

APPENDIX A

THE U.S. ELECTION ASSISTANCE COMMISSION

**FISCAL YEAR 2014
INTERIM ANNUAL PERFORMANCE REPORT**

February 2, 2015

U. S. Election Assistance Commission
Fiscal Year 2014 Annual Performance Report

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Overview

In December 2014, the U.S. Election Assistance Commission (EAC) presented a fiscal year (FY) 2014 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 Annual Performance Report for FY 2014 in conjunction with the FY 2016 Congressional Budget Justification. This is the seventh year EAC has undergone a financial statement audit pursuant to the Accountability of Tax Dollar Act of 2002.

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 2014, 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:

Strategic Plan Goals and Organizational Structure Alignment

EAC adopted its first five-year Strategic Plan Fiscal Years (FYs) 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:

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.

2. Fund and Oversee

Deliver and manage Federal funds effectively.

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.

4. Test and Certify

Build public confidence in elections by testing and certifying voting systems to improve system security, operation, and accessibility.

5. Operate

Achieve organizational and management excellence.

EAC's program offices are aligned with each of the first four goals in the Plan: Communications; Grants Management and Inspector General; Research, Policy and Programs; and Testing and Certification. Goal 5 encompasses costs needed to support the programs such as HAVA-mandated positions, staff needed to comply with federal laws such as the Federal

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Information Management Security Act; rent, information technology and financial management services.

Allocation of Costs to the Programs

Costs specifically identified with each of these programs such as assigned personnel costs and specific program contract costs are allocated to the programs directly. Other general agency overhead is allocated to the programs based on staffing levels of the programs. This methodology is outlined in EAC's Cost Allocation Model and is reviewed each year by staff and independent financial statement auditors to ensure the accurate allocation of expenses to each program.

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.

Performance Indicators

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: Congress, Federal agencies, State and local election officials and the public receive reliable, accurate, and non-partisan information about administering, conducting and participating in Federal elections and how, where, and when Americans vote.

	FY 2014 Enacted Budget Communications
Direct Costs	\$677,274
Indirect Costs	295,668
Total	\$972,942

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Goal 1's aim of communication of timely and accurate information is the responsibility of the Communications and Clearinghouse division.

Areas of Responsibility

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 inquiries
- External communications
- Congressional relations
- 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 agency's 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.

FY 2014 Accomplishments

The Communications and Clearinghouse Division began Fiscal Year 2014 with a focused effort on providing information and best practices to election officials and voters in the remaining weeks prior to the 2014 November election. EAC maintained the goal of building a community of knowledge and expertise that could save election officials time and money in preparation for the 2014 Federal election cycle.

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, election officials are able to 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.
- Events finder: a comprehensive presentation of all EAC public events, including meetings, hearings and roundtable discussions.

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- 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

- Blog posts provide periodic election updates and highlight program activities including: EAC resources; election updates; voting system testing updates to track progress made on EAC voting system certification; information on absentee and early voting; hurricane contingency plans; State election information; post-election information; roundtables, workshops and symposia; public comments on the test laboratory program manual and the 2014 Election Administration and Voting Survey/Uniformed and Overseas Citizens Absentee Voting Act Survey; Engineering Change Order (ECO) database for State users to better handle the test matrix of the Voluntary Voting System Guidelines requirements; and ongoing blog posts covering election-related topics to answer frequently asked questions and provide critical or time-sensitive information to stakeholders and the media;
- Used @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 Twitter hashtags where election officials and the public can discuss preparation for Federal elections. The number of EAC Twitter followers grew from 1,602 to 1,968 from October 2013 through September 2014;
- Provided program activity 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;
- EAC delivered information and updates to election officials and stakeholders about: (1) 2012 survey report data on the ability of civilian, military and overseas citizens to successfully cast a ballot; (2) the voting system certification program; and (3) remaining HAVA funds available to States; and
- As requests were received from election officials, EAC continued to add more links to State & local election social media sites.

