

Observation Report – ELECTRONIC Audit

Directions:

1. Please answer each question answering 'N/A' or 'Not-Observed' if appropriate.
2. On paper forms it is OK to write outside of or beyond lines.
3. Problems or questions, call L. Weeks at 860-918-2115
4. Submit completed forms online, or mail to: Citizen Audit, 334 Hollister Way West, Glastonbury, CT 06033

I.1 Observers and Observation:			
a. Date of Observation	<input style="width: 90%;" type="text"/>		
b. Municipality Observed	<input style="width: 90%;" type="text"/>		
Observer Name:	c. First	<input style="width: 60%;" type="text"/>	d. Last <input style="width: 60%;" type="text"/>
e. Observer Best Phone Number	<input style="width: 90%;" type="text"/>		
f. Other Citizen Audit Observers	<input style="width: 90%;" type="text"/>		
g. On-Site Supervisor(s) [Usually Registrars]	<input style="width: 90%;" type="text"/>		

I.2 Start times:	a. Scheduled Start of Today's Audit	b. Time You Arrived at the Audit Room	c. Actual Start of Today's Audit
	<input style="width: 90%;" type="text"/>	<input style="width: 90%;" type="text"/>	<input style="width: 90%;" type="text"/>

I.3 Is this a Joint Report? Or will multiple observers submit their own reports?
<input type="radio"/> Only/Joint Report <input type="radio"/> There will be multiple reports

SE.1 Training and Orientation:	Yes	No	N/A	Not-Obsd
a. Did the supervisor review the Official Audit Procedures with the counting team?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Did the supervisor instruct that two individuals should observe each ballot on the screen and confirm that the bubbles are correctly classified/colored by the Audit Station?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Did the supervisor review that two individuals should verify that the counts on the right of the screen match the bubbles on each ballot?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Use this space if further explanation of training is needed:				

Order of Answering and Checking Questions

Questions may be answered in any order. In general, questions on pages 1-5 proceed from those that can be answered close to the beginning of the audit; to those that can be answered during or at the end of counting ballots and votes; and those that are answered at the end of the audit (if districts are audited one at a time, some questions may not be accurately answered until the end of the counting of the last district). Questions on page 6 and 7 can be answered at any time when convenient e.g. in the middle of a long audit or at the end of a very short audit. **In any case, please review all questions at the end of the audit or shortly thereafter to make sure every question is answered.**

Instructions for the Following Question: Answer this question for all districts audited. E.g. if seals are not intact for one district answer No to the third question. Explain any differences between districts in the box at the end.

S.2 Opening Chain of Custody and Ballot Transport for All Districts:	Yes	No	N/A	Not-Obsd
a. Were the ballots delivered to the site by at least two individuals?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Were you permitted to observe that the ballot seals were not tampered with?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Were the ballot seals intact?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Was there a separate envelope for hand counted ballots in the ballot container?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Was there a separate envelope for write-in ballots in the ballot container? [N/A for Primaries]	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Please explain any No answers:				

Instructions for the Following Question: Frequently more than one district is audited and three races are audited in each district. If there are more than three districts or races audited, fit the information in on the space allotted on the form. If all races on a large ballot are audited, answer “ALL” for the 1st race.

S.3 Districts and Races Audited:	1st District	2nd District	3rd District
a. District name/number	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
b. Seal number(s) broken today	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
c. 1 st race audited in district	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
d. 2 nd race audited in district	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
e. 3 rd race audited in district	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

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Instructions for the Following Questions:

1) Answer the following questions based on what could have been observed, even if you were not able to actually observe everything yourself.

CE.1 Ballot observation and validation by observers and officials	Yes	No	N/A	Not-Obsd
a. If you concentrated could you confirm that the Audit Station correctly classified each bubble on each ballot?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. If you concentrated could you confirm that the Audit Station correctly counted each vote on each ballot, in the columns on the right of the screen?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. While you were observing, in your judgement, did two local election officials focus their attention on each ballot?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. While you were observing, did one of the officials ask to slow down or to go back to review previous ballots?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. While you were observing, in your judgment, did local officials have enough time to confirm that the Audit Station correctly classified each bubble on a ballot for 90% of the ballots?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. While you were observing, in your judgment, did local officials have enough time to confirm that the Audit Station correctly counted each vote on each ballot, in the columns on the right for 90% of the ballots?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Please comment on any No answers above				

CE.2 Did the Audit Station have any of the following problems?	Yes	No	N/A	Not-Obsd
a. Reading ballots on colored/tinted stock?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Reading folded or creased ballots?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Reading absentee or Election Day Registration ballots?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Equipment/hardware problems with the scanner, computer, or projector?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Problems that required reprogramming/relearning the Audit Station district ballot format?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Other software problems with the scanner or computer?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Please comment on any Yes answers above				

When to Answer the Above Questions and the Next Four Questions?

