

APPENDIX A

THE U.S. ELECTION ASSISTANCE COMMISSION

FISCAL YEAR 2012

INTERIM ANNUAL PERFORMANCE REPORT

April 10, 2013

U. S. Election Assistance Commission
Fiscal Year 2012 Annual Performance Report

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Overview

In November 2012, the U.S. Election Assistance Commission (EAC) presented a fiscal year (FY) 2012 Agency Financial Report (AFR). The report described EAC's financial results over the past year as it pursued its mission to assist the effective administration of Federal elections. The report highlights efforts to strengthen internal controls and financial management activities. EAC presented summarized performance data in the AFR, and provides as much detailed data as possible in the following Interim Annual Performance Report for FY 2012 in conjunction with the FY 2013 Interim Congressional Justification. This is the fifth year EAC has undergone a financial statement audit pursuant to the Accountability of Tax Dollar Act of 2002, and the fourth year that EAC is participating in the pilot performance reporting project, as described in OMB Circular A-136 on Financial Reporting Requirements, in place of the Performance and Accountability Report.

Managing for results and producing an Annual Performance Report requires valid, reliable and high-quality performance measures and data. In the program areas during FY 2012, EAC made progress in achieving the goals described in its Strategic Plan, which is based on the mandates of the Help America Vote Act (HAVA) of 2002:

Communications & Clearinghouse

In Fiscal Year 2012, EAC focused efforts on providing information and best practices to election officials and voters in preparation for the 2012 federal election cycle with the goal of building a community of knowledge and expertise that would save election officials time and money. EAC:

- Hosted a series of public roundtable discussions about topics and initiatives in preparation for 2012 federal election cycle. Questions and comments were taken from the public throughout the live webcasts. The subjects included:
 - Cost-effective procedures and best practices for 2012 Voting System Preparation;
 - EAC's role as a national clearinghouse and resource for election officials around the country;
 - Getting ready for the November 2012 elections; and
 - Ways to improve access to voting for veterans;
- Expanded The EAC Blog to provide periodic election updates and highlight program activities during each week: 1) Election Updates summarize information on upcoming primaries, special elections, and the general election in 2012; 2) Voting System Testing Updates track progress made on EAC voting system certification; and 3) ongoing blog posts cover election related topics to answer frequently asked questions and provide critical or time sensitive information to stakeholders and the media;

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- Managed @EACgov on Twitter to rapidly deliver information and updates to stakeholders and the public about the voting system certification program, EAC activities and election information, communicate with election officials, and build a community of expertise;
- Maintained #BReady2012, the Twitter hashtag where election officials and the public gathered to discuss preparation for the next Federal election. The number of EAC Twitter followers grew from 250 to over 900 from October 2011 through September 2012;
- Hosted online The Election Official Exchange, a platform to help local election officials connect and leverage their collective knowledge by sharing and exchanging best practices and information expertise; and
- Provided program updates where the public can customize the kind of information and the frequency that it is delivered via EAC's newsletter and automatic program updates.

Grants Management

In FY 2012, EAC:

- Disbursed requirements payment grants to States certifying compliance from the FY 2008-FY 2011 awards;
- Closed the College Poll Worker and the Mock Election grants awarded in FY 2009;
- Continued to monitor and provide technical assistance to three-year award 2010 College Poll Worker grantees to help them carry out successful programs;
- Continued to monitor and work with the three-year award 2010 Mock Election Program grantees; and
- Monitored and provided technical assistance for the Voting System Pre-Election Logic and Accuracy Testing & Post-Election Audit Initiative grants, and the Accessible Voting Technology Initiative grants. In FY 2012, the latter projects focused on making pre-election information accessible to voters and using a specialized system in the field for elections.

Research, Policy and Programs

Work completed in FY 2012 includes:

- Release of the results of the 2010 Election Administration and Voting Survey (EAVS) to Congress and the public;
- Final draft of a study on the use of Social Security numbers for the purpose of voter registration;
- Final draft of a study on Vote Recounts and Contests describing laws and procedures in each state;

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- Award of contracts to perform research on administering elections in urban and rural areas, and to administer and analyze the data for the 2012 EAVS;
- Completion of the process for updating the 2012 Election Administration and Voting Survey;
- Research on new jurisdictions and languages covered by Section 203 of the Voting Rights Act as determined by the 2010 census and consideration of its application to various minority language election resources; and
- Responding to requests from state and local election officials, Congress, the media and the public-at large for copies of Voter's Guides to Elections and Glossaries of Election Terms in various foreign languages, and NVRA registration forms and accompanying state instructions for completing the form; clarification of data reported in the biennial EAVS; assistance on completing the Federal NVRA form; and requests to clarify certain technical aspects of election procedures and processes;
- Processing of State requests for modifications to the state-specific instructions on the National Mail Voter Registration Form. States include Delaware, Florida, Illinois, Maine, Louisiana, Virginia and Washington State;
- Conducting presentations and distributing material highlighting EAC educational resources on best practices and tips from EAC research on subjects such as poll worker recruitment and training, making contingency plans, voting accessibility, and communicating with the public; and
- Distributing 30,000 copies of EAC's "Voting Tips To Enhance Your Voting Experience" to the 55 State election offices.

Voting Systems Testing and Certification

In FY 2012, EAC:

- Certified four voting systems and published a certification timeline for a fifth system;
- Conducted testing campaigns for four systems;
- Drafted and published six Requests for Interpretation (RFIs) to the Voluntary Voting System Guidelines (VVSG);
- Drafted and published two Notices of Clarification to Testing & Certification Program Manuals;
- Published a Final Formal Investigation Report on a voting system;
- Developed and implemented major updates to EAC's Virtual Review Tool (VRT);
- Audited a voting system manufacturing facility;
- Received a revised version of VVSG 1.1 from NIST, incorporated NIST comments and new RFI's into the guidelines, and posted the second draft version for Public Comment;
- Performed two laboratory re-accreditation audits, and an EAC and NVLAP initial laboratory audit; and

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- Published the Survey of Internet Voting (SIVAR) document on the EAC web site.