Post 2012 Election: The Roundtable Series of Public Discussions

In Fiscal Year 2014, EAC hosted two public roundtable discussions which followed the series of prior EAC roundtables about topics and initiatives in preparation for the 2014 Federal election cycle. In January, EAC hosted a follow-up post-election roundtable to share best practices for addressing some of the challenges presented during the election cycle, discussed at an earlier roundtable, such as the response to Hurricane Sandy. A second roundtable was held in May to discuss the results of grant-funded work and how recent innovations in accessibility research may be applied to the future of election administration and voting systems. Both roundtables were webcast live and featured a live Twitterfall. Questions and comments were taken from the

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public through the webcasts. Participants included election officials and subject matter experts who provided real world solutions to the issues facing election officials and voters in preparation for the 2014 elections. EAC distributed press advisories to national media daybooks and contacts, and to the home State/local media outlets representing roundtable participants. EAC also publicized and promoted participation in two EAC/National Institute of Standards and Technology (NIST) events: a workshop on accessible voting technology, with approximately 70 participants; and a symposium on the future of voting systems, attended by about 75 participants. On-demand webcasts of EAC's yearlong series of discussions are available on www.eac.gov.

- **Informing Change: A Review of Events and Issues of the 2012 Elections Cycle** (January 9, 2014). Reviewed shared best practices for addressing some of the challenges presented during the 2012 election cycle. EAC heard from State and local election officials, poll workers and end users, advocates, leading academics, researchers and observers of the election process. Participants shared ideas and strategies for improving the administration of elections in the U.S. The objective was to identify which aspects of the process might be improved to begin developing best practices for use in future elections. C-SPAN covered the event via webcast.
- **Transforming Election Administration, Voting System Accessibility, and the Certification Process** (May 9, 2014). Discussed the results of grant-funded work and how recent innovations in accessibility research may be applied to the future of election administration and voting systems. The May 9 roundtable continued discussions from the Future of Voting Systems Symposium and the Accessible Voting Technology workshops:
- **EAC/NIST Accessible Voting Technology Research Workshop** (April 1-2, 2014). EAC and NIST hosted a workshop to discuss current and future research in accessible voting technology, and the transition of this research to industry. Topics included: Innovative assistive applications and techniques; New approaches to accessibility in voting; Accessibility research benchmarks and results; Transitioning research to industry; New and existing devices that provide accessible access to elements of the voting process; and Challenges in accessible voting.
- **EAC/NIST Future of Voting Systems Symposium** (February 26-28, 2014). EAC and NIST hosted a symposium to explore emerging trends in voting system technology with the election community at large. Topics included: Why some jurisdictions are exploring building their own voting systems; Trends in voting system technology acquisition and deployment plans; How election officials, manufacturers, young voters, and academics view the future of voting system technologies; Alternative standard development processes for voting systems; and Alternative methods for voting system testing and certification at the Federal and State levels.

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Performance Indicator	Type of Indicator	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Planned
<i>Operate the EAC clearinghouse effectively.</i>						
Issue Clearinghouse policy within 6 months.	Output	In final draft	Final adoption contingent on Commission quorum	Final adoption contingent on Commission quorum	Final adoption contingent on Commission quorum	Adopt Clearinghouse policy
Post applicable information on the website within 24 hours of receipt.	Output	100% of data posted in 24 hours	100% of data posted in 24 hours	100% of data posted in 24 hours	100% of data posted in 24 hours	100% of data posted in 24 hours
Establish a separate location on the EAC website in 2010 to present and manage all clearinghouse information.	Output		Pending approval of Clearinghouse policy	Pending approval of Clearinghouse policy	Pending approval of Clearinghouse policy	Establish a separate location for the Clearinghouse
Distribute at least one email update per month to stakeholders about the web-based Clearinghouse.	Output	50 news-letters; 13 updates	12 updates distributed	29 updates distributed	36 updates distributed	12 updates distributed
<i>Respond to outside requests about EAC timely and accurately.</i>						
Issue policies and procedures to process requests from outside the agency by September 2009.	Output	In final draft	Pending approval of Clearinghouse policy	Pending approval of Clearinghouse policy	Pending approval of Clearinghouse policy	Issue policies and procedures
Distribute media and Congressional inquiry and response log to EAC staff on a daily basis.	Output	Inquiries distributed on receipt, logs sent daily	Inquiries distributed on receipt, logs sent daily	Q&A summaries distributed and included with monthly reports	Q&A summaries distributed and included with monthly reports	Inquiries distributed regularly
Respond to FOIA requests in accordance with requirements.	Output	Responses in 20 business days	Respond in 20 business days	Respond in 20 business days	Respond in 20 business days	Respond in 20 business days
Respond to 75 percent of non-FOIA requests within 72 [business] hours. [Excludes requests with Congressional deadlines.]	Output	100% 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%	52 updates	52 updates	52 updates	52 updates
Produce an annual FOIA report to chronicle requests and responses.	Output	Final report on time 1/31/11	Final report on time 1/31/12	Final report on time 1/31/13	Final report on time 1/31/14	Final report issued on 1/31/15
Issue quarterly press releases summarizing EAC activities.	Output	28 press releases	4 press releases	67 blog posts in lieu of press releases	58 blog posts in lieu of press releases	4 blog posts in lieu of press releases
Provide regular briefings regarding EAC activities to Congressional staffers.	Output	2 formal briefings	2 formal briefings	2 formal briefings	2 formal briefings	2 formal briefings
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 1/31/11	Report disseminated 1/31/12	Report disseminated 1/31/13	Report disseminated 1/31/14	Disseminate Report 1/31/15
Issue at least 12 EAC newsletters per year.	Output	50 newsletters	42 newsletters	29 newsletters	21 news-letters	12 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 State 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 2014 Enacted Budgets Grants Management and Office of the Inspector General (OIG)	
Grants Management	\$ 414,091
OIG	1,157,241
Indirect Costs	1,256,590
Total	\$2,827,922

