



REGISTRAR OF VOTERS

# BlueCrest: Completing Batch Audits After a Sort Pass

PROCEDURE DOCUMENT - Version 4.2

# BlueCrest: Completing Batch Audits After a Sort Pass

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## Scope

This procedure is to be used in the Ballot Department and is not applicable in any other departments. It has been designed for the Ballot Audit Teams and any other personnel assigned to auditing ballots that have been sorted for extraction. This process is to be performed daily during the election and must be completed before end of canvass.

## Purpose

Ballots challenged during signature verification process are pulled out during the Sort (2nd) Pass and audited before moving them to the challenged racks to the designated challenged area. This procedure will validate that all challenges are accounted for before valid ballots reach extraction.

## Supplies and Programs Needed

- Batch Audit Report
- Yellow Highlighter
- Pen
- Ready for Batch Audit Bakers Rack
- Valid Ballots Bakers Rack
- DIMS.net access
- Mail Ballot Processing Database (MBPD) access

## Audit Guidelines

The Data Workflow Lead will call-out and place the Batch Audit Report in the hanging file on the wall when the report is ready for Batch Audit. This process will verify that all challenged ballots are accounted following the sort pass - separated from other sort passes by an assigned batch audit letter (e.g. Batch Audit A, Batch Audit B, etc.).

- Teams of two (2) conduct an audit to account for every ballot.
- The Rack of Valid Ballots will be next to a rack of Challenged Ballots ready to be reviewed.  
**Do not move Valid Ballots until the batch audit is complete.**
- Review Challenged Ballots against the AVID Numbers found on the Batch Audit Report.

## Identifying Batches Ready for Audit

During Incoming (1st) Pass, VBM envelopes are scanned and separated by various batch numbers. Following Signature Verification, batch numbers are grouped and separated by Letters. Once the Sort (2nd) Pass is complete, these ballot batches are ready for a Batch Audit Report.

### Oversized Batches

Batches of envelopes that are thicker than normal are run on their own Sort Pass and must be kept separate from other batch audits. Once the process is complete, they must be given to Extraction Challenge Review Team to review.

## Beginning a Batch Audit

From the “Ready for Batch Audit” hanging tray, grab the Batch Audit Report that corresponds with “Ready for Batch Audit” racks. There should be two bakers’ racks with the same corresponding Ready for Batch Audit sign example :( A & A) challenged rack will go to challenged area and the Valid ballots will go to the OPEX extraction area.

### Report for Batch A

Batch Audit - 2019 Consolidated Election ID: 3944  
Batches 10058 10059 10060 10061 10062 10063

Line	Batch	av_id	voter_id	envelope	verified	challenge	Challenge Type
1	10058	45456954	50651	10	Y	NMS	NON-MATCHING SIGNATURE
2	10056	45492142	464266	7	Y	NMS	NON-MATCHING SIGNATURE
3	10059	41041278	516213	12	Y	NMS	NON-MATCHING SIGNATURE
4	10059	45645632	34023	34	Y	NMS	NON-MATCHING SIGNATURE
5	10059	63431142	47941	69	Y	NMS	NON-MATCHING SIGNATURE
6	10062	45846545	91348	42	Y	NMS	NON-MATCHING SIGNATURE
7	10062	45856361	86438	56	Y	NMS	NON-MATCHING SIGNATURE
8	10063	4504164	319314	24	Y	NMS	NON-MATCHING SIGNATURE

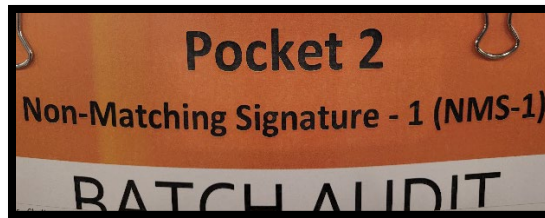
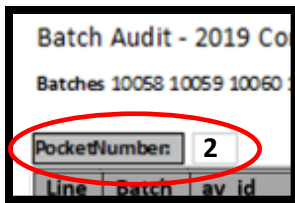


1. Move “Ready for Batch Audit” rack and “Valid Ballots” rack to the Batch Audit Review area.

**Note:** If you are unsure of where the audits area is located, ask your lead/supervisor. Make sure the letter on your Batch Audit Report matches the letter indicated on the “Ready for Batch Audit” rack and the Extraction rack before beginning the process.

