quarterly in conjunction with the quarterly bank account(s) reconciliation.

Bank Reconciliations / Statements:

- All bank statements will be opened and reviewed in a timely manner.
- All bank statements and cancelled checks will be reviewed and initialed by the Treasurer.
- Once reviewed, bank statements are submitted quarterly to the accountant for reconciliation.
- The President or designated Officer will review and approve reconciliation reports by signing and dating the report.
- All discrepancies will be reported to the Budget & Finance Committee within 30 days of the discrepancy. More severe discrepancies shall be reported immediately.
- The accounting firm or his bookkeeper may be called to assist in resolving any discrepancy.
- Any discrepancy that cannot be resolved will be reported to the Executive Committee within 10 days.

Cash & Checks Receipts & Disbursements:

- Checks written to "cash" will be limited to \$200.
- A Square D reader may be used for future financial transactions (i.e. conference merchandise sales).
- All disbursements shall be made by pre-numbered checks. Checks shall be in the possession of the Treasurer, in a secured and locked place.
- Cash is prohibited from being kept in anyone's possession outside of a conference setting.
- All voided checks are scanned, noted in register, and mutilated at the end of the fiscal year.
- All checks are endorsed "for deposit only" immediately upon receipt.
- All checks are photocopied before being deposited.
- Cash and checks are kept in a locked box until deposited.
- A daily list of all cash and checks shall be prepared.
- Cash withdrawals should be no more than three (3) business days prior to the event for which it is needed with the purpose of the withdrawal noted on the withdrawal slip. This cash will be separate from cash receipts for accounting purposes.
- Cash withdrawals should never exceed \$750.00.
- For events, at least two TACEO members shall count and reconcile all monies received. All cash and checks are given to the Treasurer and the Treasurer issues a receipt with his/her signature and signatures of the two people who reconciled the money. Two people closing the event must reconcile all monies. Cash in advance will be separate.
- Upon receipt of cash, the Treasurer and a designee appointed by the Executive Committee of the cash will complete a cash disbursement voucher that details the description of expense account to be charged and contains authorization signature and accompanying receipts and/or invoices. When the cash is returned, the bottom portion of the voucher noted "cash reimbursement" will be completed and signed. When the deposit is made, a separate deposit should be made for the cash and the same notation placed on the deposit slip.
- Cash should be redeposited within 3 business days from the event in which it was used.

Invoice Preparation:

The Treasurer gathers relevant expense documentation, prepares all invoices to all 95 counties for yearly TACEO dues, and submits to the Administrators of each county by November 1. This shall be sent either electronically or via postal service. Outstanding receivables are monitored once a month by the Treasurer with the President receiving monthly updates.

Signature Requirements:

- The Treasurer and President of TACEO will be signers on the TACEO checking account.
- Online access to the TACEO checking account shall be available to the Treasurer, President, and Secretary.
- Check signers shall review supporting documentation of expenses and approvals at the time of signing checks.
- Signed checks must be mailed within 3 business days.
- Paid invoices are marked paid and attached to a copy of the check prior to filing.
- Signing checks in advance is prohibited.
- Signing blank checks and/or using a signature stamp is/are prohibited.
- For expenditures of \$1,000 or more, a co-signer is required.
- If the co-signer is not available, written authorization must be made in advance and may be in the form of an email with dates, times, amount, and purpose where it is visible.

Deposits:

- Every check received shall immediately be stamped / written on back "For Deposit Only".
- Deposits shall be made within three (3) days of receipt.
- A deposit log will be made for all deposits. The log will include payer, reason for payment, amount and date. A copy of the deposit slip along with the receipt received from the banking institution is required. Deposit slips should equal the deposit log. Explanations are always required with the two do not balance. When possible the deposits will be separated by reason (example due, registration, etc.)
- In the event a deposit check is returned for insufficient funds, the Treasurer shall contact the payer and request payment.
- Deposits should be made in keeping with the chart of accounts and logged into the accounting system.

Debit Cards:

- A debit card related to the TACEO account is permissible and only issued to the Treasurer and President of TACEO.
- Due to the potential for theft, misuse, and auditing problems, use of debit cards is monitored carefully.
- The Executive Committee shall be notified immediately of any lost debit cards or misuse of a debit card.
- All purchases made with a debit card must be accompanied by invoices and/or receipts with an explanation of the expense.
- All debit card purchases are entered into the check register / books and must be done on a monthly basis.

Maintaining Auditable Records:

- The bank account shall be reconciled monthly at the time the bank statement is received. These reconciliations should be kept with the bank statement. Records should be retained in keeping with the retention policies of TACEO.
- Each grand division shall provide the Treasurer with a quarterly statement of finances in order to comply with TACEO's Fiscal Policies and Procedures.

Reimbursement Policy

General Guidelines:

Reimbursements to TACEO members who use personal funds for the purpose of TACEO will be reimbursed provided they adhere to the Fiscal Policies & Procedures of the Association. All reimbursements are subject to approval by each committee chairman or President.

Procedures:

Reimbursements for Expenses, Invoices, Lodging, & Travel

- All reimbursements requested shall be submitted on the approved TACEO Reimbursement form accompanied by receipts, invoices, purpose, and mileage documentation.
- All reimbursements shall be provided for official TACEO business only. This shall include: committee meeting attendance, required State Election Commission meeting attendance, and other official TACEO business approved by the President and Committee Chair.
- Meals are reimbursed based on the State's per diem rates that are subject to change without notice.
- Mileage is reimbursed for legitimate business-related travel by personal vehicle for official TACEO business. The reimbursement rate for mileage is the current rate set by the State of Tennessee and is subject to change without notice.
- Transportation (Uber, taxi, Lyft) will be reimbursed (tips not included) with proper receipts and approvals.
- Parking violations and tickets are not reimbursable.
- Any additional costs associated with travel with a spouse/friend/relative are not reimbursable.
- Hotel accommodations are generally arranged by TACEO at a discounted group rate. In the event lodging is not available at the group rate, perhaps the member can obtain a discount using his/her county ID as a good-faith effort. Hotel receipts with group or individual shall be a line item receipt and not just a summary/total charge to assist in proper account posting of associated costs.
- Reimbursements are checked for mathematical accuracy and reasonableness before approval.
- All expenses must be approved by the Committee Chair and the President or his designated Executive Committee member.
- The requester shall sign the form and the committee chairman shall approve the reimbursement with the Treasurer via phone or email.
- The Treasurer shall receive all requests for reimbursement shall submit payment within 10 business days.

Financial Planning & Reporting

General Guidelines:

The Budget Policy establishes a standard by which to measure performance, encourage planning, and allocate resources in accordance with funding source requirements.

Procedures:

Budgets are compiled annually by the Budget & Finance Committee and distributed to the Executive Committee for final adoption. Once adopted the budget will be distributed to the chairman of all other committees. Budgets should be in place no later than October 1 of each year.

Budget Revisions:

From time to time it will be necessary to deviate from the spending plans captured in the organizational budget.

Non-budgeted expenditures will be presented to the Budget & Finance Committee for consideration. The request must include all supporting documentation. If approved by the Budget & Finance Committee, the request will go to the Executive Committee for final authorization.