Finally, EAC conducted briefings for visiting foreign delegations under the auspices of the U.S. State Department to explain EAC's role and function as a national clearinghouse, and how EAC's resources and tools serve and support election officials around the country as they prepare for the 2012 election. Staff explained the voting process in the United States, and provided resource materials developed by EAC to the delegates.

Delegations included election officials and news media journalists from the following nations: Afghanistan, Burkina Faso, Chad, Korea, Mali, Mauritania, Senegal, Niger, and Russia. Other briefings were conducted for representatives of the International Foundation for Electoral Systems and from the Office for Democratic Institutions and Human Rights (ODIHR) in the Organization for Security and Cooperation in Europe (OSCE).

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Funding

Enacted Appropriations by Fiscal Year												
(dollars in thousands)												
	2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	Total	
EAC (FY 2003–2010)												
EAC Salaries & Expenses												
Operations	\$2,000	\$1,674 ¹	\$11,110	\$10,986	\$11,313	\$12,330	\$12,909	\$13,409	\$13,024	\$8,750	\$97,505	
Mock Election Grants						200	300	300			\$800	
Poll Worker Grants				300		750	750	750			\$2,550	
Transfer to NIST			2,778	2,772	4,950	3,250	4,000	3,500	3,243	2,750	\$27,243	
Election Reform Grants											\$0	
Requirements Payments	830,000 ²	1,491,150				115,000	100,000	70,000			\$2,606,150	
Poll Worker Grants	1,500										\$1,500	
Foundation	1,500										\$1,500	
Voting Tech. Research							5,000	3,000			\$8,000	
Testing & Verification							1,000	2,000			\$3,000	
Election Data Collection						10,000					\$10,000	
TOTAL EAC	835,000	1,492,824	13,888	14,058	16,263	141,530	123,959	92,959	13,267	11,500	\$2,755,248	
GSA (FY 2003)											\$0	
Section 101 and 102	649,500										\$649,500	
Administrative Expenses	500										\$500	
TOTAL GSA	650,000										\$650,000	
TOTAL EAC & GSA											\$3,405,248	

1/ Includes \$481,092 transferred from the Federal Election Commission

2/ Carried forward to FY 2005

Operations

EAC reports its results of operations within four programs: Communications; Fund and Overseer; Research, Policy and Programs; and Testing and Certification. Costs specifically identified with each of these programs such as assigned personnel costs and specific program contract costs are allocated to the program directly. Other general agency overhead costs such as rent, information technology costs and financial management services are allocated on a percent of overall costs method. The Fund and Overseer program reports the expenditures for EAC's grants. This

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methodology is outlined in EAC's Cost Allocation Model and is reviewed each year by staff and financial statement auditors to ensure the accurate allocation of expenses to each program.

Performance Goals

EAC adopted its first-five year Strategic Plan 2009-2014 in March 2009. The plan was reviewed by the Office of Management and Budget, and presented to EAC's Board of Advisors and Standards Board for comment.

EAC's five strategic goals are:

Goal 1. Communicate -- Communicate timely and accurate information on the effective administration of elections for Federal office and on the operations and services offered by EAC.

Goal 2. Fund and Oversee -- Deliver and manage Federal funds effectively.

Goal 3. Study, Guide and Assist -- Identify and develop information on areas of pressing concern regarding the administration of elections for Federal office, issue recommended improvements, guidance, translations, and best practices as required by HAVA, and carry out responsibilities under the National Voter Registration Act.

Goal 4. Test and Certify -- Build public confidence in elections by testing and certifying voting systems to improve system security, operation, and accessibility.

Goal 5. Manage -- Achieve organizational and management excellence.

EAC Strategic Plan objectives in the following sections describe the results needed to accomplish the five Strategic Goals. Outcomes measure the effect program outputs have on their stakeholders. Outputs are quantifiable targets that directly measure the results of a program. A program may have multiple outputs but each output is associated with one program. Performance measures are quantifiable and documentable representations of a capacity, process or outcome that is relevant to the assessment of performance.

Goal One – Communicate

Strategic Plan Goal 1: Communicate timely and accurate information on the effective administration of elections for Federal office and on the operations and services offered by EAC.

Outcome: The Congress, Federal agencies, State and local election officials and the public receive reliable, accurate, and non-partisan information about

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administering, conducting and participating in Federal elections and how, where, and when Americans vote.

	FY 2012 Communications Enacted Budget
Direct Costs	\$405,996
Indirect Costs	523,559
Total, Communicate	\$929,555

Goal 1's aim of communication of timely and accurate information is the responsibility of the Communications and Clearinghouse division. The Communications and Clearinghouse division is responsible for external communications and the tools and platforms used to provide information to election officials and the general public. Areas of responsibility include:

- EAC Website and Clearinghouse
- Social media
- Media inquires
- External communications
- Congressional relations
- The Freedom of Information Act
- National Archives and Records Act
- Editorial support: press releases, speeches, and Congressional testimony

The agency's website, www.eac.gov, is the primary communications tool. EAC.gov contains thousands of documents and information about voting systems, press releases, informational videos, research, data and program-related information. It also features on-demand webcasts and related information from public meetings, hearings and roundtables.

EAC's award-winning website features a user-driven notification system, allowing visitors to customize how they receive information. Users can customize their online experience by signing up for automatic e-mail alerts on a variety of election topics and events, including public meetings, advisory board meetings, reports, policies and agency news. These alerts can be received in real time on a daily or weekly basis.

Goal 1 FY 2012 Accomplishments

In Fiscal Year 2012, the Communications and Clearinghouse division focused its efforts on providing information and best practices to election officials and voters in preparation for the 2012 federal election cycle. The goal was to build a community of knowledge and expertise that would

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save election officials time and money as they faced the challenge of providing more services to voters with fewer resources and more budget constraints. EAC embraced the tenets of Government 2.0 and established a robust network of information sharing for election officials and professionals.