1) Many of these questions can be answered or tentatively answered before counting is complete, yet ‘Yes’ responses can only be accurately answered when counting of all districts is complete. For instance, if checking by two officials is not performed for some aspect of the audit then the associated ‘No’ response may be answered when that is observed. On the other hand, to answer ‘Yes’ that checking by two official occurred uniformly can only be confirmed at the end of counting.

2) Be sure to review all these questions at the end or shortly after the audit to make sure that each question and subquestion is answered.

3) If there is time, consider completing the items on pages **6 and 7** during the audit.

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CE.3 Officials, Observers, and Others Present:			
a. Number of Local Election Officials	<input style="width: 100%;" type="text"/>	d. Number of Public, including all Observers	<input style="width: 100%;" type="text"/>
b. Number of Secretary of the State's Staff	<input style="width: 100%;" type="text"/>	e. Number of Media	<input style="width: 100%;" type="text"/>
c. Number of UConn Staff	<input style="width: 100%;" type="text"/>	f. Number of Others Present (e.g. candidates)	<input style="width: 100%;" type="text"/>
g. Others and media, if known (E.g. candidates, party chair, news organization etc.)			

Instructions for the Next Question:

- 1) Answer the following questions based on what could have been observed, even if you were not able to actually observe everything yourself.
- 2) The thrust of these questions is not checking everything. Could you have checked everything given enough time? Could you have verified that the counts were transcribed correctly? Were they entered accurately on the official report form? Could you have checked all the numbers on the scanner tape against the numbers on the official report form?

F.1 Completion and Copying Official Audit Report Forms:	Yes	No	N/A	Not-Obsd
a. Did elections officials record counts, including unresolved discrepancies, if any, on the Official Audit Report Form by the end of the audit?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Were you given an opportunity to have/make a copy of the Audit Report Form?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Did the <u>ballot counts</u> on the optical scanner tape(s) printed on election-night match the <u>tabulator tape ballot count transcribed</u> on the official audit report form(s)?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Did the <u>race counts</u> on the optical scanner tape(s) printed on election-night match the <u>tabulator tape counts transcribed to Column 'C'</u> on the official audit report form(s)?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Please explain any No answers:				

F.2 Closing Chain of Custody:	Yes	No	N/A	Not-Obsd
a. Were the ballots under the observation of at least two officials at all times?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Could you confirm that the ballots were returned to their proper containers?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Were the ballot containers resealed?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Were seal numbers recorded correctly on the official report forms?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Please explain any No answers:				

F.2f Closing seals:	1st District	2nd District	3rd District
b. Seal number(s) applied today	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

F.3 Completion Time:	Time audit was completed: <input style="width: 100%;" type="text"/>
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FE.4 Overall Concerns:	Yes	No	N/A	Not-Obsd
a. Do you have any concerns with the way the room was laid out?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Do you have any concerns that the audit was not well-organized?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Do you have any concerns with the counting and totaling process?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Do you have any concerns that the Audit Station counts are inaccurate?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
e. Do you have any concerns that the officially reported information is inaccurate?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
f. Do you have any concerns with the transparency/observability of the process?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
g. Do you have any concerns with the chain-of-custody [ballot security]?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
h. Please explain any Yes answers:				

F.5 Additional Comments on the Audit:

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Instructions for this Page:

- 1) These questions can be answered before, during, or after the end of the audit.
- 2) When the supervisor(s) and you are not too busy, ask to see the Moderator’s Return and tabulator tapes. Find the information on the returns and tapes for each district and fill in the information on this page. Note: Primary elections do not have write-ins. Generally, absentee ballots and Election Day Registration ballots are only counted in polling places in towns with only one or a few polling places.

R.1 Moderator’s Return Page:	Certificate for the Closing of the Polls		
	1 st District	2 nd District	3 rd District
a. Ballot transfer case seals:	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
b. Ballots read by the tabulator at the Close of the Polls: Total	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
c. Ballots read by the tabulator at the Close of the Polls: Absentee	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
d. Ballots read by the tabulator at the Close of the Polls: EDR	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
R.2 Moderator’s Return Page:	Official Checker’s Certificate		
a. Total number of names checked on the official checklist as having voted in person	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
b. Number of ballots processed at absentee location	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>
c. Number electors admitted and voting by Election Day Registration ballot	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>	<input style="width: 100%;" type="text"/>

Sample Moderator’s Return Pages (on Right):

For those with Smart Phone Cameras:

For those with smart phone cameras there are several items that you could photograph and send in to the Citizen Audit:

- 1) The two pages from the Moderator’s Return at the right.
 - 2) The completed Official Audit Report form(s).
- Taking any photos of documents is completely optional.