Internal Financial Reports:

On behalf of TACEO, an accounting firm will prepare regular financial reports on a quarterly basis according to the terms of the letter of engagement with the accounting firm. All reports are finalized no later than 30 days after the close of the prior quarter. All financial records will be maintained in accordance with the Statement of Financial Accounting Standards for Not-for-Profits (FASB).

Financial Statements of Not-for-profit organizations

This statement establishes standards for general-purpose external financial statements provided by a not-for-profit organization. Its objective is to enhance the relevance, understandability, and comparability of financial statements issued by those organizations. It requires that those financial statements provide certain basic information that focuses on the entity as a whole and meets the common needs of external users of those statements.

This Statement requires that all not-for-profit organizations provide a statement of financial position, a statement of activities, and a statement of cash flows. It requires reporting amounts for the organization's total assets, liabilities, and net assets in a statement of financial position; reporting the change in an organization's net assets in a statement of activities; and reporting the change in its cash and cash equivalents in a statement of cash flows.

External Audit

General Guidelines:

This Policy represents the policy of Tennessee Association of County Election Officials (TACEO) governing external audits and the need for transparency and member confidence in all of TACEO's accounting practices.

Procedures:

1. TACEO will have an audit prepared by an external CPA firm not under contract with TACEO at least biannually. This audit will be done prior to the end of the term of the Treasurer. The audit will be done regardless of reelection of a current Treasurer.
2. At no time will a CPA (firm or individual) be related to any member of TACEO.
3. The CPA firm on contract will review the audit from the external CPA firm hired to perform the audit and will provide the President and Treasurer with a written plan to rectify all findings.
4. If the audit reveals any "findings", the CPA on contract will provide the Executive Committee and the Budget & Finance Committee with a written plan to rectify all findings.
5. The Executive Committee will make a determination if all TACEO members should be made aware of "findings". This decision will be based on the severity of any findings. ALL TACEO members shall be made aware of all the "findings".
(Example: Immediately notify all members if there is misappropriation of money, loss of tax exempt status, failure to file IRS 990, etc. Do not notify members if IRS 990 form had wrong answers to a few questions).
10. All records will be retained in keeping with the Records Retention Policy.

Tax Compliance - IRS Form 990 Preparation Policy

General Guidelines:

This Policy represents the policy of Tennessee Association of County Election Officials (TACEO) commitment to retention of the organizations non-profit status by compliance with the regulations on timely filing of the IRS 990 Form.

Procedures:

1. A contracted CPA firm or individual will prepare the organization's annual Form 990 for submission to the IRS.
2. The President shall serve as the liaison to the tax preparer. (CPA only wants to work with ONE TACEO Officer.)
3. The President and Treasurer review the tax returns prior to filing and the President has the ultimate approval authority.
4. The President will present the completed 990 Form to the Executive Committee for final approval prior to submission to the IRS.
5. The filed 990 is available to the membership per Open Records Act.
6. All 990 Forms will be retained in keeping with the Records Retention Policy.

Internal Controls Policy

General Guidelines:

The Tennessee Association of County Election Officials (TACEO) employs several safeguards to ensure that financial transactions are properly authorized, appropriated, executed and recorded. This prevents deliberate or misguided use of funds for unauthorized purposes. TACEO is committed to sound internal controls that includes Conflict of Interest, Segregation of Duties, and Physical Security. This is necessary to create accountability, transparency, and to prevent misuse of organizational assets.

Conflict of Interest

All members of the TACEO membership, including committee members, are expected to use good judgment, to adhere to high ethical standards, and to act in such a manner as to avoid any actual or potential conflict of interest. A conflict of interest occurs when the personal, professional, or business interests of any TACEO member conflicts with the interests of the organization. Both the fact and the appearance of a conflict of interest should be avoided. Should there be any dispute as to whether a conflict of interest exists, the Executive Committee shall determine whether a conflict of interest exists and shall determine the appropriate response.

Segregation of Duties

TACEO's financial duties are distributed among multiple people to help ensure protection from fraud and error. The distribution of duties aims for maximum protection of the organization's assets while also considering efficiency of operations.

Procedures:

- Expenditures to be paid will be authorized by someone other than the person writing the check and paying the invoice. Example: Each committee chairman must authorize expenses for their committee. The Chairman of the Budget & Finance Committee, however, will have expenses authorized by two different members of the Budget & Finance Committee.
- Bank statements will be reviewed by at least one person in addition to the person performing the reconciliation. (Treasurer & CPA)
- Bank deposits will be made by someone other than the person recording receipts. All revenue will be sent directly to the bank for deposit. The Treasurer will retain all supporting documentation related to the deposit. The CPA or their designate will post all revenue and expenses.

Gifts & Giving Policy

General Guidelines:

This Policy represents the policy of the Tennessee Association of County Election Officials (TACEO) governing the giving of gifts by the Organization. TACEO is committed to treating all members of the organization impartially and equally. This policy will not usurp the Code of Conduct for County Election Commission Members and Administrator of Elections.

The Vice-President(s) from each grand division shall inform their division's counties and the TACEO President, Secretary or Treasurer of any news to be shared.

Procedures:

Memorials & Sympathy Gifts: Honorariums, memorials, and sympathy gifts left up to the discretion of each grand division. Memorials for state level election officials (Coordinator's Office Staff and State Election Commission) for immediate family members shall be limited to \$75.

Gifts for Service: TACEO will not recognize outgoing Officers of the organization with any gifts or monetary donations for their service.

Acceptance of Gifts: TACEO will be in compliance with TCA 2-9-118 as it pertains to acceptance of gifts from vendors. All members of TACEO will abide by TCA 2-9-118 and in no way does this policy relieve any member of compliance with the law.

2-9-118 - Prohibited acts by voting systems vendor or vendor's agent -- Prohibited solicitation or acceptance by election officials. [Effective on October 1, 2019.]

(a) An agent of a voting systems vendor or any person acting on behalf of a voting systems vendor shall not offer or attempt to offer anything of value to a state election commission member; county election commission member; the secretary of state; the coordinator of elections; the administrator of elections; an employee of the state election commission, the county election commission, or the secretary of state; or an immediate family member of such persons.

(b) An agent of a voting systems vendor shall not knowingly make or cause to be made any false statement or misrepresentation of the facts concerning any matter for which the voting systems vendor is responsible to a state election commission member; county election commission member; the secretary of state; the coordinator of elections; the administrator of elections; or an employee of the state election commission, the county election commission, or the secretary of state.

(c) A state election commission member; county election commission member; secretary of state; coordinator of elections; administrator of elections; employee of the state election commission, the county election commission, or the secretary of state; or an immediate family member of such persons, shall not solicit or accept anything of value in violation of subsection (a).

(d) A voting systems vendor shall not make a loan of money to a state election commission member; a county election commission member; the secretary of state; the coordinator of elections; the administrator of elections; an employee of the state election commission, the county election commission, or the secretary of state; or an immediate family member of such persons, or to any other person on such person's behalf.