EAC.gov Resources

- **The Election Official Exchange:** an online resource built by EAC to help local election officials connect and leverage their collective knowledge by sharing best practices and knowledge. By participating in the Exchange, any U.S. election official can call on a colleague for advice about virtually any administrative task they face, from testing voting equipment and training poll workers to creating an audit trail and conducting a recount.
- **Enhanced and improved search tool:** based on usability studies and user feedback, EAC's search tool is an intuitive and user friendly way for the public to find information.
- **Events finder:** a comprehensive presentation of all EAC public events, including meetings, hearings and roundtable discussions.
- **Webcasts:** public events are offered live. On demand webcasts are available within 24 hours. The meeting agenda accompanies the webcast, and the viewer can select topics of interest. All meeting materials are also available to the public.
- **Customized program updates:** a listserv for EAC's newsletter and automatic program updates. Users are notified daily or weekly when new documents are posted based on their delivery preferences.

Social Media and Stakeholder Updates

- **The EAC Blog:** allows EAC to provide periodic election updates and highlight program activities. Weekly Election Updates summarize information on upcoming primaries, special elections, and the general election in 2012. Weekly Voting System Testing Updates track progress made on EAC system certification. Ongoing blog posts cover election related topics to answer frequently asked questions and provide critical or time sensitive information to stakeholders and the media.
- **@EACgov on Twitter:** another tool used to communicate with stakeholders and the public on EAC activities and election information. The number of EAC Twitter followers grew from 250 to over 900 from October, 2011 through September, 2012.
- **#BReady2012:** a Twitter hashtag hosted and created by EAC provides an online meeting place for election officials and the public to gather and discuss preparation for the next federal election.
- EAC maintains and emails a public list of election officials and has used the platform to inform thousands of people about program activities. For example, EAC can rapidly deliver information and updates about the voting system certification program across the

country. As requests are received from election officials, EAC continues to add more links to state & local election social media sites.

Preparing for the 2012 Elections: The Roundtable Series of Public Discussions

In Fiscal Year 2012, EAC continued hosting a series of public roundtable discussions about topics and initiatives in preparation for 2012 federal election cycle. Four roundtable discussions were webcast live and featured a live Twitterfall. Questions and comments were taken from the public through the webcasts. Participants included election officials and subject experts who provided real world solutions to the issues facing election officials and voters as we prepare for the 2012 elections. EAC distributed press advisories to national media daybooks and contacts, and to the home state/local media outlets representing roundtable participants

- 2012 Voting System Preparation (Nov. 17, 2011), a discussion on cost-effective procedures and best practices for conducting voting system preparation activities. Topics included ballot preparation, acceptance testing, and logic and accuracy testing.
- EAC Clearinghouse (March 20, 2012) roundtable to highlight and build on EAC's role as a national clearinghouse and resource for election officials around the country. Participants shared ideas and strategies for improving the administration of elections in the U.S.
- Getting Ready for November (June 19, 2012), a discussion on what to expect and how to prepare for November and beyond. Participants shared ideas and strategies about voting system preparation, ballot preparation, voter education, polling places, voter turnout, provisional ballots and more.
- Veterans Voting This November (Sept 13, 2012), a roundtable where participants discussed election operations, procedures and accessibility best practices for improving access to voting for veterans with disabilities.

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Strategic Goal One FYs 2009 - 2012 Performance Measures

Performance Indicator	Type of Indicator	Planned	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual
Strategic Objectives						
<i>Operate the EAC Clearinghouse effectively.</i>						
Issue Clearinghouse policy within 6 months [from March 2009].	Output	Final policy	Final expected next FY	Final expected next FY	In Final Draft (quorum required for approval)	In Final Draft (quorum required for approval)
Post applicable information on the website within 24 hours of receipt. 1/	Output	100% of data posted within 24 hours	100% of data posted within 24 hours	100% of data posted within 24 hours	100% of data posted within 24 hours	100% of data posted within 24 hours
Distribute at least one email update per month to stakeholders about the web-based Clearinghouse.	Output	12 updates distributed	51 news-letters; 6 updates; 5 Public Meeting reports	51 news-letters; 8 Public Meeting reports	42 newsletters; 6 updates	42 newsletters; 6 updates
<i>Respond to outside requests about the EAC timely and accurately.</i>						
Issue policies and procedures to process requests from outside the agency by September 2009.	Output	Final policies and procedures	Final expected next FY	Final expected next FY	In Final Draft (quorum required for approval)	In Final Draft (quorum required for approval)
Distribute media and Congressional inquiry and response log to EAC staff on a daily basis.	Output	Distribute inquiry and response data on a daily basis	Inquiries distributed on receipt, logs sent daily	Inquiries distributed on receipt, logs sent daily	Inquiries distributed on receipt, logs sent daily	Inquiries distributed on receipt, logs sent daily
Respond to FOIA requests in accordance with requirements.	Output	Respond in 20 business days	Median processing time 12 days; average 25 days	Median processing time 16 days; average 14.8 days	Response in 20 business days	Response in 20 business days
Respond to 75 percent of non-FOIA requests within 72 [business] hours. [Excludes requests with Congressional deadlines.]	Output	75% response rate in 72 hours	100% response rate in 72 hours	100% response rate in 72 hours	100% response rate in 72 hours	100% response rate in 72 hours
<i>Convey the results of EAC operations and accomplishments.</i>						
Provide weekly updates about EAC activities and election administration issues to EAC employees.	Output	52 updates/100%	50 updates/96%	52 updates/100%	Monthly updates	Monthly updates
Produce an annual FOIA report to chronicle requests and responses.	Output	Final report by January 31 of each FY	Final report on 1/31/09	Final report on 1/31/10	Final report on 1/31/11	Final report on 1/31/12
Issue quarterly press releases summarizing EAC activities.	Output	4 press releases	26 press releases	25 press releases	28 press releases; launched EAC blog & Twitter accounts	1 press release; 125 EAC blog posts & Twitter communications in place of press releases

