Counting Floor Policies

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1. Summary

This is the overall description of the policies and procedures for floor operations during the recount of the Maricopa County Arizona Audit. Each policy or procedure is related to an area and function within those operations.

2. Counting Floor Policies

All activity on the counting floor will be videotaped 24 hours a day from the receipt of the ballots until all materials have been returned to the custody of Maricopa County. Such videotaping shall include 24-hour video monitoring of all entrances and exits, as well as activity at the counting tables. The counting floor video will be live streaming to the world.

We must take great care to protect the ballots and return them in the same condition we receive them. In order to protect the ballots, the following rules will be enforced:

- No food or beverages
- No white paper
- No black pens or markers
- No blue pens or markers
- No personal items

All movement with ballots, cutting of seals, application of seals, and similar actions will be appropriately documented and logged, as well as captured under video to be sure the custody of ballots is maintained at all times. Access to the counting area will be restricted to authorized and credentialed individuals who have passed a comprehensive background check, with mandatory security searches and in/out logs whenever entering or exiting the counting area.

3. Items Permitted on Counting Tables

- Tally Sheets
- Red Pens
- Green Pens

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- Magnifying Rulers
- Pod Colored Paper
- Clock
- Printer
- Computer
- Blank USB Drives

4. Counting

- A ballot will be placed in the ballot tray on the turntable. The turntable will rotate to display the ballot to each of the 3 counters.
- Each counter will place a single line (tally) in the Ballot column indicating that 1 ballot has been viewed.
- Counters will view the paper ballot and place a single line in the column that corresponds to the candidate selected.
- An image of the ballot will be displayed on the monitor above the counter's desk area that can be used to view a larger version but must be confirmed on the paper ballot.
- All tally marks will be made in the same row as that ballot number. After 5 ballots, the tally marks will be made in the next column down on the page.

5. Totaling Tally Sheet

- After 100 ballots have been tallied, the counters will add the totals of all columns and write the final number of tallies in the totals box for the corresponding candidate.
- The Table Manager will compare the totals on the tally sheets from all three counters.
- If the counter totals match, the tally sheets will be signed and completed
- If 2 of the 3 counter totals match, the discrepancy will be noted and the tally sheets will be signed and completed.

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- If none of the totals match, the table manager will direct the reconciliation process but identifying which group of 5 ballots includes the discrepancy.
- A recount of the 5 ballots will be completed using the counting process outlined above.

6. Tally Sheet Guidelines

- Write and Tally in Green ink and correct in Red ink.
- Be sure to fill out the form details completely.
- Be sure to print legibly.
- Write your initials clearly.
- Voided tally sheets and completed tally sheets must be sent to aggregation table with separate custody forms, they are aggregated in different ways and need to be separated.
- **NEVER** rip up voided sheets.
- Treat the tally sheets like a **legal document**.
- Make corrections with a single slash, **DO NOT scribble or X** out tally corrections.
- Explain your correction in the margins and initial.
- **Be sure to initial both** next to your correction mark and explanation.

7. Table Manager Tally Sheet Guidelines

- Double check the addition on all sheets for accuracy, prior to submission to aggregation table.
- Check for counter results to match.
    - **Circle YES** if all 3 counters match both races, no comment required.
    - **Circle NO** if all 3 counters DO NOT match both races.
        - Details:
        - Write **"2 of 3 match"** if 2 of 3 match for each race independently.
        - Write **"re-count required"** if counts do not match for each race independently.

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8. Ballot Batch Recount Procedure

The ballot counting is expected to achieve a very high level of accuracy. The ballot counting teams must be accurate to within 0.03%. All ballots will be counted by three counters. After every 100 ballots, the three counters will total their tally sheets. If all three counters' totals on the tally sheets agree, the tally sheets are sent to aggregation. If two of three counters totals agree but the third counter is off 1 or 2 votes in any one race, the tally sheets are sent to aggregation. If two of three counters' totals agree but the third counter is off by 3 votes in any one race, the ballots must be recounted.