(e) A state election commission member; county election commission member; the secretary of state; the coordinator of elections; the administrator of elections; an employee of the state election commission, the

county election commission, or the secretary of state; or an immediate family member of such persons, shall not solicit or accept a loan in violation of subsection (d).

(f) An agent of a voting systems vendor or any person acting on behalf of a voting systems vendor shall not permit a state election commission member; a county election commission member; the secretary of state; the coordinator of elections; the administrator of elections; an employee of the state election commission, the county election commission, or the secretary of state; or an immediate family member of such persons, to use the credit or a credit card of the voting systems vendor.

(g) An agent of a voting systems vendor or any person acting on behalf of a voting systems vendor shall not pay the lodging expenses of a state election commission member; a county election commission member; the secretary of state; the coordinator of elections; the administrator of elections; an employee of the state election commission, the county election commission, or the secretary of state; or an immediate family member of such persons.

(h) A state election commission member; county election commission member; the secretary of state; coordinator of elections; administrator of elections; employee of the state election commission, the county election commission, or the secretary of state; or an immediate family member of such persons, shall not accept travel expenses, meals, or lodging paid by a voting systems vendor or agent of the voting systems vendor.

(i) An agent of a voting systems vendor or any person acting on behalf of a voting systems vendor shall not provide a gift, directly or indirectly, to a state election commission member; a county election commission member; the secretary of state; the coordinator of elections; the administrator of elections; an employee of the state election commission, county election commission, or the secretary of state; or an immediate family member of such persons, unless the gift is a novelty, such as a pin, button, pen, or similar small item or token routinely given to customers, suppliers, or potential customers or suppliers in the ordinary course of business.

Fundraising, Door Prizes & Merchandise Sales Policy

General Guidelines:

The purpose of this policy is to establish a standard by which standardize fundraising efforts of the Tennessee Association of Certified Election Officials (TACEO).

Procedures:

Cash: The following guidelines will apply:

- Upon receipt of cash used to make change, the recipient will count the money and sign the cash disbursement and receipt form. This form denotes receipt of cash and return of the same amount.
- A separate slip for both the withdrawal and deposit of cash shall be required with a note on both slips stating "cash".

Checks: The following guidelines will apply:

- Checks written to "cash" are prohibited.
- Checks received will be acceptable and preferred for merchandise sales and fundraising events.
- At no time will a check be accepted for cash or that is in excess of the amount due, to allow cash back to the check writer.

Door Prizes: The following guidelines will apply:

- Door prizes must be donated by an individual and cannot be a vendor or vendor employee per tca 2-9-118(a).
- Door prizes shall not be purchased using county funds as this is tax payer money.
- Participation is voluntary.
- Cash door prizes can only be given out if the cash is from auction proceeds that come from non-taxpayer funds.

Merchandise Sales: The following guidelines will apply:

- A receipt will be issued for every transaction. The receipt will denote the amount & method of payment. If a check was presented, the check number will be noted.
- A beginning and ending inventory will be maintained.
- A reconciliation of cash/checks paid will be completed to match the receipts.
- Sales tax must be collected for any & all gross sales in excess of \$4,800.00.
- All items must be paid at the time of receipt.

Fundraising (Live & Silent Auction, etc.): The following guidelines will apply:

- Participation in Live or Silent auctions is voluntary.
- All items donated must be paid by the person donating the item. Vendors or vendor employees cannot donate any items per tca 2-9-188(a). ***Use of county taxpayer money is prohibited to purchase items.***
- A receipt will be issued for every transaction. The receipt will denote the amount & method of payment. If a check was presented, the check number will be noted.
- A reconciliation of cash/checks paid will be completed to match the receipts.
- All items must be paid at the time of receipt.

Purchasing of Products & Services Policy

General Guidelines:

The Purchasing Policy establishes a standard process for vendors to quote for products and services and for purchases made by the Tennessee Association of County Election Officials (TACEO).

Procedures:

- A minimum of two (2) quotes are required for all TACEO purchases in excess of \$5,000.
- Quotes must be retained in keeping with the TACEO records retention policy.
- At no time are family members of any TACEO member or state / local election commission employee be allowed to quote on or provide services and/or products to TACEO. (see Internal Controls policy)
- Price should be one factor in the evaluation of quotes, but the organization is not required to take the lowest price if other factors are important to the decision. Factors to consider include, but are not limited to, product quality, availability, vendor service, etc.
- When accepting a quote, the quote must include a product description, quantity ordered, and an individual product or service amount. Invoice should include a grand total and include all shipping fees.
- All quotes received must be approved by the President prior to submitting any orders or contracting services.
- Immediately after acceptance of the quote, the original copy of the quote must be sent to the Treasurer.
- Upon receipt of the product(s) and inspection for damage and accuracy, the invoice shall be signed by the President and Budget & Finance Committee Chair and sent to the Treasurer for payment and proper record keeping.

Vendor and Contractual Agreements:

The following policies govern how decisions to enter into agreements with vendors or contractors will be conducted:

- All vendor agreements and contracts for services must be authorized by a minimum of two people.
- Only the President and appropriate committee chairman may sign a contractual or vendor agreement.
- Upon signing any vendor or contractual agreements, the original is sent to the Treasurer who will store it both electronically and physically.
- The Treasurer will maintain a secure file of all vendor and contractual agreements.
- All agreements will be retained in keeping with the records retention policy.
- All vendors must submit an IRS Form W-9 Request for Taxpayer Identification and Certification prior to payment.
- A determination will be made by the contracted CPA on the need to file an annual IRS Form 1099-Misc on payment to vendors.

Inventory Policy

General Guidelines:

The Inventory Policy establishes a process for the recording, identification, safeguarding and accountability of all Tennessee Association of County Election Officials (TACEO) owned furnishings and movable equipment items (Equipment) having a minimum cost of \$500 each and a life expectancy of two years. Items like tables, table skirts, and other items under \$500 shall be listed in the inventory of TACEO.

Procedures:

- All items are to be inventoried by the serial number of each item (if applicable) or description of the item(s) and location.
- Inventory list will be maintained by the Treasurer and updated by June 30 of each year.
- No item of equipment should be discarded without the express signed authorization of the Treasurer and President. A liquidation of assets form must be completed prior to discarding any equipment.
- Divisions or designee shall be responsible for the equipment assigned to them. The equipment assigned shall not be permanently transferred without written approval of the Treasurer and President.
- Records of Fixed Assets shall be maintained by the Treasurer for a period of five (5) years.

Records Retention & Destruction Policy

General Guidelines:

This policy identifies the record retention responsibilities of the Executive Committee of the Tennessee Association of County Election Officials (TACEO) for maintaining and documenting the storage and destruction of the organization's documents and records.

Procedures:

Financial Records:

Leadership is required to adhere to the following practices:

1. Paper or electronic documents will be maintained in keeping with the retention and destruction policy set forth by the County Technical Assistance Service (CTAS) (see exhibit at end of document).
2. Accounting, Purchasing and Other Miscellaneous Records policies are noted under reference #: CTAS-2062.
3. All documents will be destroyed in keeping with the CTAS schedule.
4. All other electronic documents will be deleted from all individual computers, data bases, networks, and back-up storage in keeping with the CTAS schedule.
5. No documents or electronic documents will be destroyed or deleted if pertinent to any ongoing or anticipated investigation, audit or private litigation.
6. All original documents (paper & electronic) will be forwarded to the newly elected officer within 30 days of the election.