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Provide regular briefings regarding EAC activities to Congressional staffers.	Output	2 formal briefings	2 formal briefings; inquiries completed & chronicled	4 formal briefings; inquiries completed & chronicled	2 formal briefings; inquiries completed & chronicled	2 formal briefings; inquiries completed & chronicled
Produce the annual report of EAC activities to Congress by January 31 of each year for the preceding year ending September 30.	Output	Report disseminated by 1/31 each FY	Report disseminated 1/31/09	Report disseminated 1/31/10	Report disseminated 1/31/11	Report disseminated 1/31/12
Issue at least 12 EAC newsletters per year.	Output	12 newsletters	51 newsletters	54 newsletters	50 newsletters	42 newsletters

1/ Note: This is a change to the Strategic Plan, replacing “web-based Clearinghouse” with “website.” This excludes Commissioner approval of tally votes or voting system reports from States that are posted within 48 hours.

Goal Two – Fund and Oversee

Strategic Plan Goal 2: Deliver and manage Federal funds effectively.

Outcome: States and other recipients promptly and accurately receive Federal funds administered by EAC and use the funds appropriately to improve the administration of elections for Federal office.

FY 2012 Grants Management Division and Office of the Inspector General Enacted Budgets	
Grants Management	\$ 415,776
OIG	1,250,000
Indirect Costs	1,308,898
Total, Fund and Oversee	\$2,974,674

Goal 2’s aim of delivering and managing Federal funds effectively is the responsibility of the Grants Management division and the Office of the Inspector General (OIG). The goal will be achieved via three strategic objectives described in the performance measure chart at the end of this section.

The Grants Management division:

- Awards and monitors discretionary grants programs including: Help America Vote College Program, Help America Vote Mock Election Program, Military Heroes Initiative, Voting Systems Pre-Election Logic and Accuracy Testing and Post-Election Audit Initiative, and Accessible Voting Technology Initiative;
- Provides technical assistance to States on administering Federal funds;

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- Processes and disburses payments to States and discretionary grant recipients;
- Conducts trainings on the administration and use of HAVA funds;
- Tracks the submission of and reviews the content of financial and performance reports submitted by States and discretionary grant recipients;
- Reviews audit reports and resolves findings applicable to EAC programs;
- Reviews amended State Plans; and
- Drafts advisory opinions for Commission approval and issuance.

Goal 2 FY 2012 Accomplishments

Section 251 Requirements Payments

Section 251 funds were included in the Election Reform Programs no-year appropriation. Congress appropriated \$115 million in FY 2008, \$100 million in FY 2009 and \$70 million in FY 2010. In FY 2012, EAC disbursed \$575,000 from the FY 2008 appropriation, \$500,000 from the FY 2009 appropriation and \$2,464,199 from the FY 2010 appropriation. EAC also paid \$435,808 from funds made available in FY 2011 that were previously undistributed requirements payments or returned Section 102 funds. These funds were requested by the States by September 30, 2012. The funds are distributed according to a formula based on the voting age population of the State per the last Census and the total voting age population of all States. In order to draw the funds, the States certify that they are in compliance with applicable laws and requirements per HAVA Section 253.

A State may use requirements payments to carry out activities to improve the administration of elections for Federal office outside of the activities listed under HAVA Title III if the State per Section 251 certifies that the State has implemented the requirements of Title III, or the amount it will spend on other activities will not exceed an amount equal to the minimum payment amount applicable to the State under section 252. Title III includes voting system standards, voting information requirements, provisional voting, statewide voter registration lists, and identification requirements for voters who register by mail. States may also use requirements payments to improve the administration of Federal elections.

College Poll Worker Grants

To date, EAC has awarded 89 grants totaling \$3.1 million to recruit and train college poll workers since the College Program was established in 2004. In FY 2012, EAC closed the College Poll Worker grants awarded in FY2009. EAC continued to monitor and work with the 2010 College Poll Worker grantees to help them carry out successful programs. The grants are three-year awards.

Mock Election Grants

Mock Election Program grants are authorized under HAVA Section 295. To date, EAC has awarded grants totaling \$998,820 to organizations under this program since the Mock Election program was established in 2004. The grants allow students to become familiar with voting processes and technologies so that when they become eligible to vote they will be more comfortable with their civic duties. In FY 2012, EAC closed the Mock Election grants awarded in FY 2009. EAC continued to monitor and work with the 2010 Mock Election Program grantees to help them carry out successful programs. The 2010 grants are three-year awards.

Voting System Pre-Election Logic and Accuracy Testing & Post-Election Audit Grants

The purpose of the Voting System Pre-Election Logic and Accuracy Testing & Post-Election Audit Initiative is to develop and document processes and best practices for coordinating quality and cost-effective: 1) voting system pre-election logic and accuracy testing (L&A), and 2) post-election audits. Outcomes will include tool kits, guides, best practices, research findings and recommendations that could be disseminated widely within the election community. In FY 2011, EAC awarded \$1,463,074 to 12 award recipients. EAC did not award the remaining \$1,536,926 on no-year funded L&A grants in FY 2012 pending a quorum of the commissioners to approve the Notice of Funding Availability.

Accessible Voting Technology Grants

The Accessible Voting Technology Initiative supports research and development activities to increase the accessibility of new, existing, and emerging technological solutions in areas such as assistive technologies, interoperability, and the design of voting systems. Funding supports research for: 1) promising technologies and practices; 2) technology testing and adoption; and 3) development of administrative processes and training improvements to increase accessibility of existing voting procedures and election systems. In FY 2012, the projects focused on making pre-election information accessible to voters and using the Prime III system in the field for elections.