1. The process follows all the regular counting procedures other than scanning.
2. The tally is determined to be outside of acceptable levels by the Module Manager.
3. The Module Manager calls the Pod Manager to the Module
4. The Module Manager moves the pile of counted ballots from the counted ballot pile to the recount position between the scanner position and the turntable.
5. The pile of counted ballots is placed face up, in the same order that they were counted previously.
6. The Scanner observes from near the Counter in position #1
7. The Pod Manager observes from near the Counter in position #2
8. The Module Manager observes from near the Counter in Position #3
9. The Scanner takes the first ballot from the pile and places it on the turntable
10. The Module Manager rotates the turntable to the first counter and the Scanner reviews the vote as the first Counter marks the tally sheet
11. The Module Manager then rotates the turntable to the second counter and the Pod Manager reviews the vote as the second Counter marks the tally sheet
12. The Module Manager then rotates the turntable to the third Counter and reviews the vote as the Counter marks the tally sheet
13. The Module Manager then removes the ballot from the turntable and places it face down on the counted ballot pile
14. The process repeats from above until the batch is complete
15. If the second tally is not successful, then the Operational Manager and three WAKE TSI senior management personnel are called to the table

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16. The WAKE Operational Manager assumes the role of the Module Manager and the WAKE TSI senior management personnel replace the counters and the process repeats from the placement of the ballots.
17. The process is then followed by the WAKE TSI personnel

In all these iterations of this process ONLY the Module Manager and the Scanner touch the ballots.

9. Personally Identifying Information Policy

During the ballot counting process, no document containing personally identifiable information (PII) should be viewed by counters or audit personnel.
Personally identifiable information is any information that could potentially identify a specific individual. Any information that can be used to deanonymize previously anonymous information or any data that can be used to distinguish one person from another is considered PII.

If PII is discovered on any document inside a ballot box, the following procedure must be followed.

- If encountered during the counting, the table will immediately cease counting. If the PII is visible in the box, the box will be closed immediately.
- Legal and Senate Liaison will be contacted immediately
- Senate Liaison will remove the PII from the ballot box and determine if the ballots can be counted
- Legal department will ensure the ballot box is documented photographically.
- The PII will be removed from the table or the box and placed in a separate box.
- If it is determined by the Senate Liaison and Legal that the ballots cannot be counted, the box will be sealed per the following instructions
- A document chain of custody form will be completed and signed by the Module Manager and the Senate Liaison
- The box will be sealed and the seal number will be recorded on the Chain of Custody Form.
- The box containing the PII will be secured in the locked ballot corral in a section under the control of the Senate Liaison.

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10. Ballot Box Chain of Custody

Upon receipt of ballot pallets from the County, all ballot boxes will be counted and inventoried. The ballot pallets will be moved to the ballot holding corral. The ballot corrals will be secured and under 24-hour video surveillance. No ballot boxes will be removed from the ballot corral without a **Ballot BoxChain of Custody Form.**

- The Distribution Corral Manager will complete the Receipt Box ID portionof the form and sign the document preparation section of the form.
- When a ballot box is removed from the ballot corral, each transfer of custody will be recorded on the document and signed by the person received from and the person received by.
- The Distribution Corral Manager will also log the box destination on the Ballot Box Module Log.
- When the ballot box is delivered to a counting table, the Table Managerwill verify and sign the Ballot Box Chain of Custody form. As the ballots inside the box are counted, batch numbers from the box label will be verified and recorded on the log.
- The counting modules will be under 24-hour video surveillance.
- At the end of a shift or when the complete box has been counted, the Table Manager will complete the chain of custody form for a return to Ballot Corral.

See Appendix for Ballot Box Chain of Custody Form - Exhibit A

11. End of Shift Process

No shift will end without finishing a batch and sealing the batch bag usingestablished batch ending procedures for ballot security and tally sheet aggregation.

1. If a module finishes a batch count within 45 minutes of the end of a

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scheduled shift, the Module Manager should calculate the rate of counting, the size of the remaining batches in the box and determine if the module should begin a new batch or dismiss for the day.

2. If at the scheduled end of a shift, the module has not yet completed a batch count, the staff in that module must continue the count until that batch is completed.