Meeting Minutes:

1. TACEO shall keep as permanent records minutes including attachments of all meetings of its members, executive committee and all other committees.
2. Meeting minutes shall record all action items taken by the members.

Various Corporate Documents:

1. By-laws (past & present) shall be retained by the Secretary and are considered a permanent record.
2. Fiscal Policies & Procedures shall be retained by the Secretary and are considered a permanent record.
3. A list of Committee Members (past & present) shall be retained by the Secretary and are considered permanent record.
4. Nonprofits Designation/Charter documentation should be retained by the Treasurer and a copy provided to the Secretary. All documents are considered permanent record.
5. Liability Insurance Bond Policy is retained by the Treasurer and a copy provided to the Secretary. All documents are considered permanent record.

Open Records Requests (Inspection of records by members):

1. A member is entitled to inspect and copy, during regular business hours and at a reasonable location specified by TACEO, any records if the member gives TACEO a written request at least five (5) business days before the date on which the member wishes to inspect and copy.
2. Copies may be provided through an electronic transmission if available and requested by the member.
3. TACEO may impose a reasonable charge to cover the cost of labor and materials for copies of documents and mailing of documents to a member. The charge must not exceed the estimated cost of production, reproduction or transmission of the records.

Retention Schedule for General Accounting and Purchasing Records

Description of Record	Retention Period	Legal Authority/Rationale
15-001 Accounts Paid Files and Ledgers — Paid invoices filed by vendor showing company, date, amount, date paid, and warrant number. Ledgers show name of vendor, amount of each invoice, amount paid on each account, and amount outstanding.	Retain five years after creation, then destroy.	Keep for audit and review purposes (T.C.A. § 10-7-404(a)).
15-003 Bank Deposit Books — Bank books showing name and location of bank, information about accounts and amounts and dates of deposits.	Retain five years after last entry, then destroy.	Keep for audit purposes as directed by the Comptroller (T.C.A. § 10-7-404(a)).
15-004 Bank Deposit Slips — Slips showing name and location of bank, amount, and date of deposit.	Retain five years after last entry, then destroy.	Keep for audit purposes as directed by the Comptroller (T.C.A. § 10-7-404(a)).
15-005 Bank Statements — Statements showing name and location of bank, amounts and dates of deposits, amounts and dates of check withdrawals, and running balance.	Retain five years, then destroy.	Keep for audit purposes as directed by the Comptroller (T.C.A. § 10-7-404(a)).
15-006 Bids, Successful (on Equipment and Supplies) — Records showing bidder's name, complete description of item(s), delivery date, amount of bid, and any correspondence with the bidder.	Retain seven years after contract expires, then destroy.	Based on statute of limitations for legal action based on breach of contract (T.C.A. § 28-3-109).
15-007 Bids, Unsuccessful (on Equipment and Supplies) — Records showing bidder's name, complete description of item(s), delivery date, amount of bid, and any correspondence with the bidder.	Retain for one year after audit unless the county is operating under the purchasing provisions of the County Purchasing Law of 1957.	Keep for audit purposes as directed by the Comptroller (T.C.A. § 10-7-404(a)). [T.C.A. § 5-14-108(g) - If under the 1957 Law.]
15-010 Canceled Checks — Canceled checks showing date check issued, name of bank on	Retain five years, then destroy.	Keep for audit purposes as directed by the

Retention Schedule for General Accounting and Purchasing Records

Description of Record	Retention Period	Legal Authority/Rationale
which drawn, check number, to whom payable, purpose of payment, amount of check, and date canceled.		comptroller. (T.C.A. § 10-7-404(a)).
15-011 Cash Books and Cash Journals (any office other than Trustee) —Record of receipts and disbursements of the office, showing date of entry, amount, source of receipt or purpose of payment, amount of debit or credit, and name of account, person, or case credited.	Retain 10 years, then destroy.	Comptroller's office considers this record important for demonstrating patterns in investigations of misappropriation of funds (T.C.A. § 10-7-404(a)).
15-012 Check Books —Books containing stubs of checks issued by an official (if operating with a checking system) showing check number, date issued, name of payee, amount and purpose of payment.	Retain five years after date of last check, then destroy.	Kept for audit purposes as directed by the comptroller (T.C.A. § 10-7-404(a)).
15-013 Contracts —Contracts between county and contractors for services of miscellaneous types.	Retain seven years or until expiration of guarantees, then destroy. If no guarantees are involved, destroy seven years after completion of contract.	Based on statute of limitations for breach of contracts (T.C.A. § 28-3-109).
15-014 Correspondence Files — Correspondence with citizens and government officials regarding policy and procedures or program administration.	Destroy after five years. Before disposal appraise for continuing administrative usefulness or historical value.	Maintain for reasonable period of time in case of continued action related to the correspondence.
15-017 Fixed Assets Inventory — Comprehensive inventory of all fixed assets.	Retain five years.	Keep for audit purposes as directed by the comptroller (T.C.A. § 10-7-404(a)).
15-018 General Ledger —Master summary accounting record of county receipts, disbursements,	Permanent record	Keep for important audit and historical purposes.

Retention Schedule for General Accounting and Purchasing Records

Description of Record	Retention Period	Legal Authority/Rationale
and fund balances of all county funds. This is the summary information, not the detailed transaction record (see below).		
15-019 General Ledger Accounts — Detailed record of all transactions on all county accounts, showing date of entry, amount, source of receipt or purpose of payment, amount of debit or credit, and name of account credited or charged.	Retain five years, then destroy.	Keep for audit purposes as directed by the comptroller (T.C.A. § 10-7-404(a)).
15-022 Invoices	Refer to Accounts Paid Files and Ledgers, above.	
15-023 Leases and Agreements	Destroy seven years after completion or expiration of lease or agreement.	Based on statute of limitations for breach of contract actions. T.C.A. § 28-3-109.
15-024 Minutes —Written accounts of the proceedings of boards, committees and commissions.	Permanent record.	Actions recorded in minutes are effective until superceded or rescinded. Also of historical value.
15-025 Minutes of Bid Openings —Record of bid openings showing item vendor, bid price and whether bid was successful.	Retain five years, then destroy.	Necessary in case of challenge to bid award.
15-028 Receipts and Receipt Books — Shows name, reason for payment, date, and account from which money came.	Retain five years after date of last receipt issued.	Keep for audit purposes as directed by the comptroller (T.C.A. § 10-7-404(a)).

Meeting Minutes of the Tennessee Association of County Election Officials Executive Committee Meeting

Meeting number: 1

Venue: Pinnacle Bank

424 Donelson Pike, Nashville, TN

Chair: Mark Stephens

Date: Wednesday, Oct. 30, 2019

Time: Noon (est) or 11 am (cst)

Attendance In Person: Mark Stephens (President), Susan Knopf (Secretary), Phil Adams (VP MID), Dan Miller (VP West), Bill Moore (VP MID), Phillip Warren (Past President).