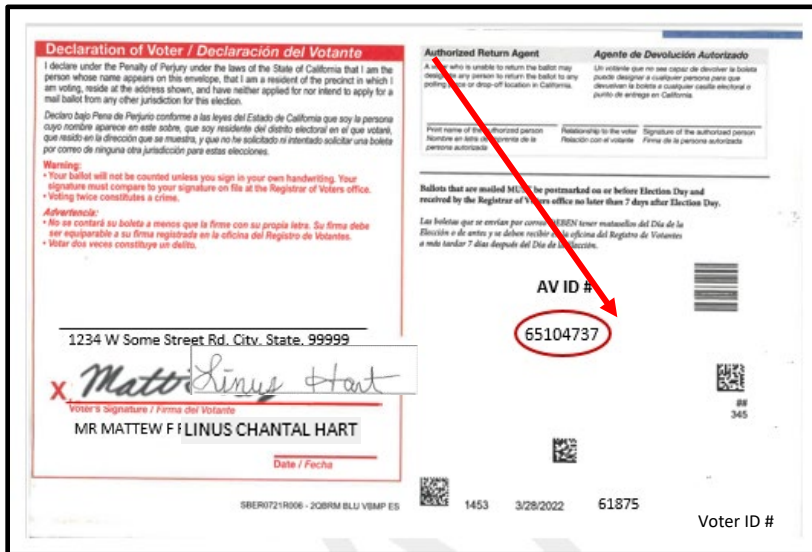
2. Take the challenge tray from the “Ready for Batch Audit” rack that corresponds with the pocket number and challenge code on the Batch Audit Report.

**Note:** Work on only one challenge tray at a time to avoid misplacing VBM envelopes.



3. Place the tray on the table.
4. In teams of two (2), begin to audit the selected challenge type.

- Team member 1:** Reads aloud the whole AVID number on the ballot. **Example: 65 10 47 37**



- Team member 2:** Confirms the AVID number by **highlighting** the Batch Audit Report after the whole number has been called out.

**Note:** AVID numbers may not be in the order by which they were processed through the Sorter Machine.

Batch Audit - 2019 Consolidated Election ID: 3944

Batches 10058 10059 10060 10061 10062 10063

PocketNumber: **2**

Line	Batch	av_id	voter_id	envelope	verified	challenge	Challenge Type
1	10058	45456954	50651	10	Y	NMS	NON-MATCHING SIGNATURE
2	10056	45492142	464266	7	Y	NMS	NON-MATCHING SIGNATURE
3	10059	41041278	516213	12	Y	NMS	NON-MATCHING SIGNATURE
4	10059	45645632	34023	34	Y	NMS	NON-MATCHING SIGNATURE
5	10059	63431142	47941	69	Y	NMS	NON-MATCHING SIGNATURE
6	10062	45846545	91348	42	Y	NMS	NON-MATCHING SIGNATURE
7	10062	45856361	86438	56	Y	NMS	NON-MATCHING SIGNATURE
8	10063	4504164	319314	24	Y	NMS	NON-MATCHING SIGNATURE

- Once finished with the tray, return the challenge tray to the "Ready for Batch Audit" rack and continue to the next pocket number found on the Batch Audit Report until the report is completed.

## Completion of Batch Audit

The Batch Audit is complete once all AVID numbers listed on each page of the Report are matched and highlighted against all the pocket numbers and Challenged Ballots.

1. Both team members must initial and date the Batch Audit Report.

**Note:** Initials should be readable by everyone.

Batch Audit - 2019 Consolidated Election ID: 3944

Batches 10058 10059 10060 10061 10062 10063

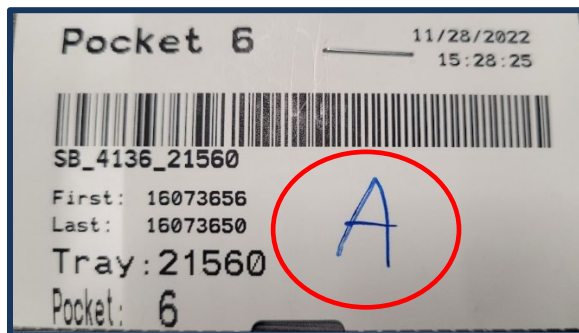
PocketNumber: 3

Line	Batch	av_id	voter_id	envelope	verified	challenge	Challenge Type
1	10058	45456954	50651	10	Y	NMS	NON-MATCHING SIGNATURE
2	10056	45492142	464266	7	Y	NMS	NON-MATCHING SIGNATURE
3	10059	41041278	516213	12	Y	NMS	NON-MATCHING SIGNATURE
4	10059	45645632	34023	34	Y	NMS	NON-MATCHING SIGNATURE
5	10059	63431142	47941	69	Y	NMS	NON-MATCHING SIGNATURE
6	10062	45846545	91348	42	Y	NMS	NON-MATCHING SIGNATURE
7	10062	45856361	86438	56	Y	NMS	NON-MATCHING SIGNATURE
8	10063	4504164	319314	24	Y	NMS	NON-MATCHING SIGNATURE

A

Handwritten initials and date: 11/6/19 and 11/7/19

2. Write the letter from the Batch Audit Report on the pocket tray tags.



3. Place Batch Audit Report in the "Batch Audits Completed" hanging tray.
4. Say aloud to the team, "Batch Audit completed."