3. When the final batch of the shift is completed
   a. Counters and Scanners will be dismissed.
   b. The batch bag will be sealed per existing procedures and returned box.
   c. The Module Manager must Print a Shift End Box Form and tape that to the outside of the box.
   d. Module Manager must then follow the box seal procedures and record seal numbers on required documents.
   e. Module Manager must wait for a Runner to retrieve the box and sign required CoC documents.

4. Shift End Box Form
   a. Shift End Box Form will identify the Pod, Module, Date, Time and Module Manager's Name.
   b. Module Manager must make selection indicating if the box is finished and should be returned to the Receipt Corral OR if the box is not finished and must be returned to the Distribution Corral.
   c. Module Manager must also record the batch numbers completed andthe box ID information.

5. Shift Open Process
   a. Unfinished Boxes from a previous shift will be returned the original counting module at the start of the next shift.
   b. Module Manager must check the log to ensure that the box delivered to the module is the box that was being counted at that module during the previous shift.

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12. Paper Examination Process

The purpose of this process it to collect information about the ballot paper, ballot ink and selection marks on the physical ballot during the hand recount process. This shouldbe limited to those things that require the direct examination of the physical ballot and defer examination of those things that could be detected using the scanned ballot images. The process must incorporate considerations for accuracy and speed in examination.

13. Ballot Paper and Ink Inspection Station Process

1. Batch Weight
    a. When a new batch bag is opened, the PE will use the assigned counting scale to weigh the batch of ballots and record the estimated range of ballots in the batch on the Batch Paper Examiner Log.
    b. The PE will compare the estimated range of ballots to the total number of ballots counted reported on the batch count document.
    c. If the actual number of ballots is outside the expected range, the PE will determine if the whole batch must go to TIER 2 examination. At Tier 2 examination, the out of weight ballots will be identified.
    d. The PE will compare the estimated number of ballots to the total number of ballots counted reported on the batch count document.

2. Ballot Examination
    a. After box and batch seal procedures have been completed, the ballot examination process begins.

3. Paper Examiner 1-Full Ballot Image Capture
    a. The batch stack will be placed on the ballot tray. Going in order from topto bottom the PE1 will place the ballot on the alignment guide and press the space bar on the laptop to capture the ballot image.
    b. PE1 will view image on screen to verify image. If clear, move to c. Ifunclear, re-image.
    c. PE1 will remove the ballot from the alignment pad and place in themicroscope inbox tray.

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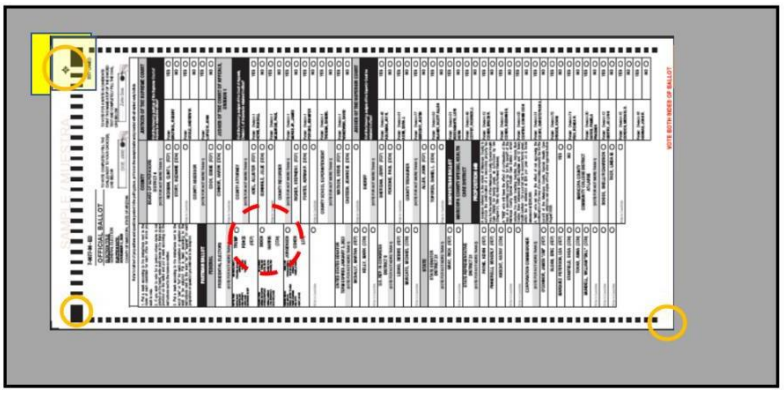
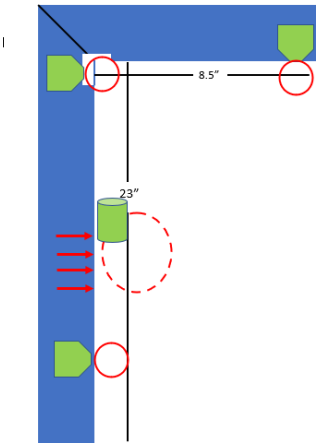
4. Paper Examiner 2 – Microscope Camera
    a. PE2 will place the ballot on the LED microscope pad platform.
    b. PE2 will slide the presidential selection scope to the appropriatealignment arrow.
    c. When visually confirmed by PE2, a mouse click will trigger all formicroscope cameras to capture images
        i. Corner
        ii. Alignment bullseye
        iii. Large timing mark
        iv. Presidential selection mark





5. Paper Examiner 3 -Tactile & Light Examination
    a. Examine the physical ballot.
    b. Note any differences or observations about the thickness or feel of theballot and if necessary, attach thickness designator.
    c. If Election Day Poll vote, note the presence of a visible fold.
    d. If non-Election Day Poll vote, note the absence of visible fold.
    e. Confirm Fold Designator on file name is correct (Designators)
    f. Note any visible differences in the colors or text on the ballot.
    g. Place Ballot under UV-B and UV-A source and compare torepresentative specimens.