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.

Areas of Responsibility

The Grants Management Division:

- Provides technical assistance to the States on administering Federal funds;
- Awards and monitors discretionary grant programs that have included the College Program, Mock Election Program, Military Heroes Initiative, Voting System Pre-Election Logic and Accuracy Testing and Post-Election Audit Initiative, and the Accessible Voting Technology Initiative;
- Processes and disburses payments to States and discretionary grant recipients;
- Tracks and reviews the content of financial and performance reports submitted by States and discretionary grant recipients;
- Reviews and resolves audit findings applicable to EAC programs; and
- Examines amended State Plan submissions.

FY 2014 Accomplishments

- Disbursed Help America Vote Act of 2002 (HAVA) Section 251 Requirements Payment grants to States certifying compliance for the FY 2009 through FY 2011 award years (\$2,070,509 for FY 2009 to two States; \$1,449,356 for FY 2010 to two States; and \$172,994 for FY 2011 to five States);
- Provided technical assistance to grant recipients responsible for establishing and maintaining internal controls that reasonably ensure compliance with federal laws,

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regulations, and the provisions of the authorizing legislation and grant agreements for the applicable grant programs;

- Awarded a technical assistance contract to support States in preparing and responding to Office of the Inspector General (OIG) audits of HAVA funds;
- Closed seven of eight open OIG audits of State use of HAVA funds; and
- Monitored and provided technical assistance for States and discretionary grantees.

Performance Indicator	Type of Indicator	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Planned
<i>Accurately and timely disburse Federal financial assistance administered by EAC.</i>						
Award grants within established timeframes.	Output	All Disability and first round of L&A; 100% of Section 251	N/A (lack of Commissioner quorum for L&A)	N/A (lack of Commissioner quorum for L&A)	N/A (lack of Commissioner quorum for L&A)	100% of appropriated funds
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%	100%	99%	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 w/in 30 days of knowledge of conditions in writing in all cases and by phone as time permits to offer assistance and answer questions.	Output	100%	Yes	Yes	Yes	Meet goal by deadline
Resolve 100 percent of audit findings within established time frames.	Output	No overdue management decisions as of 9/30/2010	85% audit resolution	100% audit resolution	88% (7 out of 8 audits)	100% audit resolution
Conduct site visits to at least three high priority grantees each year.	Output	2 site visits	2 site visits	0 site visits	3 site visits	3 site visits
Negotiate indirect cost rates within 30 days of receipt of acceptable indirect cost proposals.	Output	Submitted requests for rate negotiation to HHS on receipt	Proposals submitted to HHS on receipt	Proposals submitted to HHS on receipt	Proposals submitted to HHS on receipt	Proposals submitted to HHS on receipt
Issue the annual report to Congress on the expenditure of HAVA funds by July 15 each year.	Output	Report issued with CBJ/APR				Report to be submitted with FY 2016 CBJ and FY 2014 APR
<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	Submitted one AO before quorum was lost	N/A	N/A	N/A	100%
Offer at least one workshop per year.	Output	1 webinar, 2 presentations	1 webinar	Provided technical assistance on a one-on-one basis	1 webinar	1 webinar

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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 85%	90%	100%	100%	100%
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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 (NVRA).

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 2014 Enacted Budget Study, Guide and Assist
Direct Costs	\$969,894
Indirect Costs	770,527
Total	\$1,740,421

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 Congress as required by the Act.