Attendance Via Conference Call: Jeanette Cronise (Treasurer), Josh Blanchard (VP East), Mike Pleasant (VP East), Dennis Stanley (VP West).

President Mark Stephens called the meeting to order at 11 am cst and a quorum was noted.

Before the meeting proceeded, Mike Pleasant made a motion to accept using teleconferencing for meetings, seconded by Dennis Stanley. Motion passed unanimously.

Old Business

1. **Current By-Laws** – President Stephens explained that there was some confusion regarding which bylaws TACEO membership has approved and operates under. The 2018 revised by-laws are the most current.

MOTION: Dan Miiller made a motion to accept the by-laws sent out by President Stephens which were amended at the June, 2018 summer seminar in **30 SECTION 1. Annual Meeting All Annual Meetings of the Membership of the Association shall 31 be held in Davidson or a surrounding county.**

2. **Summer Seminar** will be held June 14 – 17, 2020 at the Sheraton Music City Hotel. Booking for the seminar hotel will be either via phone or via Sheraton's website. Room Rate is same as last year. The Summer Seminar committee will begin working on the details. There were discussions around the cost of the conference in regards to registration fees, Sunday night events that cost money, and the hotel rates which will remain the same as last year. President Stephens reiterated that the conference committee will be working on the details and he will pass along the concerns. The conference will end on Wednesday after the TACEO business meeting and possibly a speaker. There was also discussion on attendees who do not wish to pay the registration fee but are allowed to participate in the seminar (no meals) free of charge. The Coordinator of Elections states we cannot force attendees to join TACEO or pay the registration fee since this is a mandatory meeting for Administrators.

New Business:

1. **Approve Committee Members** –The President is responsible for appointing committee members. The President has the latitude to add new members at any time.

MOTION: Phil Adams made a motion to vote on the Committees individually, seconded by Bill More. Motion passed unanimously.

- a) **Budget & Finance** – Josh Blanchard made a motion to accept the Budget & Finance Committee members as listed, seconded by Dan Miller. Motion carried unanimously. The Committee is as follows: Mark Stephens (Chair), Jeanette Cronise (Treasurer),

Susan Knopf (Secretary), Garry Miller, Andrea Smothers, Kyra Ingles, Mark Ward, Susan Harrison, James Brown, Lillie Ruth Brewer, and Jerrie Hickey

- b) **By-Laws** – Jeanette disagreed that her name was not on the By-Laws member list. **MOTION** Dan Miller made a motion to accept the Committee members for By-Laws as listed, seconded by Mike Pleasant. Motion passed. Members are: Peg Hamlett (Chair), Joey Williams, Tom Davis, Tim Sweat, Delaina Green, Anita Fowlkes, Eliabeth Black, Andrew Robertson, Sarah Bailey, and Susan Knopf.

- c) **Legislative** - An issue was raised about all 3 grand divisions not being represented in the Legislative Committee. Phil Adams recommended President Stephens reach out to the West division for 2 – 3 names for the Legislative Committee and Jeff Roberts and one other from Middle division. There was talk about having smaller counties represented. However, the Legislative Committee members need to be selected based on passion for this area.

MOTION: Phil Adams made a motion to accept the Legislative Committee list as presented minus Leigh Schlager and Amber Moore with the addition of Jeff Roberts and one more from Middle TN, and 2 – 3 names from West TN. Mike Pleasant seconded the motion. Motion carried with 7 voting yes, 1 opposed, and 2 abstains. Approved list is: Mark Stephens (Chair), Jason Booher, Linda Phillips, Alan Farley, Jill Davis, Charles Holiway, Ann Ayers-Colvin, and Cliff Rodgers.

- d) **Nominating**

MOTION: Phillip Warren made a motion to accept the Nominating Committee list as presented, seconded by Dan Miller. Motion passed unanimously. Members are: Phillip Warren (Chair), Rusty Isbell, Carolyn O'Dell, Fran Green, Tanya White, Josh Tapp, Julianne Hart.

- e) **Seminar Committee** is a Special Committee and requires no vote. The President appoints members to this committee.

2. **Communications of Committee Members** – A discussion ensued regarding communications and how they should be handled. The President is the conduit for all communications unless he appoints someone else to do it.

MOTION: Dan Miller made a motion that the President of TACEO is the sole spokesperson for all communications on behalf of TACEO, seconded by Phillip Warren. Motion passed.

3. **Website:** Josh Blanchard made a suggestion that TACEO probably needs a website presence for a variety of reasons. A new one should be developed.

MOTION: Phil Adams made a motion for the President to research, pursue, and recruit help with the website, seconded by Dan Miller. Motion passed unanimously.

4. **Establishing Financial Policies & Procedures**

- **Update / Approval of CPA** – President Stephens shared his findings with 2 CPA's. The 2nd one will be sending his Letter of Engagement from him. He specializes in non-profits and will be a good fit if the Executive Committee agrees. Nov. 15 is the deadline to submit amended 990's. Once the letter of engagement is received, President Stephens will email out to the Executive Committee.

MOTION: Phillip Warren made a motion that once the Letter of Engagement is reviewed by the Executive Committee, approval/voting shall occur electronically, seconded by Dan Miller. Motion passed.

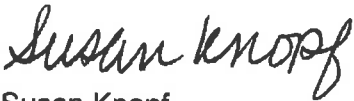
- **Update Fiscal Policies & Procedures** – President Stephens stated that Internal Controls need to be in place asap. This would satisfy the State Election Commission's request and will offer transparency for the finances of the

organization. GAAP will be incorporated where applicable but with Cash based accounting, the Internal Controls will guide the operations of the organization. A report will be given at all 3 grand divisions at their upcoming Winter Seminars in November and December. An update will be given to the State Election Commission on Dec. 3, 2019. The SEC has given TACEO until the end of the year (December 31, 2019) to have the Fiscal Policies & Procedures in place.

- **MOTION:** Phil Adams made a motion that the Budget and Finance Committee submit a Fiscal Policies & Procedures to the Executive Committee for final approval by the week of November 11, 2019, seconded by Dan Miller. Motion passed unanimously.

Meeting Adjourned at 1:27 pm cst

Respectfully submitted by



Susan Knopf

AOE Secretary of TACEO

Mark Stephens

From: Mark Stephens
Sent: Thursday, September 19, 2019 1:00 PM
To: 'Jeanette Cronise'
Subject: Email Response

Good Morning,

I wanted to take a few days to respond to your request, and to allow me to gain a better perspective on how I needed to respond. I have tried to conduct myself in a fair, reasonable fashion with regard to TACEO, but unfortunately I feel those actions are being misrepresented. The time it has taken to get everything up and moving forward has taken longer than expected. But I think it is very important that we lay the proper foundation for the future success of TACEO. I was elected to bring unity to the Association, and to move us forward out of the malaise that had been created by the past president. It has been a difficult process beginning from square one, and creating a new culture and building trust that was not the status quo, has not been easy. With that being said, I feel it is very important that we move forward, and not let the false narratives of the past, divide its members. I will continue to do what I think is best for the Association, and will work with all the Committees to make TACEO as strong and successful as possible.