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Strategic Goal Two: Fund and Oversee FYs 2009 - 2012 Performance Measures

Performance Indicator	Type of Indicator	Planned	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual
Strategic Objectives						
<i>Accurately and timely disburse Federal financial assistance administered by EAC.</i>						
Publish program handbook in FY 2009	Output	Final handbook	Completed 9/30/2009			
Award grants within established timeframes.	Output	100%	100%	100% of Requirements Payments (RPs) & 1 year grants, 33% of no year discretionary grants	100% of RPs & no year discretionary grants (Disability and 1 st round L&A grants)	100% of RPs
Submit State plans for publication in the <i>Federal Register</i> within 30 days of receipt of the plan.	Output	100%	100%	100%	100%	100%
Submit payment requests to GSA/BPD within 10 days of receipt of acceptable requests/certifications.	Output	100%	98%	100%	100%	100%*
<i>Effectively monitor Federal financial assistance administered by EAC.</i>						
Review financial and performance reports and notify recipients of reporting anomalies or failures to file within 30 days of knowledge of such conditions, in writing in all cases, and by telephone as time permits, to offer assistance and answer questions.	Output	State reports due 12/31/09	Met goal	Met goal by deadline	Met goal by deadline	Met goal by deadline
Resolve 100 percent of audit findings within established time frames.	Output	100% audit resolution	TBD% resolution	50% audit resolution; no overdue mgt. decisions as of 9/30/2010	No overdue management decisions as of 9/30/2011	No overdue management decisions as of 9/30/2012
Conduct site visits to at least three high priority grantees each year.	Output	3 site visits	1 site visit during Strategic Plan period	3 site visits	2 site visits	No site visits in 2012
Negotiate indirect cost rates within 30 days of receipt of acceptable indirect cost proposals.	Output	30 days	Negotiations on hold pending MOU w/HHS	Signed MOU w/HHS July 2010 for negotiation services	Requests submitted to HHS upon receipt	Requests submitted to HHS upon receipt
Issue the annual report to Congress on the expenditure of HAVA funds by July 15 of each year [with the Annual Performance Report]. 1/	Output	Report issued 7/15/09	Format revised, attached to Cong'l Budget Justification (CBJ) as Appendix C	Report issued with CBJ/Annual Performance Report Appendix C	No final report issued due to staff transitions	Report will be issued by 4/30/13
<i>Provide technical assistance and guidance on the management of Federal financial assistance administered by EAC to reduce the risk of inappropriate use of funds and accounting errors.</i>						
Submit to the Commissioners all recommended policy and guidance concerning the administration of Federal financial assistance administered by EAC within established time frames.	Output	100%	Count will begin in FY 2010	50% of advisory opinions (AOs)	Submitted one AO before quorum was lost	Submitted one AO before quorum was lost

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Offer at least one workshop per year.	Output	1 workshop	2 webinars	3 presentations	1 webinar, 2 presentations	1 presentation
Respond to all inquiries by recipients about the use and administration of funds in accordance with EAC requirements in a timely manner.	Output	24 hour turn-around for phone & email response time	To be measured beginning in FY 2010	24 hour turn-around for phone & email response time 90%	24 hour turn-around for phone & email response time 90%	24 hour turn-around for phone & email response time 90%

*With exception of the conversion period from GSA to BPD

1/ Represents a change to the Strategic Plan, from June 30 of each year to with the Annual Performance Report in FYs 09 and 10.

Goal Three – Study, Guide and Assist

Strategic Plan Goal 3: Identify and develop information on areas of pressing concern regarding the administration of elections for Federal office and issue recommended improvements, guidance, translations, and best practices as required by HAVA, and carry out responsibilities under the National Voter Registration Act.

Outcome: As a result of this goal: 1) the election community and other key stakeholders improve the administration of elections for Federal office on the bases of pertinent, impartial, timely, and high-quality information, recommendations, guides and other tools on election and voting issues and 2) eligible citizens use the mail voter registration application to register to vote, register with a political party, or report a change of name, address, or other information.

	FY 2012 Study, Guide, and Assist Enacted Budget
Direct Costs	\$1,029,975
Indirect Costs	1,047,119
Total, Study, Guide, Assist	\$2,077,094

Goal 3 is administered by the Research, Policy and Programs division. Goal 3 consists of four strategic objectives: 1) complete research on issues that improve the administration of elections for Federal office and expeditiously report on those subjects and election data as deemed relevant by the Commission; 2) identify and collect required and useful data on election administration practices and on voting methods and demographics, and make recommendations for improving the quality of practices, methods, and data; 3) issue guides, translations and other tools that are timely and useful; and 4) update and maintain a national mail voter registration application and submit a report on the impact of the NVRA to the Congress as required by the NVRA.

The Research, Policy and Programs division administers:

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- 1) The Election Management Guidelines and quick start guides, which provide information to State and local election officials and voters on various topics, such as technology in elections; voter accessibility; election office administration; pre-election activities including ballot preparation and design; voting system security; contingency planning; voting system certification; voting system acceptance testing; and parallel testing. The materials promote a proactive approach to election management;
- 2) Election research on mandated topics as described in HAVA;
- 3) The biennial Election Administration and Voting Survey, which includes mandatory reports to Congress on the impact of the National Voter Registration Act (NVRA) on the Administration of Elections for Federal office and the Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA);
- 4) The Language Accessibility Program, which provides informational materials on the Federal election process and election terminology in languages other than English;
- 5) Responsibilities under the National Voter Registration Act regarding the national mail voter registration form; and
- 6) Provisions of HAVA requiring voluntary guidance to the State on provisional voting and statewide voter registration databases.