5. Place "Ready for Batch Audit" trays on the bakers' rack.



6. Remove both "Ready For Batch Audit" signs.
7. Replace the valid rack's sign with a "Ready for Extraction" cart sign.
  - a. Take the rack with "Ready for Extraction" sign to the OPEX extraction designated area.
8. Take the "Unsorted Challenges Ready to be Filed" rack to the challenge audit area.
9. Move the audited ballots from the trays to the appropriate trays in the "Unsorted Challenges: Ready to be Filed" rack.
10. Remove all tray tags from each tray, staple them together and place them in the gray bin on the black cart.
11. Double check that no envelopes or tray tags have been left behind before taking the rack back to the sorter area.



## Reviewing Valid Ballots for BC Unseen and NOTIF Challenges

Before "Valid Ballots" are sent to extraction, we need to review the trays to pull out:

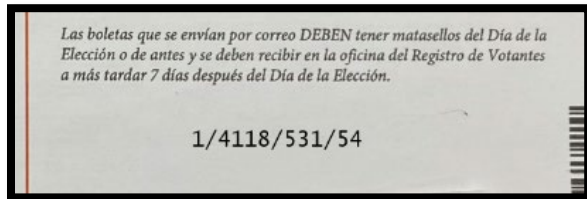


- **BC Unseen** - look at the signature side of each envelope, and pull out those that are missing the BlueCrest sorter’s printout (indicating that the envelope was seen by the machine)
- **NOTIF** – pull out the VBM envelopes that have a writing indicating a change of address or cancellation of some sort.

## BC Unseen

As envelopes travel through the ballot sorting machine, they will be ink jetted with the election ID and tray number. This lets us know that the envelope was seen by the sorter and was sorted appropriately. If there is no inkjet, the envelope must be looked up by the Ballot Sorting machine operator or lead to determine if the envelope properly went through the Sort Pass.

- Place all BC Unseen VBM envelopes (missing the inkjet printing displayed below) in the mail tray labeled **BC Unseen**, located on the Review Table.



## NOTIF

Voters will sometimes use their ballot envelope as a method to update their name, address, or registration status (often to announce a deceased family member or a move). These must be pulled and challenged in DIMS.net as NOTIF. Once all NOTIF challenges have been identified, bring them over to one of the Audit computers.

- Place any and all NOTIF VBM envelopes in the **RED** mail tray located on the Review Table.

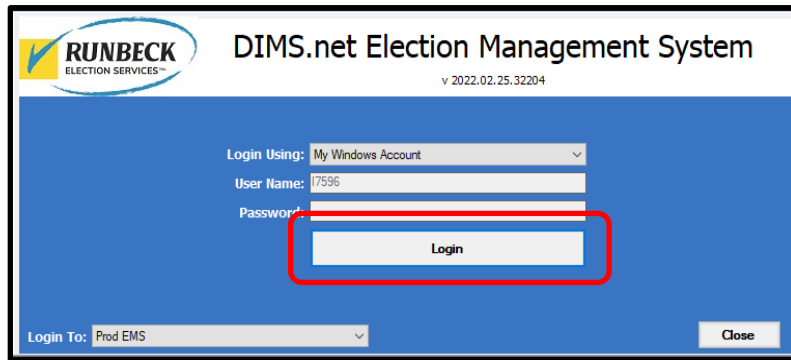


- Hand the red mail tray to your Lead. The lead will input the information into DIMS.net.