First, with regard to the Grand Divisions, I never instructed anyone to deny or not to comply with your request, and for anyone making that statement is doing it falsely. I can understand the hesitation that the 3 Grand Divisions have, and I don't think it is unwarranted. In the meeting with Mr. Nichols, it was stated that financial records are not required from the 3 Grand Divisions, but only the balance sheets for the past 3 years, if the 990's need to be revisited. I believe that all the Divisions will comply with the request, and the CPA will have that information.

With regard to Mr. Nichols, at the 7/31 meeting, it was stated that Mr. Nichols would first submit his letter of engagement, and clearly state what his role would be, and the tasks that he would provide. It would be reviewed by the 3 TACEO officers, and all would need to agree on his selection, which has yet to be determined. At no time, was there ever a verbal or implied agreement. I was briefed on a phone conversation between Mr. Nichols and Mr. Slayden, and both agreed that GAAP policies and procedures would not be the best course of action for the Association. In fact, the term overkill was used to describe its merits.

Mr. Slayden's services were negotiated by myself on behalf of TACEO, and I will submit the required invoice for services rendered at the appropriate time.

The topic of the Commercial blanket bond is a topic that has left me very curious. Back in early August, I was made aware that the bond was being cancelled, and that one would need to be reinstated, or another one set up for the President and the Treasurer. I have talked with Bedford at Westan Insurance about reinstating the original bond, however he informed me that you wished to add 3 other folks to this type of bond. I am not sure what the purpose of that would be, and who the 3 are? I have attached an invoice for the bond, and authorize the payment of \$330 for its reinstatement.

With regard to By-laws, I have taken a good amount of time to analyze and research them. It is extremely important that we operate accurately and properly under the rules that the Association intended. There are some discrepancies with regard to past versions and revisions. I have attached that information, and will introduce and report what I have uncovered when the Executive Committee convenes. I have also sought out the opinions of those long standing members of the Association and an attorney on how to best handle the situation moving forward. It is extremely important that we function according to the bylaws that have been approved by the Association, and not the ones that were ill conceived and not approved by the rank and file. As far as being a part of the By-laws Committee, I think it is best for that body to function independently, to consider what is in the interest of the Association, and will leave it up to the Chairperson and its members to determine what role the various committees will play in possible changes.

" In my opinion, the Budget and Finance Committee needs to be a fair and representative group that reflects the Association as a whole. It is important that its members institute policies and procedures that cast TACEO in the best light, and bring confidence to all its members.

In the next few weeks, I will be organizing and setting up meetings with the various Committees, with the Executive and Legislative Committees meeting first. I am working on finding a convenient location that is suitable and can accommodate everyone.

With regard to the 2020 Summer Seminar, our options were very limited and we had to make the best of an unfortunate situation, considering the planning, scheduling, and details were left in disarray. It is the responsibility of the President to negotiate the contract with prospective venues. It has never been under the authority of the Executive Committee to be involved in the Seminar contract. I reached out to TACEO members that have personally been involved in past Seminar negotiations, and their knowledge and wisdom have been instrumental. The use of social media and electronic mail to communicate with TACEO is a valuable tool, and I will continue its use notifying the Association on its happenings. It is imperative to continue to be transparent, and provide a clear line of communication to all members of the Association.

Sincerely,

Mark Stephens

January 9, 2020

To whom it may concern:

During the process of evaluating TACEO finances and how to best correct Accounting inadequacies from the past, it was suggested that GAAP (General Accepted Accounting Principles) be used in regard to the future accounting policies for the Association. It is in our opinion that GAAP is not necessary and would not be helpful, given its current financial status and balance sheet.

Here are a few points to consider if GAAP is used: All income and expense will be on the accrual basis. This means that income will be recorded before it is received. This will create an accounts receivable amount on the balance sheet. The detail of this receivable list will need to be verified each time financial statements are prepared and decisions will need to be made regarding when an old receivable will be written off as bad debt or if an allowance for bad debt is warranted. In addition, the accrual basis means that expenses will be recorded before they are actually paid by check. This will create an accounts payable amount on the balance sheet that will need to be verified each time financial statements are prepared. GAAP would also require us to record inventory of merchandise on the balance sheet. This would require management to make regular determinations of the quantity of inventory and the value of the inventory. Also, decisions would need to be made regarding the impairment of the inventory. If GAAP is used for financial statement purposes, then the decision would need to be made about whether to change the 990 reporting to GAAP as well, which would involve additional expense since we would need to apply for this change with the IRS. If the 990 accounting method is left with the cash basis, then the 990 financial information will need to be adjusted each year and will not match the financial statements that are done on the GAAP basis.

In short, we advise not to use the GAAP method since it will be more costly to implement and will create more questions. For an organization of this size, we feel the cash basis is most appropriate to give the governing board the information it needs to make informed decisions. However, ultimately the choice of accounting method is the responsibility of TACEO's management and governing body.

Sincerely,



William Slayden

Certified Public Accountant

Slayden Accounting



David Beiler

Certified Public Accountant

Beiler Accounting

Dominion

Request for approval – D-Suite 5.5

De Minimis Changes

January 13, 2020

- Ian Piper, Director Federal Certification
- John Hastings, Regional Sales Director
- David Moreno, Director Product Strategy

- **ECO 100653 Dell Optiplex 5270 AIO Computer**
- **D- Suite 5.5 – Mobile Ballot Production Solution**



1201 18th Street, Suite 210 Denver, CO 80202

December 18, 2019

Attn: Mark Goins
Elections Division,
Tennessee Secretary of State's Office
312 Rosa L. Parks Avenue, 7th Floor
Nashville, TN 37243
Email: mark.goins@tn.gov

sent via courier

RE: ECO APPROVAL REQUEST FOR DOMINION ECOS

Dear Mark:

Dominion Voting Systems, Inc. (Dominion) would like to submit for the D-Suite 5.5 system configuration the following ECO, which has been approved as a de minimis change by the U.S. Election Assistance Commission (EAC), for consideration as an administrative approval by the State of Tennessee.

1. ECO 100653 Dell Optiplex 5270 AIO Computer

The previous Dell Optiplex 3050 AIO computer had an Intel i5-6500T processor and the new replacement Dell Optiplex 5270 AIO computer has an Intel i5-9500 processor. The RAM memory also changed from a 2400MHz bus speed to a 2666MHz bus speed. The new Optiplex 5270 AIO is mounted on a height adjustable stand. There is no impact to the product's performance with the D-Suite system.

For this ECO, please find attached Dominion's ECO document, the VSTL Analysis document, and the EAC approval letter.

If you have any questions or further instructions regarding this request, please contact me directly.

