Observation Report - MANUAL 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

b. Municipality Observed

Observer Name: c. First   d. Last

e. Observer Best Phone Number

f. Other Citizen Audit Observers

g. On-Site Supervisor(s) [Usually Registrars]

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

I.3 Is this a Joint Report? Or will multiple observers submit their own reports?

○ Only/Joint Report   ○ There will be multiple reports

SM.1 Training and Orientation:	Yes	No	N/A	Not-Obsd
a. Did the supervisor review the Official Audit Procedures with the counting team?	○	○	○	○
b. Did the supervisor clarify procedures for everyone before beginning to count ballots?	○	○	○	○
c. Did the supervisor review the ballot and vote counting procedures in detail with the counting team(s) [e.g. The role of each person on a team; size of batches; double check everything?]	○	○	○	○
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 1-6 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 7 and 8 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.**

Page 1

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Connecticut Citizen Election Audit

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?	O	O	O	O
b. Were you permitted to observe that the ballot seals were not tampered with?	O	O	O	O
c. Were the ballot seals intact?	O	O	O	O
d. Was there a separate envelope for hand counted ballots in the ballot container?	O	O	O	O
e. Was there a separate envelope for write-in ballots in the ballot container? [N/A for Primaries]	O	O	O	O
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			
b. Seal number(s) broken today			
c. 1st race audited in district			
d. 2nd race audited in district			
e. 3rd race audited in district			

Instructions for the Following Question:
1) Answer the following question based on <u>what could have been observed</u>, even if you were not able to actually observe everything yourself.
2) Carefully note that the following question is about <u>ballot counting</u> NOT about counting <u>votes in races</u>.

CM.1 Ballot Counting:	Yes	No	N/A	Not-Obsd
a. Was the total number of <u>ballots</u> counted before the votes were counted for races?	O	O	O	O
b. Were the <u>ballots</u> counted by each team such that a 2nd official verified each count?	O	O	O	O
c. If multiple teams counted <u>ballots</u>, was the totaling independently verified by a 2nd official?	O	O	O	O

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Instructions for the Following Questions:

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

2) Note there are two methods of counting votes.

   A) Sorting and stacking by candidate, then counting the stacks.

   B) Reading and making hashmarks for each vote, then totaling the hashmarks.

3) Carefully note that the following question is about counting <u>votes in races</u> NOT about counting <u>ballots</u>.

CM.2 Please describe the room layout and counting team arrangements for counting <u>votes in races</u>:

CM.3 Counting methods for <u>votes in races</u>, by one or more teams of counters (check one)

a. O All Teams used the <u>hashmark</u> method for <u>votes in races</u>.

   O All teams used the <u>sorting and stacking</u> method <u>for votes in races</u>.

   O Methods varied by <u>race</u> but for each <u>race</u>, the teams used the same method.

   O Methods varied between teams, even for the same race.

b. If applicable, how did the methods vary between teams and races?

CM.4 Double Checking by Officials When Counting <u>Votes in Races</u>:	Yes	No	N/A	Not-Obsd
If hashmarking was used: a. Did a 2nd official observe that each <u>vote</u> was read accurately?	O	O	O	O
b. Did a 2nd official make duplicate hashmarks OR observe that each hashmark was recorded accurately?	O	O	O	O
If sorting and stacking was used c. Was the vote counting such that a 2nd official verified that each <u>vote</u> was <u>stacked</u> as marked?	O	O	O	O
d. Were the stacks of ballots counted such that a 2nd official verified that each <u>stack</u> <u>was counted</u> accurately?	O	O	O	O
e. If you answered Yes for teams of two, please explain how the 2nd official checked the 1st official?				

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 is complete. For instance, if double checking is not performed for some aspect of the counting then the associated 'No' response may be answered when that is observed. On the other hand, to answer 'Yes' that double checking occurred 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 7 and 8 during the audit.

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Instructions for the Next Three Questions: Answer the following questions based on <u>what could have been observed</u>, even if you were not able to actually observe everything yourself.

CM.5 Transparency and Observability When <u>Counting Votes in Races</u>:	Yes	No	N/A	Not-Obsd
If hashmarking was used: a. Were you permitted to observe that each <u>vote</u> was read Accurately?	O	O	O	O
b. Were you permitted to observe that each <u>hashmark</u> was recorded accurately?	O	O	O	O
If sorting and stacking was used: c. Were you permitted to observe that each <u>vote</u> was placed in the correct <u>stack</u>?	O	O	O	O
d. Were you permitted to see that the <u>count of ballots</u> in piles for each race was accurate?	O	O	O	O
e. Please explain any No answers:				

CM.6 Blind Counting [Blind counting occurs when counting teams are unaware of the total and discrepancies while they are counting or recounting:	Yes	No	N/A	Not-Obsd
a. Were counters kept unaware of the tabulator totals for the ballots or races they were counting until counting and recounting each race was finally complete?	O	O	O	O
b. If initial counts were off, were counters kept unaware of the exact and approximate level of differences? I.e. No indication was given of the amount a count was off.	O	O	O	O
c. Please explain any No answers:				

CM.7 Ballots with "Questionable Markings":	Yes	No	N/A	Not-Obsd
a. Were questionable votes on ballots ruled upon <u>separately, vote by vote</u>, rather than all votes on such ballots all classified as questionable, when some were not questionable?	O	O	O	O
b. Were questionable votes ruled on prior to the tallying of votes for each race AND counts not adjusted based on knowledge of the results of the differences in counts for each race?	O	O	O	O
c. Please explain any No answers:				

CM.8 Officials, Observers, and Others Present:			
		d. Number of Counting Team Personnel	
a. Number of Supervising Election Officials		e. Number of Counting Teams	
b. Number of Public (Including observers)		f. Individuals on Smallest Counting Team	
c. Number of Media		g. Number of Others Present (e.g. candidates)	
h. Describe others and media, if known (E.g. candidates, news organization etc.)			