Areas of Responsibility

The Research, Policy and Programs (RPP) Division:

- Conducts research on election administration topics as mandated by Congress and at the discretion of the Commission;
- Administers the biennial Election Administration and Voting Survey (EAVS);
- Administers the National Mail Voter Registration Form as prescribed by the National Voter Registration Act of 1993 (NVRA), also known as “Motor Voter;”

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- Administers the Election Management Guidelines and Quick Tips Program to help election officials promote secure, efficient, accurate, and accessible elections by providing information on topics such as Ballot Design, Polling Place Management, Voting Accessibility, Communicating with the Public, Contingency Planning, Managing Change in an Election Office, Media and Public Relations, and Developing an Audit Trail for the Verification of Votes;
- Manages the Language Accessibility Program to provide informational materials on the Federal election process and glossaries of election terminology in English and six other required languages, and translates the National Mail Voter Registration Form into ten languages other than English; and
- Provides materials to voters and election administration officials to facilitate their successful participation in Federal elections such as registering to vote.

Research and reporting is mandated by HAVA on topics such as the impact of the National Voter Registration Act of 1993 and on the Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA) for military and overseas voters' participation in Federal elections; the feasibility and advisability of establishing free absentee ballot return postage; vote recounts and contests; the feasibility of alternative voting methods such as electronic voting; the voting experiences of first-time voters who register to vote by mail; administering elections in urban and rural areas; and the feasibility and advisability of identifying voters by Social Security Number.

FY 2014 Accomplishments

Research:

- Published, delivered to Congress and posted on EAC's website all reports and data related to the 2012 EAVS including the Statutory Overview, the NVRA report, the UOCAVA report, and the general EAVS Report. Responded to inquiries regarding the 2012 EAVS data and responded to State's requests to post updates or corrections to their data files. In preparation for administering the 2014 EAVS, performed an assessment of the 2012 survey.
- Completed two Federal Register public comment periods on the 2014 EAVS. Performed a review and analysis of public feedback (consisting of 45 comments) from the Federal Register public comment periods, completed the Paperwork Reduction Act (PRA) package for the 2014 survey submission to Office of Management and Budget (OMB), responded to inquiries, and received final OMB approval with a clearance number for the survey. The clearance number is valid through April 30, 2017.
- Pursuant to an MOU reached between EAC and the U.S. Department of Defense Federal Voting Assistance Program (FVAP), the 2014 EAVS will include 12 additional FVAP questions. These questions are incorporated from the previous FVAP local election official survey. EAC staff, FVAP staff and each agency's contractors reached agreement

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on the final wording of the 2014 questions, rules that will be used to validate the UOCAVA data that States provide, and a timeline for the release of the FVAP report that will use 2014 EAVS data.

- EAC finalized a contract to administer the 2014 EAVS, analyze the data, and prepare a report summarizing the data.
- In consultation with the 2014 EAVS vendor, staff made final changes to the 2014 EAVS Supplemental Instruction Manual and the 2014 EAVS Statutory Overview.
- Reviewed and gave sign-off to a Government Accountability Office document referencing EAC data on provisional voting and voter registration.
- Administered a national survey and drafted a report on findings for HAVA Section 241(b)(15)-mandated study on Voting and Administering Elections in Urban and Rural areas.

Policy:

- Met with U.S. Department of Justice (DOJ) staff attorneys regarding pending court cases involving the States of Kansas and Arizona requests for EAC changes to the National Mail Voter Registration Form State instructions. Staff prepared documents and certifications of EAC materials related to the cases, including creating a notice for public comment in the Federal Register regarding a response to the Kansas court decision on *Kobach vs. EAC*.
- For follow-up to the Kansas court decision, worked with DOJ attorneys and other Federal agency staff to ensure: 1) prompt and proper posting of a Federal Register Notice; 2) cataloging and monitoring of public comments received in response to the Notice through the Federal Document Management System (FDMS) website occurred, and; 3) that 241 comments captured through the FDMS website were posted on Regulations.gov.
- Processed routine changes to the National Mail Voter Registration Form to update State instructions, and awarded a contract for translation services for foreign-language updates to State instructions for Georgia, New York and Tennessee. The updates were posted to EAC's website.
- Participated in senior management discussions related to updating the EAC strategic plan and completed the draft of the Study, Guide and Assist portion of the draft FYs 2015-2020 EAC Strategic Plan.

Programs:

- Updated EAC's Quick Tips (formerly referred to as Quick Start Guides) with the assistance of two former local election officials on: *Managing the Voting Process*;

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Educating Voters; Poll Worker Recruitment and Training; and Why Good Data Matters. Information contained in the Quick Tips was based on nine webinars moderated by a local election official, with two local election officials as speakers, as well as research on election jurisdictions across the country. Each session involved 45 to 50 election officials representing States throughout the country and the Territories.