We, the undersigned Election Officials certify that after the polls were closed, the voting tabulator was closed and secured against further voting in accordance with the closing procedures in the Moderator’s Handbook, Appendix D. We further certify that the memory card seal on the front of the tabulator had not been broken.

<small>TABULATOR MEMORY CARD SEAL(S)</small>	<small>TABULATOR CARRYING CASE SEAL(S)</small>
<small>BALLOT TRANSFER CASE SEAL(S)</small>	<small>BALLOTS READ BY TABULATOR AT THE CLOSE OF THE POLLS</small> Total: Absentee: EDR:



SECTION TO BE COMPLETED ONLY AT POLLING PLACE

A Total number of names on the official check list at the close of the polls	<input style="width: 100%;" type="text"/>
B Total number of names checked on the official check list as having voted in person	<input style="width: 100%;" type="text"/>

SECTION TO BE COMPLETED ONLY AT LOCATION WHERE ABSENTEES ARE COUNTED

C Number of ballots processed at absentee location (Certificate of Absentee Ballot Count, Part E)	<input style="width: 100%;" type="text"/>
D Number of electors admitted and voting by Election Day Registration ballot	<input style="width: 100%;" type="text"/>

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Interview of the Audit Supervisor(s):

When the supervisor(s) and you are not too busy, ask to interview the supervisors at a convenient time. On short audits these questions may need to be addressed at the end of the audit. Answering any question on this form is optional. It will help us understand the election officials' views and challenges.

V.1 Notification and Ballot Storage:	
a. How was the public notified of the date, time, and place of the audit?	<input type="text"/>
b. Where were the ballots stored after the election?	<input type="text"/>
c. Who Has Access to Keys for Ballot Storage? Check all that apply:	
<input type="checkbox"/> Registrars	<input type="checkbox"/> Deputies
<input type="checkbox"/> Registrars Staff	<input type="checkbox"/> Town Clerk
<input type="checkbox"/> Others:	<input type="text"/>
d. How many different keys or codes are required to physically access the ballot storage?	<input type="radio"/> One <input type="radio"/> Two
e. How is a single individual prevented from accessing the ballot storage?	

V.2 Election Events?	Yes	No	N/A
a. Were there any memory card problem in pre-election testing or on election day?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. Were there any problems with the IVS voting system?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. Were there any other significant events, such as ballot problems, scanner problems, or occurrences before, during, or after election day?	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
d. Please explain any Yes answers:			

V.3 Did you order ballots at least equal to the number of registered voters?
<input type="radio"/> Yes, at least one for each registered voter <input type="radio"/> No, approximate %: <input type="text"/>

V4 Does the supervisor have any suggestions for improving the audit or our observation?

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Observer Feedback to the Citizen Audit: Help us improve the process.

H.1 Answer: SA=Strongly Agree A=Agree N=Neutral D=Disagree SD=Strongly Disagree	SA	A	N	D	SD
a. Overall the observation program will improve the audit process.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
b. The observation program was effective in explaining what was required of me and other observers.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
c. The observation forms were easy to understand and complete.	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>	<input type="radio"/>
H.2 Please list any questions that you found confusing:					
H.3 My Training Participation: [Check all that apply]					
<input type="checkbox"/> Phone this audit <input type="checkbox"/> Phone previously <input type="checkbox"/> Web this audit <input type="checkbox"/> Web previously					
H.4 My Observation History:					
<input type="radio"/> My 1 st Observation <input type="radio"/> My 2 nd Observation <input type="radio"/> My 3 rd Observation <input type="radio"/> 3+ Observation					

H.5 The best thing about this program is...

H.6 The one thing that would make the program better is... [Or a question which would benefit from a better explanation in the Frequently Asked Questions]

Completion Directions:

- 1) Please double check that you have answered every Yes and No question, even with N/A or Not_Obsd where appropriate.
- 2) Within an hour, call and report audit completion: 860-918-2115
- 3) Submit completed forms online, or mail to:
Citizen Audit, 334 Hollister Way West, Glastonbury, CT 06033