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Description	Designator
Folded Ballot	**PF**
Unfolded Ballot	**PU**
System Printed BMD	**PS**

6. Forensic Examiner
    a. All questionable ballots will be evaluated by the Table Lead Forensic Examiner. If FE determines that the ballot is questionable, the ballot willbe removed from the batch and sent for further analysis.
    b. Escalation
        i. Two copies of Chain of Custody form will be printed.
        ii. Copy 1 signed by FE and Pod Manager and placed in the batchfinished pile where the questionable ballot had been.
        iii. Copy 2 signed by FE and Pod Manager and taken to the Tier 2examination table.
        iv. Examiner will sign Chain of Custody, note criteria that prompted Tier2 on the form and insert into ballot folder.

14. Tier 2 Examination Process

1. Chain of Custody
2. Reason for Escalation
3. Examinations
    - Microscopic examination
    - Ballot weight
    - Thickness
    - Color & Luminosity
    - Document Findings

4. Tier 2 Examiner will copy the CoC document and attach to findings document.
5. Ballot will be placed in the **Examination Table Batch Bag**
    a. At the end of each day, Tier 2 Examiners will follow the batch seal process.
    b. All examined ballots for the day will be returned to the RC Corral along

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withall necessary documentation.

15. Batch Paper Examination Log

Record the following information:

- Box ID and Date from County Label
- Batch Number
- Batch Type (ED, EV, LEV)
- Batch weight and estimated ballot count
- Actual ballot count for batch
- Ballot ID that were PF or PU if different from batch type
- Ballot IDs sent to Tier 2 and reason code.

Batch Paper Examination Log - See Exhibit B
Escalation Criteria – See Exhibit C
Representative Specimen Chart – See Exhibit D

Appendix

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See Appendix for Ballot Box Chain of Custody Form - Exhibit A

Ballot Box Chain of Custody

Receipt Box ID							
Label Date:						Box Seal No.:	
Ballot Type:						Match Docs: YES NO	
Scanner ID:						Note:	
Label Batch Numbers:						Signature:	

Corral Intake		
Received by:	Date:	Time:

Chain of Custody							
Date	Time	Area	Detail	Box Seal	Corral Initials	Received From	Received By

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See Appendix for Ballot Box Chain of Custody Form - Exhibit B

Tally Sheet Chain of Custody

POD:	Date:
Module #:	Time:
Batch:	MM Name:

Number of Sheets	Received From	Transported By	Received By

Pallet Receipt Log - See Exhibit C

#	Pallet Receipt Log						Pallet No.
	Label Date:						Box Seal No.:
	Ballot Type:						Match Docs: YES NO
	Scanner ID:						Note:
	Label Batch						
	Numbers:						
	Label Date:						Box Seal No.:
	Ballot Type:						Match Docs: YES NO
	Scanner ID:						Note:
	Label Batch						
	Numbers:						
	Label Date:						Box Seal No.:
	Ballot Type:						Match Docs: YES NO
	Scanner ID:						Note:
	Label Batch						
	Numbers:						
	Label Date:						Box Seal No.:
	Ballot Type:						Match Docs: YES NO
	Scanner ID:						Note:
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	Ballot Type:						Match Docs: YES NO
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	Numbers:						
	Label Date:						Box Seal No.:
	Ballot Type:						Match Docs: YES NO
	Scanner ID:						Note:
	Label Batch						
	Numbers:						
	Label Date:						Box Seal No.:
	Ballot Type:						Match Docs: YES NO
	Scanner ID:						Note:
	Label Batch						
	Numbers:						

Received From:	Received By:	Date:

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