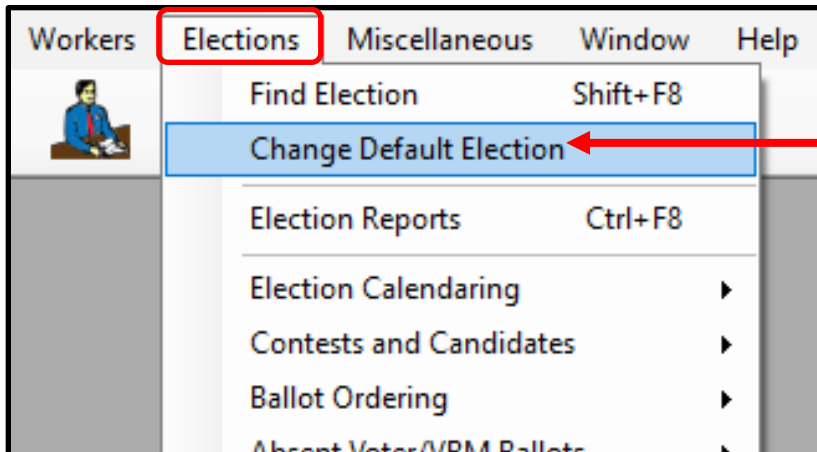
## Opening DIMS.net from the desktop

1. Log into DIMS.net using the “My Windows account” option.

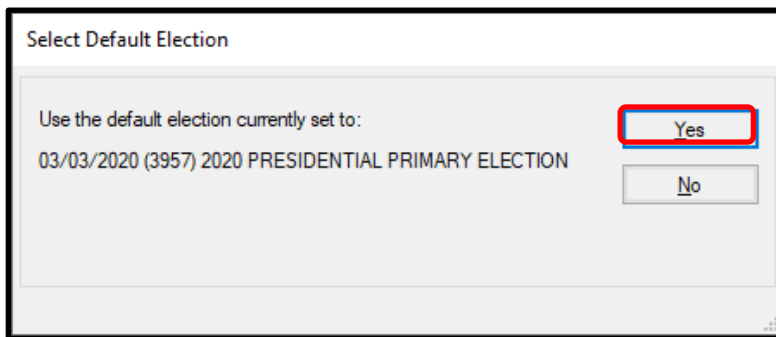
2. Click the Login button.



3. In DIMS.net, click on the "Elections" menu.
4. Click on "Change Default Election".

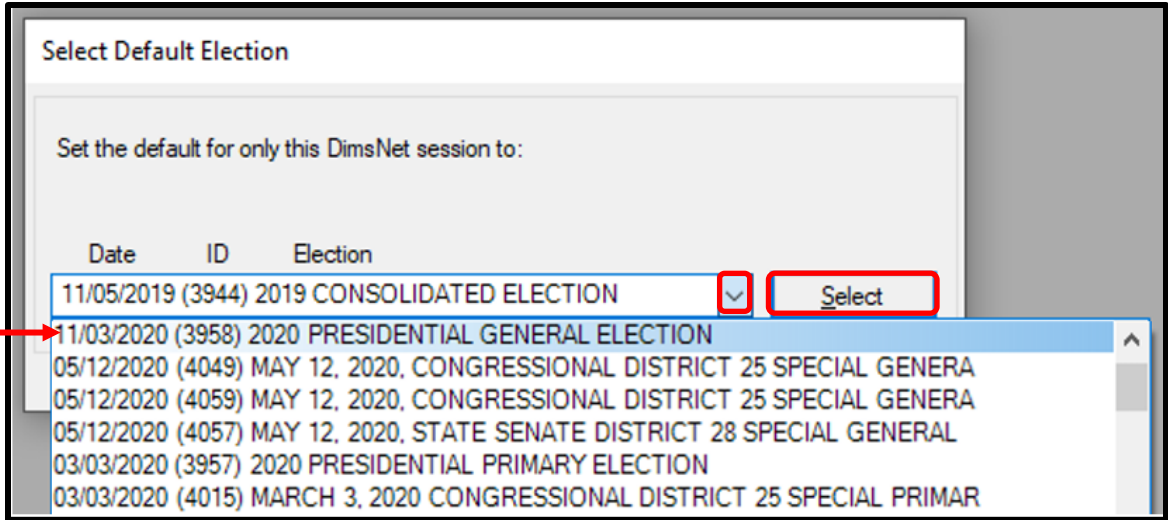


5. A Select Default Election window will appear. If the election displayed is correct, click **Yes**.

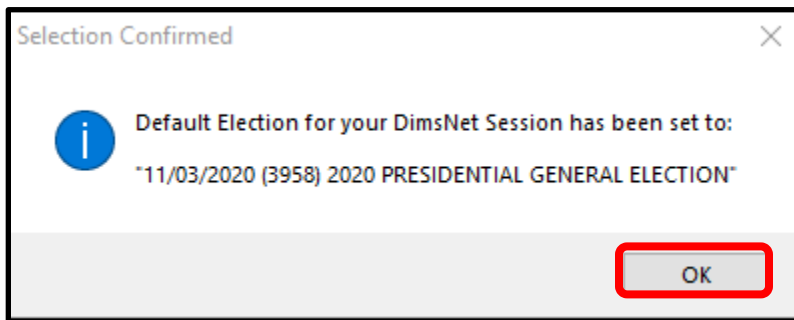


6. If the election displayed is incorrect, click **No**.

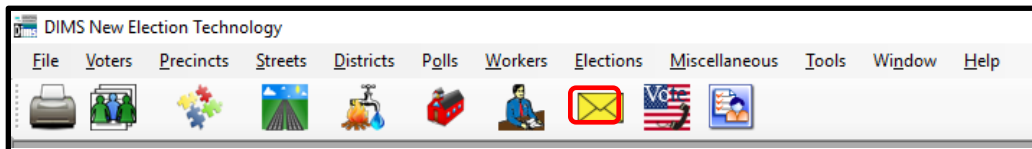
7. Select the correct election from the drop-down list, and then click the Select button.