Instructions for the Next Three Questions:

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

2) The thrust of these questions is not checking everything. Check some hashmark sheets. Check that you can see or hear the numbers reported by each team or for each batch. Could you have checked them all given enough time? Could you have verified that the addition of the counts were transcribed and added 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?

CM.9 Discovering and Resolving Mismatches:	Yes	No	N/A	Not-Obsd
a. Did officials find a match between machine counts and manual counts at the end of the initial count of each race?	O	O	O	O
b. Did officials try to resolve mismatched counts by counting again?	O	O	O	O
c. Did officials try to resolve mismatched counts by changing counting teams [counting different ballots by different teams]?	O	O	O	O
d. Did officials resolve mismatched counts by the end of the audit?	O	O	O	O
e. Please explain any No answers:				

CM.10 Tally Procedures and Tallying Transparency:	Yes	No	N/A	Not-Obsd
a. Were you able to observe that hashmarks and totals of batches for each team were tallied accurately?	O	O	O	O
b. Were you able to observe that the number of <u>ballots</u> from multiple teams and batches were totaled accurately?	O	O	O	O
c. Were you able to observe that the number of <u>votes</u> from multiple teams and batches were totaled accurately?	O	O	O	O
d. Please explain any No answers:				

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?	O	O	O	O
b. Were you given an opportunity to have/make a copy of the Audit Report Form?	O	O	O	O
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)?	O	O	O	O
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)?	O	O	O	O
e. Please explain any No answers:				

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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?	O	O	O	O
b. Could you confirm that the ballots were returned to their proper containers?	O	O	O	O
c. Were the ballot containers resealed?	O	O	O	O
d. Were seal numbers recorded correctly on the official report forms?	O	O	O	O
e. Please explain any No answers:				

F.2f Closing seals:	1st District	2nd District	3rd District
b. Seal number(s) applied today			

F.3 Completion Time:

Time audit was completed:

FM.4 Overall Concerns:	Yes	No	N/A	Not-Obsd
a. Do you have any concerns with the way the room was laid out?	O	O	O	O
b. Do you have any concerns that the audit was not well-organized?	O	O	O	O
c. Do you have any concerns with the counting and totaling process?	O	O	O	O
d. Do you have any concerns that the counts were inaccurate?	O	O	O	O
e. Do you have any concerns that the officially reported information is inaccurate?	O	O	O	O
f. Do you have any concerns with the transparency/observability of the process?	O	O	O	O
g. Do you have any concerns with the chain-of-custody [ballot security]?	O	O	O	O
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		
	1st District	2nd District	3rd District
a. Ballot transfer case seals:			
b. Ballots read by the tabulator at the Close of the Polls: **Total**			
c. Ballots read by the tabulator at the Close of the Polls: **Absentee**			
d. Ballots read by the tabulator at the Close of the Polls: **EDR**			
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			
b. Number of ballots processed at absentee location			
c. Number electors admitted and voting by Election Day Registration ballot			

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.

CERTIFICATE FOR THE CLOSING OF THE POLLS

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.

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

OFFICIAL CHECKERS CERTIFICATE

TO BE COMPLETED BY THE OFFICIAL CHECKERS AND ASSISTANT REGISTRARS

SECTION TO BE COMPLETED ONLY AT POLLING PLACE

A — Total number of names on the official check list at the close of the polls

B — Total number of names checked on the official check list as having voted in person

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)

D — Number of electors admitted and voting by Election Day Registration ballot

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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?
b. Where were the ballots stored after the election?
c. Who Has Access to Keys for Ballot Storage? Check all that apply: ☐ Registrars ☐ Deputies ☐ Registrars Staff ☐ Town Clerk ☐ Others:
d. How many different keys or codes are required to physically access the ballot storage? ◯ One   ◯ 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?	◯	◯	◯
b. Were there any problems with the IVS voting system?	◯	◯	◯
c. Were there any other significant events, such as ballot problems, scanner problems, or occurrences before, during, or after election day?	◯	◯	◯
d. Please explain any Yes answers:			

V.3 Did you order ballots at least equal to the number of registered voters?
◯ Yes, at least one for each registered voter   ◯ No, approximate %:

V.4 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.	O	O	O	O	O
b. The observation program was effective in explaining what was required of me and other observers.	O	O	O	O	O
c. The observation forms were easy to understand and complete.	O	O	O	O	O

H.2 Please list any questions that you found confusing:

H.3 My Training Participation: [Check all that apply]

☐ Phone this audit ☐ Phone previously ☐ Web this audit ☐ Web previously

H.4 My Observation History:

O My 1st Observation O My 2nd Observation O My 3rd Observation O 3+ Observation

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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