Sincerely,

Ian S. Piper
Director, Federal Certification
Dominion Voting Systems, Inc.

cc: Kathy Summers (TN Elections Division)
John Hastings (Dominion, Regional Sales Manager)

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ECO Number	100653
Reason	Added DELL Optiplex 5270 AIO computer in an ICC Scanner Workstation configuration due to the DELL Optiplex 3050 computer becoming commercially unavailable for purchase.
Description	<p>Products Affected: ICC Scanner Workstation</p> <p>Added DELL Optiplex 5270 computer in an ICC Scanner Workstation configuration due to the DELL Optiplex 3050 computer becoming commercially unavailable for purchase. This product has been tested with Windows 10 Pro and is suitable for use with existing D-Suite configurations using Windows 10 Pro on the ICC Scanner Workstations.</p> <p>Add: ICC Canon Workstation DVS PN 198-000069 ICC AIO 21.5 IN. TOUCH DESKTOP (DELL OPTIPLEX AIO 5270), 8GB, 500GB HDD; WIN 10 PRO</p>

Signoff Groups	User	Date Signed	Signoff Groups	User	Date Signed
Engineering	Aamer Chaudhry	2019-08-13			
Certification	Ian Piper	2019-08-13			
Order Fulfillment	Susan Martin	2019-08-13			
Supply Chain	Arnold Atienza	2019-08-13			

RECEIVED

PRO V&V



ENGINEER CHANGE ORDER (ECO) ANALYSIS FORM

Manufacturer: Dominion Voting Systems

System: ICC Scanner Workstation

ECO Number: 100653

ECO Description:

Added DELL Optiplex 5270 AIO computer in an ICC Scanner Workstation configuration due to the DELL Optiplex 3050 computer becoming commercially unavailable for purchase.

Overview:

Added DELL Optiplex 5270 computer in an ICC Scanner Workstation configuration due to the DELL Optiplex 3050 computer becoming commercially unavailable for purchase. This product has been tested with Windows 10 Pro and is suitable for use with existing D-Suite configurations using Windows 10 Pro on the ICC Scanner Workstations.

Products Affected:

ICC Scanner Workstation

Add:

ICC Canon Workstation

DVS PN 198-000069 ICC AIO 21.5 IN. TOUCH DESKTOP (DELL OPTIPLEX AIO 5270), 8GB, 500GB HDD; WIN 10 PRO

Supporting Documentation:

ECO 100653 DELL Optiplex 5270 AIO.pdf (*Dominion ECO*)

198-000033_AiO_3050_Win_10_Pro_Configuration_Spec.xlsx

198-000069_OptiPlex_5270_AiO_Win10Pro_ICC.xlsx

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SECRETARY OF STATE
ELECTIONS

Engineering Recommendation:

Technical documentation review performed to approve change. Replacement component is comparable to current component in form fit, and function; therefore, no testing is required.

Engineering Analysis: De Minimis

Reviewer:

Wendy Owens
Printed Name

Wendy Owens
Signature

12/16/19
Date

Approver:

JACK LOBB
Printed Name

Jack Lobb
Signature

12/11/19
Date



U. S. ELECTION ASSISTANCE COMMISSION
VOTING SYSTEM TESTING AND CERTIFICATION PROGRAM
1335 East West Highway, Suite 4300
Silver Spring, MD 20910

December 17, 2019

Sent via e-mail

Ian Piper
Dominion Voting Systems
1201 18th Street, Suite 210
Denver, CO, 80202

Re: ECO

Dear Mr. Piper,

This correspondence is to inform you that ECO DVS 100653 and ECO DVS 100654 are approved.

Sincerely,

A handwritten signature in black ink, appearing to read "Paul Aumayr", is written over a horizontal line.

Paul Aumayr
Senior Election Technology Specialist

Cc: Pro V&V

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2019 DEC 19 PM 1:17
SECRETARY OF STATE
ELECTIONS



1201 18th Street, Suite 210 Denver, CO 80202

December 18, 2019

Attn: Mark Goins
Elections Division,
Tennessee Secretary of State's Office
312 Rosa L. Parks Avenue, 7th Floor
Nashville, TN 37243
Email: mark.goins@tn.gov

sent via courier

RE: APPROVAL REQUEST FOR DOMINION MOBILE BALLOT PRODUCTION (MBP)

Dear Mark:

Dominion Voting Systems, Inc. (Dominion) would like to submit for the D-Suite 5.5 system configuration our Mobile Ballot Production (MBP) solution for consideration of approval by the State of Tennessee for the Ballot on Demand Approved Equipment List. The configuration consists of a Dell laptop workstation with any one of the following three auto-duplexing laser printers:

- OKI C332dn
- OKI C712dn
- OKI C931e

The MBP software version is 5.5.12.1016 and would be installed on the Dell laptop workstation to which the printer is connected. As agreed to during a meeting with Mark Goins, Kent Younce and John Hastings, Dominion will only need to demonstrate the MBP system using just one of the three printer models at the January 13th, 2020 TN Election Commission Hearing.

Please find attached a brochure describing the MBP system. Dominion personnel in attendance at the Election Commission Hearing will be Ian Piper, John Hastings and David Moreno.

If you have any questions or further instructions regarding this request, please contact me directly.

Sincerely,

Ian S. Piper
Director, Federal Certification
Dominion Voting Systems, Inc.

cc: Kathy Summers (TN Elections Division)
John Hastings (Dominion, Regional Sales Manager)

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2019 DEC 19 PM 1:17
SECRETARY OF STATE
ELECTIONS



MOBILE BALLOT PRINTING

BALLOTS WHEN AND WHERE YOU WANT THEM

HOW THE MOBILE BALLOT PRINTING MODULE BENEFITS YOU:

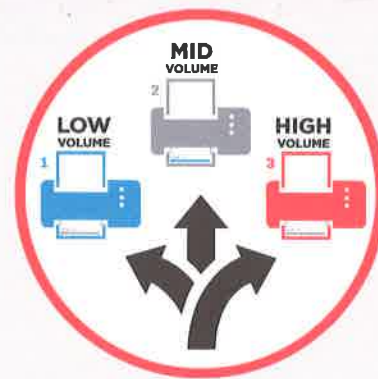
- Simple:** No unnecessary complexity - simple interface and voter registration integration makes it easy for election staff to quickly print the correct ballot style for each voter.
- Secure:** Strong auditability features ensure security and transparency.
- Efficient:** Lower cost solution - no "click charge" per ballot printed.

An optional module of Dominion's Democracy Suite® platform, the Mobile Ballot Printing module seamlessly integrates with the rest of the Democracy Suite® product line.



Efficient

Save on additional printing and storage costs associated with having to provide multiple ballot styles to all "Vote Anywhere" locations.



Flexible

Mobile Ballot Printing gives you the flexibility to use existing print hardware or leverage other commercially available off-the-shelf (COTS) printers to meet your specific needs.