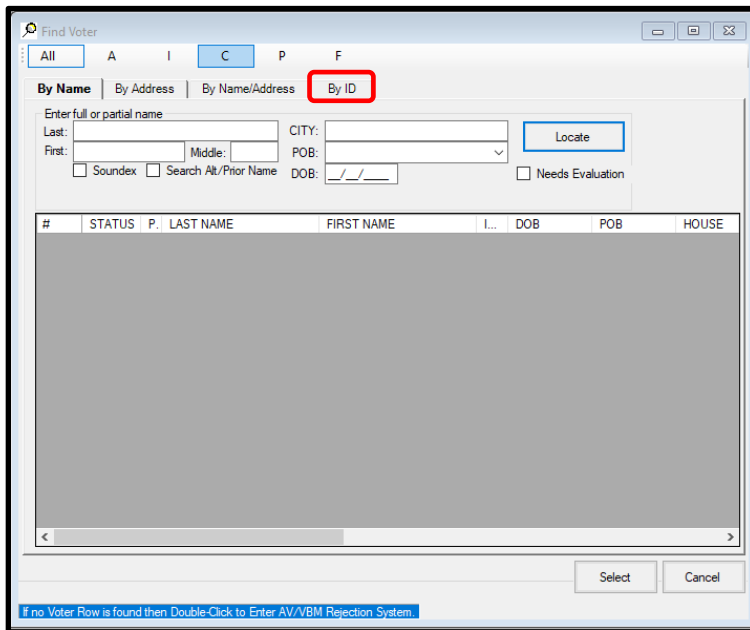
8. A Selection Confirmed window will appear. Click **OK**.



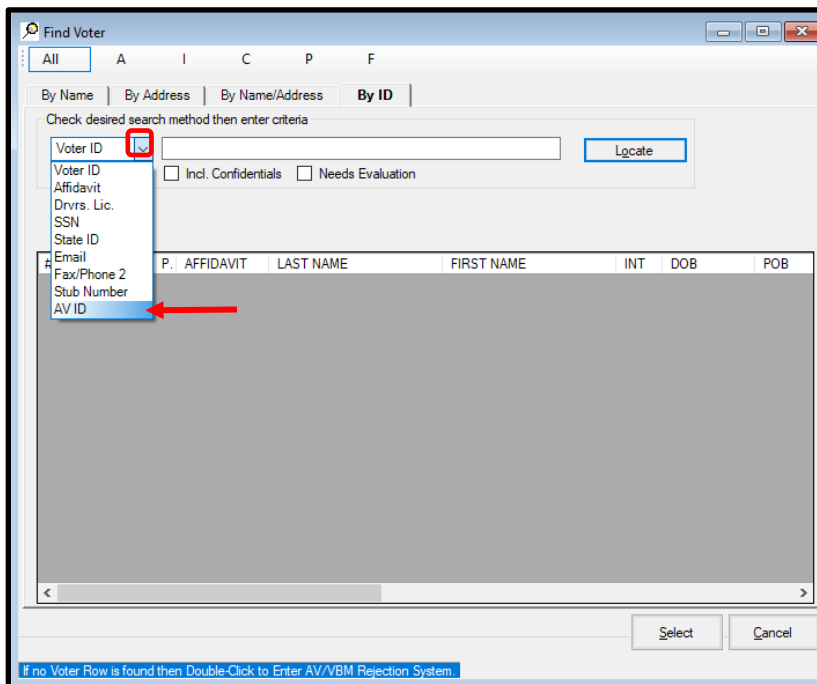
9. Click the "Enter Absent Voter Ballot" icon (**Yellow Envelope**).



10. Click **“By ID”**.



11. Click the drop-down arrow near **“Voter ID”**. Click **“AVID”**.



12. Enter the AVID Number in the textbox next to **AVID**.

13. Click **Locate** or press **Enter**.

14. After confirming that the voter that appears is the correct one, **Double Click** on the highlighted voter name or press **“Select”** or press **Enter**.

#	STATUS	P	AFFIDAVIT	LAST NAME	FIRST NAME	INT	DOB	POB
1	A	Y	36R745911	HART	LINUS	C	09/07/1986	NC

15. “AV/VBM Ballot Issued” screen will pop-up, click **“OK”**.