Goal 3 FY 2012 Accomplishments

- Release of the results of the 2010 Election Administration and Voting Survey to Congress and the general public. This included a data overview and summary, along with a Frequently Asked Questions survey.
- Completed final draft of a study on the use of Social Security numbers for the purpose of voter registration.
- Completed final draft of a study on Vote Recounts and Contests describing laws and procedures in each state.
- Completed statement of work and awarded a contract to perform research on administering elections in urban and rural areas.
- Initiated the 2012 Election Administration and Voting Survey (EAVS).
- Conducted research on new jurisdictions and languages covered by Section 203 of the Voting Rights Act as determined by the 2010 census and considered its application to various minority language election resources.
- In accordance with HAVA, EAC has responsibility to implement portions of the National Voter Registration Act of 1993 (NVRA) that relate to the form and content of the national mail voter registration form and include submitting a biennial report to Congress on the impact of the NVRA. During FY 2012: staff received and processed State requests for modifications to the state-specific instructions on the National Mail Voter Registration Form from Delaware, Florida, Illinois, Maine, Louisiana, Virginia and Washington State;

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made a series of minor technical corrections to the NVRA form so that it was 508 Complaint in English and easy to complete (fillable) when downloaded from EAC's website; and developed an interim procedure for processing state requests to modify their state-specific instructions on the national mail voter registration form. The procedure was approved by both the General Counsel and the Executive Director. The interim procedure will be used by Staff to process such requests until a quorum is established on the Commission.

- EAC program staff conducted a number of presentations and distributed material highlighting its educational resources at conferences and workshops around the country. For example, presentations in Washington, DC, San Diego and Boston highlighted key best practices and tips gathered from EAC research on topics such as poll worker recruitment and training, designing ballots, making contingency plans, ensuring voting accessibility and communicating with the public.
- In recognition of September as Voter Registration month, EAC staff developed a guide "Voting Tips To Enhance Your Voting Experience". In an effort to enhance the November voting experience, EAC distributed 30,000 of these voter's guides to each of the 55 State election offices.
- Program staff assisted in planning and executing a June roundtable discussion on EAC's clearinghouse of educational resource materials and was a regular contributor to EAC blog posts that offered helpful tips and best practices on effective election administration procedures.

Throughout the year and, on a continual basis, RPP division staff respond to requests from state and local election officials, Congress, the media and the public-at large for a range of materials including:

- Voter's Guides to Elections;
- Glossaries of Election Terms in various foreign languages;
- NVRA registration forms and accompanying state instructions for completing the form.

Staff also on a continuing basis:

- Clarified various data reported in the biennial EAC Election Administration and Voting Survey;
- Provided assistance regarding the completion of the Federal NVRA form;
- Responded to requests to clarify certain technical aspects of election procedures and processes, and;
- Met with numerous foreign delegations in order to explain the American election process and the role of the EAC.

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Strategic Goal Three: Study, Guide, and Assist FYs 2009 - 2012 Performance Measures

Performance Indicator	Type of Indicator	Planned	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual
Strategic Objectives						
<i>Complete research on relevant issues that improve the administration of elections for Federal office and expeditiously report on critical election administration subjects and data.</i>						
Start 100 percent of planned and funded projects each year.	Output	100%	100%	100%	100%	100%
Meet milestones for the completion of research projects in accordance with schedules and deliverables each year.	Output	100%	67%	100%	80%	90%
Disseminate all completed research project reports to stakeholders.	Output	100%	100%	100%	100%	100%
Establish, in Fiscal Year 2010, a baseline for measuring stakeholder use of EAC research and educational products to improve the administration of elections for Federal office. In subsequent years, increase the percentage of stakeholder use of EAC research products.	Output		NA	Baseline 50%	65%	65%
<i>Identify and collect required and useful data on election administration practices, voting methods, and demographics; and make recommendations for improving the quality of practices, methods, and data.</i>						
Establish a baseline in Fiscal Year 2009 on the accuracy and completeness of data reported by States in response to EAC surveys. Increase the accuracy and completeness of reported data in each of the succeeding years.	Output	Baseline 93% EDS 2004	100% response to EDS 2008	NA	97% response to EAVS 2010	NA
Include recommendations to improve election data collection and data provided to Congress in the biennial report on the Election Day Survey (EDS).	Output		Report submitted June 2009	NA	Report submitted June 2011	NA
Issue required reports [UOCAVA, NVRA, Vote Count/Recount FY 2011, Urban/Rural late FY 2012] to Congress by statutory deadlines.	Output	# varies by statute	2	1	2	1
<i>Issue guidance and administer programs that provide timely and useful information to election officials and voters.</i>						
Complete the "Voters Guide to Federal Elections" in languages currently covered under the minority language provisions of the Voting Rights Act by 9/2009	Output	Complete translations	Completed 10/2008			
Complete guidance regarding HAVA Section 301 by January 2012.	Output		NA	NA	Complete pending a quorum	Complete pending a quorum
Complete guidance regarding HAVA Section 302 by August 2010.	Output		NA	20%	35%	35%
Complete guidance regarding HAVA Section 303 by June 2011.	Output		NA	NA	Complete pending a quorum	Complete pending a quorum
Translate the <i>Voter's Guide to Federal Elections</i> in languages currently covered under the minority language provisions of the Voting Rights Act on the basis of the 2010 Census.	Output		NA	NA	Updated and completed additional translations	Updated and completed additional translations
Complete initial materials for addressing the needs of Native Americans and Alaska Natives by October 2010.	Output		NA	Planned for completion in FY 2012	Completed glossaries of election terms	Completed glossaries of election terms

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Complete interactive glossaries by March 2010.	Output		NA	Contracted for glossaries	Completed	Completed
Establish a baseline for measuring stakeholder use of EAC teaching materials by the end of Fiscal Year 2010. In subsequent years, increase the percentage of stakeholder use of EAC teaching materials.	Output		NA	Baseline 50%	TBD	TBD
<i>Enact regulations governing the national mail voter registration application, collection of voter registration and related data, and reporting to the Congress as required by NVRA.</i>						
Begin NVRA rulemaking process and adopt interim procedures by January 2010.	Output		NA		Completed comment process 2/2011. Complete pending quorum	Completed comment process 2/2011. Complete pending quorum
Complete NVRA rulemaking process and issue guidance by October 2012 and make new regulations effective immediately following the Federal general election of 2012.	Output		NA	60% -- Completed comment analysis June 2011	Issue final regulations and guidance pending a quorum	Issue final regulations and guidance pending a quorum
Issue the biennial report on the impact of NVRA by June 30 of each odd-numbered year.	Output		Completed on time 6/30/09	NA	Completed on time 6/30/11	NA
Complete feasibility study of making the national mail voter registration application available in all languages covered by the Voting Rights Act by June 2010.	Output		NA	Analysis completed 10/2009		

Goal 4 – Test and Certify

Strategic Plan Goal 4: Build public confidence in elections by testing and certifying voting systems to improve system security, operation and accessibility.