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CONTACT US TODAY!
1.866.654.VOTE (8683)
SALES@DOMINIONVOTING.COM

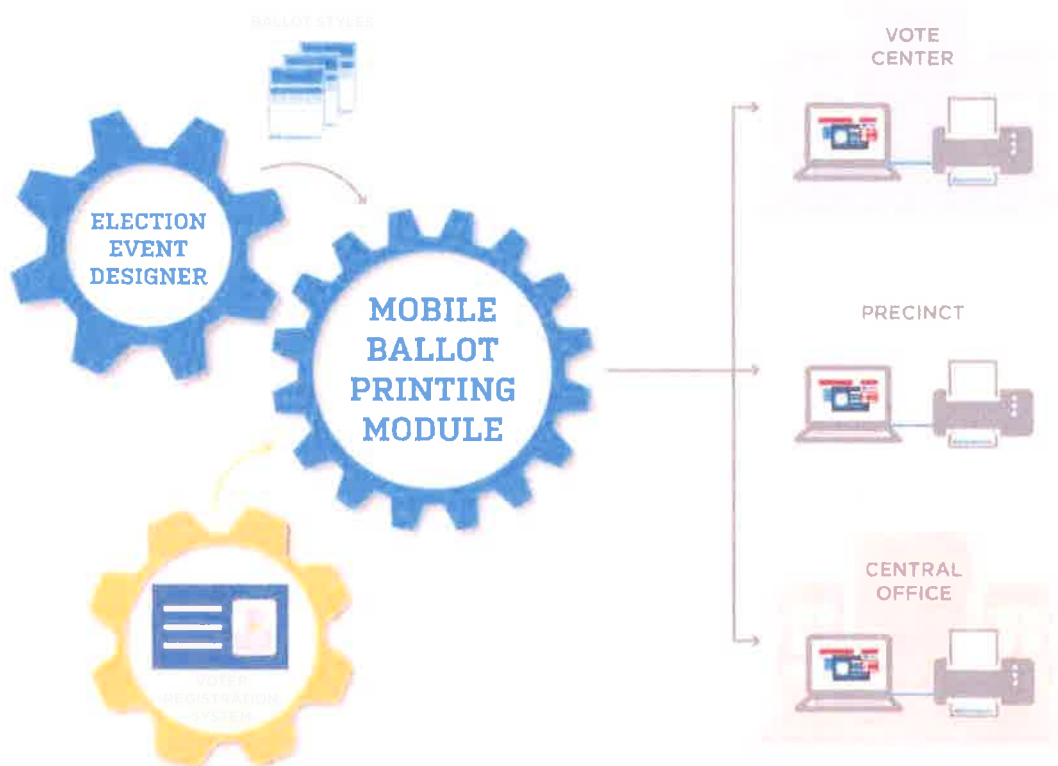


MOBILE BALLOT PRINTING

BALLOTS WHEN AND WHERE YOU WANT THEM

Dominion Voting understands that jurisdictions need the flexibility to print ballots whenever and wherever needed, in a manner that is simple and straightforward.

HOW THE MOBILE BALLOT PRINTING MODULE WORKS



- Provide "Vote Anywhere" locations in a cost-efficient and flexible way.
- Ability to integrate with voter registration systems to easily print ballots on voter check-in.



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JANUARY 13, 2020

DOMINION VOTING DEMOCRACY SUITE 5.5 ENGINEERING CHANGE ORDER (ECO) & MOBILE BALLOT PRODUCTION (MBP) FOR THE STATE OF TENNESSEE

This document is submitted in confidence and contains some or all of the following types of information: trade secrets, scientific information, financial information, technical information, commercial information, and labor relations information. Disclosure of any of the information contained in any of this documents herein would result in undue loss to Dominion Voting Systems.

INTRODUCTION

- Dominion Voting System Representatives
 - **Ian Piper** Director, Certification
 - **John Hastings** Regional Sales Manager
 - **David Moreno** Director, Product Strategy

DEMOCRACY SUITE PRESENTATION OVERVIEW

- ECO 100653 Dell Optiplex 5270 AIO
- Mobile Ballot Production (MBP)

DOMINION ECOS

ECO 100653 Dell Optiplex 5270 All-in-One Computer

- Dell replaced the Optiplex 3050 AIO computer with the Optiplex 5270 AIO computer

	3050 AIO	5270 AIO
Processor	i5-6500T Quad Core	i5-9500 Six Core
Memory Bus Speed	2400MHz	2666MHz

- No impact on the product's performance with the D-Suite system



Optiplex 3050

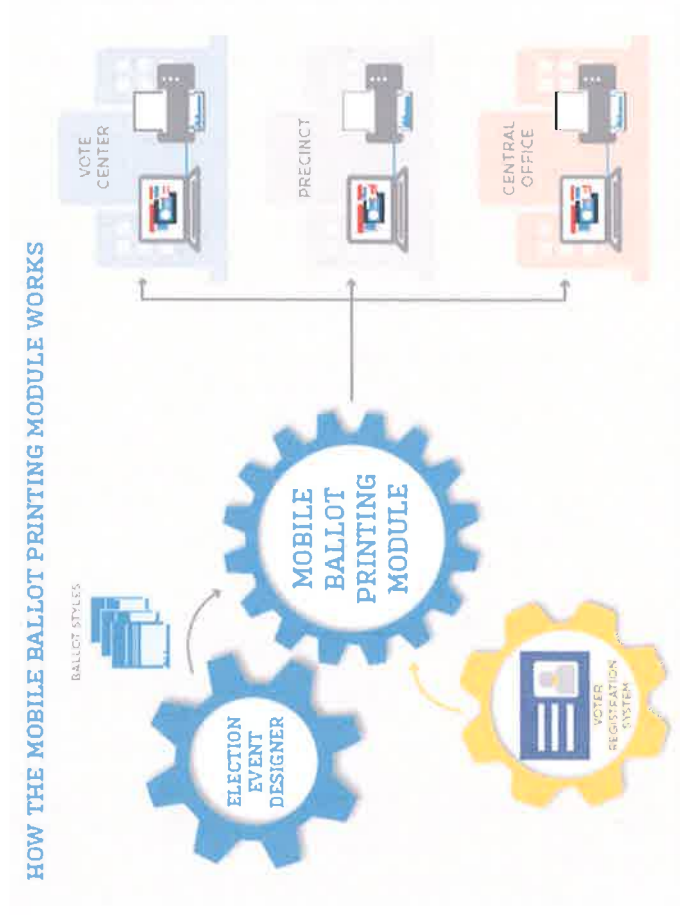


Optiplex 5270

DOMINION MBP

Mobile Ballot Production (MBP)

- Provide “Vote Anywhere” locations in a cost-efficient and flexible way
- Ability to integrate with voter registration systems to easily print ballots on voter check-in
- Strong auditability features ensure security and transparency
- Lower cost solution - no “click charge” per ballot printed



DOMINION MBP

MBP Printer

- Three (3) models of auto-duplexing OKI Data printers to choose from depending on printing volume



C332dn



C712dn



C931e

DOMINION ECO Q&A



Questions & Answers

Thank you!



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Tennessee Secretary of State
Tre Hargett



Elections Division
312 Rosa L. Parks Avenue, 7th Floor
Nashville, Tennessee 37243-1102

Mark Goins
Coordinator of Elections

615-741-7956
Mark.Goins@tn.gov

MEMORANDUM

To: State Election Commission Members

From: Mark Goins *MD*
Coordinator of Elections

Date: December 19, 2019

Subject: Results of the December 19, 2019 Certification Exam

On December 19, 2019, this office administered a certification exam. The following Administrators of Elections obtained a passing score on that exam:

Zena Dickey (Giles County)

Crystal Rogers (Hawkins County)

TeAnna McKinney (McMinn County)