AV/VBM Ballot Issued

Warning. This Voter has already received an AV/VBM Ballot

OK

16. “Rejection Notice” screen will pop-up, click **No**.

Rejection Notice

Do you want the system to issue a Rejection Notice?

Yes No

17. From the AV Module, open the drop-down menu for Challenge Code.

The screenshot shows a software interface with two columns of voter information. The left column is titled 'Voters Name and Address on File:' and the right column is titled 'Current Ballot Information'. Both columns list the same voter: LINUS CHANTAL HART, 2470 BLAIN KIT COURT, FONTANA, CA 92336. Below this, the 'Ballot Type' is 1263 and the 'Party' is REP. At the bottom right of this section is an 'Active Ballots' button. Below the voter information is a form with various fields: 'Election' (11/03/2020 (3958) 2020 PRESIDENTIAL), 'VoterID' (259431), 'ID' (56016482), '# Issued', 'Issd', 'Category' (PERMANENT ABSENTEE), 'Source' (MAIL), 'Stub', 'Downloaded', 'Voter Sent', 'Return Source' (MAIL), 'Return Date' (11/02/2020), 'Is RAVBM?', 'Needs Evaluation', 'Verified?' (checked), and 'Challenge Code' (a dropdown menu highlighted with a red box).

18. Select the option VOTER NOTIFICATION.

The screenshot shows a dropdown menu with the following options: VOTER NOTIFICATION (highlighted in blue), SUPERVISOR REVIEW, UNPAIRED - WRONG/SWITCHED ENVELOPE, VBM BALLOT WAS UNDELIVERABLE, VOTER ALREADY VOTED, VOTER DECEASED, VOTER NOTIFICATION, VOTER RECORDS EVALUATION, WANDA FOUND A DUPLICATE RETURN, WANDA FOUND A PROBLEM, Z-AUTH BOX NOT COMPLETE, Z-BALLOT SIGNED, and Z-EXCEPTION (OTHER).

19. Click the OK button.

The screenshot shows a dialog box with four buttons: Resend, Attachments, View Batch, and Ok (highlighted with a red box). There is also a Cancel button.

20. Repeat for all VBM envelopes, then place them in the unsorted NOTIF challenge tray.



## Possible Issues

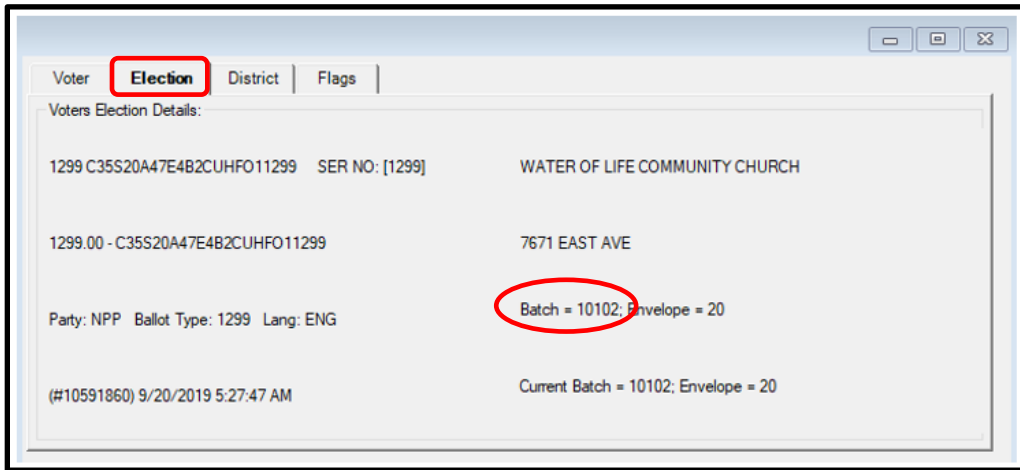
### When Batch Audit Report and Challenged Ballots Do Not Match

When you finish highlighting the AVID numbers for a challenge code during the Batch Audit process, you may come across an extra ballot in the challenged tray that is not on the Batch Audit Report. When this occurs, we need to locate the Batch number associated to the VBM envelope.

1. Note the discrepancy (example, missing AVID) on the audit report associated with that VBM envelope.
2. Set the VBM envelope aside, away from other VBM envelopes.
3. Continue the batch audit in case the VBM envelope was placed in the wrong challenged tray.
4. If that ballot does not appear anywhere on the Batch Audit Report, notify the lead and have them research the problem via the following steps.
5. To open DIMS.net from the desktop, follow the steps from page 9.
6. From the AV Module, check if there is a challenge code associated with this VBM envelope. For example: Non Matching Signature as in the image below.