Outcome: Voting equipment operates more reliably and securely and is more accessible to the disabled. States use the EAC testing and certification program to ensure voting systems meet standards.

	FY 2012 Test and Certify Enacted Budget
Direct Costs	\$ 936,270
Indirect Costs	1,832,457
Total, Test & Certify	\$2,768,727

Goal 4 is administered by the Voting System Testing and Certification (T&C) division. The goal consists of three strategic objectives: 1) develop and update the voluntary voting system guidelines (VVSG); 2) provide for the accreditation of independent laboratories qualified to test

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voting systems to Federal standards, and for the revocation of accreditation as appropriate; and 3) administer the testing, certification, decertification, and recertification of voting system hardware and software by accredited laboratories.

Under HAVA, EAC is responsible for assisting States with improvements to voting systems through the distribution of Federal funds and by providing a voluntary Federal certification program. The Federal government's first voluntary Voting System Testing and Certification Program for the States also provides transparency to the testing process including the publication of all test plans, test reports and related information as well as reports on anomalies in the found during use in an election.

Comprehensive procedures for the program are detailed in EAC's Voting System Testing and Certification Program Manual. The program also:

- supports local election officials in the areas of acceptance testing and pre-election system verification for EAC-certified systems,
- increases quality control in voting system manufacturing by means of periodic manufacturing facility audits of EAC-registered manufacturers, and
- provides procedures to manufacturers for the testing and certification of voting systems to specified Federal standards as required by HAVA Section 231(a)(1).

In addition to its certification duties, the unit works in a cooperative and coordinated manner with the National Institute of Standards and Technology (NIST) to evaluate and accredit voting system test laboratories (VSTLs). As a condition of accreditation, all VSTLs must hold a valid accreditation from NIST's National Voluntary Laboratory Accreditation Program (NVLAP). NVLAP accreditation is the primary means by which EAC helps ensure that each VSTL meets and continues to meet the technical requirements of EAC's program. NVLAP uses international standards (ISO 17025) to review each VSTL's technical, physical and personnel resources, as well as its testing, management, and quality assurance policies and protocols. EAC monitors VSTLs through a comprehensive compliance management program. Further, EAC performs on-site reviews to ensure that VSTLs meet all program requirements.

In addition to voting system certification and laboratory accreditation, EAC along with its Standards Board, Board of Advisors, and Technical Guidelines Development Committee (TGDC) (chaired by the director of NIST and comprised of 14 other members) work together to update and implement voluntary testing guidelines for voting systems. Efforts continue into research and development of alternative guidelines for the next iteration VVSG document. These areas include Software Independence and related alternatives; Common Data Format; improving voting system accessibility; EPollBooks; and Penetration Testing.

Goal 4 FY 2012 Accomplishments

In FY 2012 in the area of voting system certification, EAC:

- Certified four voting systems;
- Drafted and published six Requests for Interpretation (RFIs) to VVSG;
- Drafted and published two Notices of Clarification to Testing & Certification Program Manuals;
- Published a Final Formal Investigation Report on a voting system;
- Developed and implemented major updates to the EAC's Virtual Review Tool (VRT). EAC is currently rolling out the addition of the Engineering Change Order (ECO) Database to the VRT tool to track engineering change orders for all EAC certified voting systems;
- Published the Certification Timeline for ES&S Unity 3.4.0.0 voting system;
- Conducted a Unisyn Manufacturer Facility audit of the manufacturing process;
- Observed the installation and acceptance testing of a voting system in Cuyahoga, Ohio; and
- Observed the acceptance testing of a voting system in Arlington, Virginia.

There are currently four voting systems in active test campaigns.

In the area of Voluntary Voting System Guidelines (VVSG) and Test Suites, in FY 2012, EAC received a new revised version of VVSG 1.1 from NIST. EAC incorporated NIST comments and new RFI's into VVSG 1.1. EAC posted the second draft version of VVSG 1.1 for a 90 day Public Comment period beginning September 6, 2012. Subsequent comments regarding the comment period coinciding with the General election persuaded EAC to revise the Public Comment period to 130 days.

Regarding laboratory accreditation in FY 2012, EAC performed a laboratory re-accreditation audit; an EAC and NVLAP initial laboratory audit; and a lab re-accreditation audit.

Further, in FY 2012, EAC attended meetings with NASED; Election Center; EVN, technical reviewers; manufacturers; Pennsylvania State Election Officials; the Technical Guidelines Development Committee (TGDC); NIST; a voting system manufacturer for the kick-off overview meeting on a new system in Omaha, Nebraska; with election officials in Indianapolis, Indiana on State Certification; and USENIX on voting technology.

Finally, EAC published the Survey of Internet Voting (SIVAR) document on the EAC web site.