The screenshot shows a software window with tabs for 'Voter', 'Election', 'District', and 'Flags'. The 'Voter' tab is active, displaying two columns of 'Current Ballot Information' for LINUS CHANTAL HART, with identical details in both columns. Below this, there are fields for 'Ballot Type: 1263' and 'Party: REP'. A button labeled 'Active Ballots' is visible. The bottom section of the window contains various data entry fields: 'Election' (11/03/2020 (3958) 2020 PRESIDENTIAL), 'VoterID' (259431), 'ID' (56016482), '# Issued', 'Issd', 'Category' (PERMANENT ABSENTEE), 'Source' (MAIL), 'Stub', 'Downloaded', 'Voter Sent', 'Return Source' (MAIL), 'Return Date' (11/02/2020), 'Is RAVBM?', 'Needs Evaluation', 'Verified?' (checked), and 'Challenge Code' (NON-MATCHING SIGNATURE, circled in red).

7. Click the **Election tab** to locate the batch number associated with the VBM envelope.
8. Check if the batch number associated with the challenged VBM envelope belongs to the batch report.



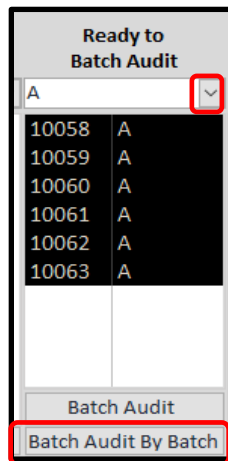
**NOTE: this is Data Workflow function. Lead will complete the steps below**

## Data Workflow Steps

### A. Batch number is associated with your Batch Audit Report

If the batch number is listed on the Batch Audit report, this indicates that there was a mistake with the printout, causing the VBM envelope to not show on the report.

1. Return to *Batch Workflow* tab from **MBPD Batch Management** window.
2. Under the *Ready to Batch Audit* label, click the drop-down box.
3. Select the letter associated with that batch number to highlight all batch numbers associated with that letter.
4. Click **Batch Audit**.

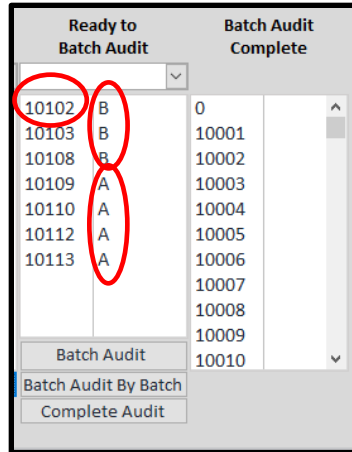


5. When the new window appears, press Ctrl+P to print out a new Batch Audit Report.

### B. Batch number is NOT associated with your Batch Audit Report

This indicates the VBM envelope in question should not have been in that challenge tray associated with that Batch Audit Rack and explains why it was not on your Batch Audit Report. Use MBPD to check the batch number and see which batch audit the VBM envelope is supposed to be associated with.

1. Access the *Batch Workflow* tab from **MBPD Batch Management** window.
2. Look in the *Batch Audit Complete* and *Ready to Batch Audit* sections to find the batch number.



**Batch Number found in Batch Audit Complete Section**

The VBM envelope is associated with a batch that has already gone through the batch audit process; however, the VBM envelope remained in the Ready for Batch Audit mail tray due to a mistake.

Move the VBM envelope to the appropriate challenge tray on the challenge rack.

**Batch Number found in Ready for Batch Audit Section**

This suggests the batch number was not grouped properly before printing the Batch Audit Report.

1. Confirm the letter associated with that batch number is the same as on your Batch Audit Report.
2. Check the Batches area on the Batch Audit Report to make sure the batch number in question is missing.
3. Group the missing batch with the rest of the numbers associated with that letter.
4. Print out a new “Batch Audit”.

Batch Audit - 2019 Consolidated Election ID: 3944

Batches 10058 10059 10060 10061 10062 10063

PocketNumber:

Line	Batch	av_id	voter_id	envelope	verified	challenge	Challenge Type
1	10058	45456954	50651	10	Y	NMS	NON-MATCHING SIGNATURE
2	10056	45492142	464266	7	Y	NMS	NON-MATCHING SIGNATURE
3	10059	41041278	516213	12	Y	NMS	NON-MATCHING SIGNATURE

## Audit Team Review

### If the Batch Audit Report has more AVID numbers than challenged VBM envelopes

When you run through the AVID numbers of a batch audit challenge type and realize some numbers are not highlighted, it is best to continue the Batch Audit in case the envelope was misplaced in a different challenge tray. Once you finish all the VBM envelopes on hand for the batch audit and still have AVID numbers unidentified, approach the Challenge Ballot Audit team lead with the discrepancy.

The lead will check if a supervisor has possession of the physical VBM envelope(s) associated with the extra AVID number(s) on the Batch Audit Report, as they may be under review.