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Strategic Goal Four: Test and Certify FYs 2009-2012 Performance Measures

Performance Indicator	Type of Indicator	Planned	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual
Strategic Objectives						
<i>Develop and update the VVSG.</i>						
Produce updates to the VVSG in Fiscal Years 2010 and 2013.	Output			Revised; Commissioners need to adopt	VVSG updated 1/	Public Comment for VVSG 1.1 (Need Commissioners to adopt)
<i>Provide for the accreditation and revocation of accreditation of independent, non-Federal laboratories qualified to test voting systems to Federal standards.</i>						
Complete accreditation reviews for all laboratories recommended to EAC by NIST and for all emergency actions within 90 days.	Output	100% complete in 90 days	66% complete in 90 days	66% complete in 90 days	75% complete in 90 days	50% (1 of 2) complete in 90 days
Test and document the results of the review of compliance with procedures by 100 percent of accredited laboratories every 2 years.	Output	100%	100%	100%	100%	100%
<i>Administer the testing, certification, decertification, and recertification of voting system hardware and software by accredited laboratories.</i>						
Conduct at least one review of a manufacturing facility of a registered manufacturer at least once every 4 years.	Output			2 reviews		N/A No manufacturing of new voting systems in 2012
Plan to conduct field reviews for at least 50 percent of jurisdictions that volunteer for reviews.	Output			Reviewed 50% of jurisdictions	Reviewed 100% of jurisdictions requesting reviews	Reviewed 100% of jurisdictions requesting reviews
Respond to requests for interpretations of voting system standards within 45 days (measures may be modified after EAC determines average number of requests).	Output	45 days	52.4 days (40% on target)	52.4 days	48 days	53.5 days (75% in 30 days or less.)

1/ Currently referred to as VVSG Version 1.1.

Note: does not include the measure, "Test 100% of systems qualifying for testing each year." The content of the measure will be clarified with Commissioners after a quorum is established.

Goal 5 Manage

Strategic Plan Goal 5 consists of one clear-cut objective: Implement a high performance organization.

Goal 5 is administered by the Commissioners, the Standards Board, the Board of Advisors, the Technical Guidelines Development Committee, Executive Director, Chief Operating Officer and Chief Financial Officer with support from the Offices of the General Counsel and Administration.

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Key Performance Measures

- Implement 90 percent of the OIG audit recommendations within agreed upon timeframes.
- Meet annual performance measures.

EAC reports to Congress and the Inspector General on the status of 82 OIG audit recommendations made as of March 2008. To date, only two of the 82 recommendations remain open. Two of the open recommendations require a quorum of the Commission for final resolution.

Regarding annual performance measures, the agency was successful in improving the most recent staff satisfaction ratings on the 2011 annual employee survey. Agency directors responsible for implementation of the EAC Strategic Plan goals report on their division metrics in the Agency Financial Report in November, the Annual Performance Report along with the Congressional Budget Justification in February, and on planned metrics in the OMB Budget Justification each September.

For FYs 2009 through 2011, EAC received unqualified audited financial statement opinions. From April 2009 through late September 2011, EAC had a full-time staff accountant. However, the auditors were unable to opine on the FY 2012 financial statements. This was due primarily to transfer of financial services from one federal agency to another late in the fiscal year and running out of time to complete the conversion before end-of-year financial statements were due. Had the transfer of data between the providers been timely, the internal controls used by the providers been compatible, and the new provider not been upgrading its financial system for other clients, we believe that the audit opinion for FY 2012 would have been unqualified.

During FY 2012, EAC was in a position where we had to take the risk of changing financial services to another federal agency as a condition for obtaining procurement services via memorandum of understanding with another federal agency. EAC's former procurement services provider was no longer able to provide support due to staffing constraints, and no other agency contacted was able to provide established procurement services for the same reason. The decisions to outsource procurement services and not hire a full-time staff accountant were made: 1) to increase efficiency by tapping into administrative services provided by other agencies; 2) in response to long-standing criticism that EAC has too many administrative staff at the expense of program staff; and 3) to potential elimination or dismantling of the agency and proposed large cuts to the agency's operations budget.

Efficiency increased with automation of travel, procurement and purchase card systems for the first time, but it became apparent that even though EAC is a micro-agency, a full-time staff accountant with knowledge of agency programs and operations is critical to our success. EAC

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hired a full-time staff accountant with a CPA and extensive federal accounting experience in FY 2013. An action plan to address audit findings and restore our previous level of agency controls has been developed. The action plan includes detailed procedures and training related to advances, accruals, and accounts receivable; and a review of accounting treatment for FY 2012 financial entries. It is expected that issues described in the auditors' report will be resolved quickly.

EAC financial staff complete assessable unit risk assessment questionnaires and individual letters of assurance, and the Chief Operating Officer and Acting Executive Director provides a letter of assurance. The letters of assurance are rolled into the CFO's Annual Statement of Assurance.

EAC will continue to focus on resolution of issues identified in audits, setting up sound systems and policies and procedures, maximizing use of staff and financial resources, and training EAC staff on financial management processes and their responsibilities.

Performance Data Collection and Validation

Managing for results and producing an Annual Performance Plan requires valid, reliable and high-quality performance measures and data. EAC is committed to the continuous improvement of its performance and financial management data. To this end, EAC verifies mandatory source documentation, and documentation of calculation methodology for performance indicators to provide reasonable assurance that the reported programmatic performance data is relevant and reliable.

Strategic Goal Five Manage FYs 2009 - 2012 Performance Measures

Performance Indicator	Type of Indicator	Planned	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual
Strategic Objective						
<i>Implement a high performance organization</i>						
Obtain a clean opinion on agency financial statements by FY 2010	Outcome		Unqualified opinion received	Unqualified opinion received	Unqualified opinion received	Disclaimer opinion received
Institute an internal integrated budget and financial management system in FY 2010			Established CFO department 2/2010	NA	NA	NA
Implement 90 percent of the OIG audit recommendations within agreed upon timeframes.	Outcome	90%	77% of outstanding operational recs. were resolved	100% of FY 2010 operational recs. implemented on time; 97.6% of operational audit recs. made prior to FY 2010 resolved (2 of 82 outstanding)	No overdue grants management decisions as of 9/30/2012; 2 of 82 operational audit recs outstanding	No overdue grants management decisions as of 9/30/2012; 2 of 82 operational audit recs outstanding

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