### Supervisor does not have possession of the VBM envelopes

If the VBM envelope(s) in question is not under review, the Challenge Ballot Audits Team Lead will have to find the location of the misplaced ballot(s) using their AVID number by login into DIMS.net and researching the status on the VBM envelope in question.

### Ballot status is Valid

When the ballot status is seen as Valid, who changed the status and when it becomes important.

1. Click “**Last Trans**”.
2. View who was the last team member to change the challenge code and when it was changed.

#	BEFORE	AFTER	TRANS DATE	LOGIN
1	NVS		11/4/2019 2:31:29 PM	SBCOUNTY\Mar...
2	0		11/4/2019 2:31:29 PM	SBCOUNTY\Mar...
3	N	Y	11/4/2019 11:26:39 AM	SBCOUNTY\Mar...
4		NVS	11/4/2019 11:15:25 AM	SBCOUNTY\Mar...
5	0	10000	11/4/2019 11:02:34 AM	SBCOUNTY\Ale...
6		10000	11/4/2019 11:02:34 AM	SBCOUNTY\Ale...
7		Nov 4 2019 12:00AM	11/4/2019 11:02:34 AM	SBCOUNTY\Ale...
8		49	11/4/2019 11:02:34 AM	SBCOUNTY\Ale...
9	ENT	49	11/4/2019 11:02:34 AM	SBCOUNTY\Ale...
10		MAL	11/4/2019 11:02:34 AM	SBCOUNTY\Ale...
11			9/20/2019 5:31:15 AM	SBCOUNTY\d81...

3. Talk to Resolution or SigVer Lead to correct the issue.
4. You and their lead will visit the last team member to inquire about why the overturn happened.
5. The team member who made the error will correct the issue in DIMS.net.
6. Take the VBM Envelope to the appropriate location.
7. If you are unsure of where to take the VBM envelope ask your lead.

### **Ballot was overturned from Challenged to Valid without proper cause**

After hearing the team member explain what happened, you will be able to identify how they made a mistake.

1. Have them correct their mistakes in DIMS.net.
2. Have the team who conducted the audit to search for the ballot amongst the “Valid Ballots” before they reach extraction.
3. Advise them to review their procedure as necessary to prevent reoccurrences.

### **Ballot Status is Challenged**

When the AVID number shows the ballot is challenged in DIMS, but the physical ballot is not part of the Batch Audit Rack, the ballot has been misplaced.

1. Check if the ballot was placed on the wrong “Ready for Batch Audit” rack.
2. Check if the ballot was placed with the Valid Ballots.
3. Once the ballot is found, highlight the AVID number on the Batch Audit Report and place the ballot in the appropriate challenge tray.



Where to find Misplaced VBM Envelopes during a Batch Audit		
Order	Location	Reason
1	Check the mail tray where the ballot is supposed to be in, twice.	The VBM Envelope(s) may have been stuck to another envelope or slid under other envelopes. This happens a lot.
2	Check all other trays you are currently working on, twice.	It may have been place in the wrong mail tray.
3	Log into DIMS.net, click the yellow envelope, and pull up Voter's AVID <ul style="list-style-type: none"> <li>Click the "Last Trans" to see who's the last person who work the ballot.</li> <li>Write the voter's name, staff's name, and the challenge type on batch audit report.</li> </ul>	SigVer operator may have changed the challenge code during the sort pass.
4	Check all the Supervisor's mail trays located directly beside Data Workflow and ask Supervisors if they have any VBM envelopes on their desk.	Envelopes are occasionally pulled directly out of a tray for Supervisors to review after it ran through the sorter. If found, highlight it on the batch audit report but leave it in the supervisor's tray.
5	Check with Machine Operator.	The VBM envelope(s) may have been left behind or handed to Machine Operator
6	Check the areas around the Sorter Machine <ul style="list-style-type: none"> <li>Challenged side</li> <li>Valid side</li> <li>End bucket</li> <li>Under the machine and pockets</li> <li>Inside throughout the whole Sorter Machine</li> </ul>	<ul style="list-style-type: none"> <li>Envelope may been overlooked or missed because tray sweep is done too quickly or not at all</li> <li>May have not checked the End Bucket</li> </ul>
7	<p>If we are still unable to find VBM envelope(s), place the whole batch audit <b>ON HOLD</b> until the VBM envelope(s) is/are found,</p> <p>The ballots may be on the other Batch Audit Reports which have not been worked on yet.</p>	

## Authorization

Document Owner: Ballot Department	Initiation Date: 03/19/2013
Version Number: 4.2, Updated Document	Date: 09/16/2024
Version Written By: Caleb Talmas/Zonia Harrell	