- Quick Tips documents were drafted on the topics of: 1) *Serving UOCAVA Voters*, 2) *Conducting Audits*, 3) *Monitors at the Polls*, 4) *Administering Provisional Ballots*, 5) *Alternative Voting Methods*, 6) *Disaster and Contingency Planning*, and 7) *Managing Change in Elections*. These Quick Tips were published in early FY 2015.
- Fliers on “10 Tips to Enhance Your Voting Experience” and “14 Facts about Voting in Federal Elections” were written and posted to EAC’s website.
- In consultation with EAC’s communications staff, developed a social media program plan to promote the Quick Tips program and products through EAC’s social media.
- Staff performed ongoing program reviews of final program reports submitted by Mock Election and College Poll Worker program grantees.
- Created and widely disseminated Voter Tips cards and *Voters Guides to Elections* to the general public and to the 55 States and Territories.
- Hosted several briefings for foreign delegations regarding the EAC, the U.S. election system and voting process.

Performance Indicator	Type of Indicator	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY2015 Planned
Complete research on relevant topics that improve the administration of elections for Federal office and expeditiously report on critical election administration subjects and data.						
Meet milestones for the completion of research projects in accordance with schedules and deliverables each year.	Output	100%	100%	100%	100%	100%
Disseminate all completed research project reports to stakeholders.	Output	100%	100%	100%	100%	100%
Include recommendations to improve election data collection and data provided to Congress in the biennial report on the Election Day Survey.	Output	Report submitted June 2011	NA	Report submitted June 2014	N/A	Submit report June 2015
Issue required reports [UOCAVA, NVRA, EAVS] to Congress by statutory deadlines.	Output	3	4	3	3	2
Administer programs that provide timely and useful information to election officials and voters						
Complete guidance regarding HAVA Sections 301, 302, 303.	Output				Completed	
Establish a baseline for measuring stakeholder use of EAC teaching materials by the end of FY 2010. In subsequent years, increase the % of stakeholder use of EAC teaching materials.	Output	75%	85%	96%	85%	96%

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Begin NVRA rulemaking process and adopt interim procedures by January 2010.	Output		Complete pending a quorum	Complete pending a quorum	Complete pending a quorum	Procedures adopted
Complete NVRA rulemaking process and issue guidance by October 2012 and make new regulations effective immediately following the Federal general election of 2012.	Output	No further action due to absence of quorum	Issue final regulations pending a quorum	Issue final regulations pending a quorum	Issue final regulations pending a quorum	New regs adopted.
Issue the biennial report on the impact of NVRA by June 30 of each odd-numbered year.	Output	Completed on time 6/30/11	N/A	Completed on time 6/30/13	N/A	Complete on time 6/30/15

Goal Four – 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 voters with disabilities. States use the EAC testing and certification program to ensure voting systems meet standards.

	FY 2014 Enacted Budget Testing and Certification
Direct Costs	\$ 1,006,457
Indirect Costs	1,552,258
Total	\$ 2,558,715

Goal 4 is administered by the Voting System Testing and Certification 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 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.

Areas of Responsibility

Under the Help America Vote Act, EAC accredits voting system test laboratories and certifies voting equipment, marking the first time the Federal government has offered these services to the States. Participation by States in the program is voluntary. Staff works with the National Institute of Standards and Technology (NIST) to evaluate and accredit voting system test laboratories and the management of the voting system certification process.

The Testing and Certification Division:

- Assists States with voluntary certification of their voting systems;
- Supports local elections officials in the areas of acceptance testing and pre-election system verification;

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- Promotes quality control in voting system manufacturing through the EAC quality monitoring program;
- Provides procedures to voting system manufacturers for the testing and certification of voting systems to specified Federal standards as required by HAVA Section 231 *Certification and Testing of Voting Systems*.

EAC's voting system certification program establishes accountability through its Quality Monitoring Program which ensures, through various check points, that the voting systems used in the field are the same systems EAC has certified. For instance, under the program, EAC has the ability to conduct site visits to production facilities to determine whether systems produced are consistent with those that have received EAC certification. In addition, EAC collects reports from election officials regarding voting system anomalies. EAC reviews the reports, and disseminates the anomaly information to election officials. Furthermore, upon invitation or with permission from election officials, EAC conducts reviews of systems that are in use in the field.

More information about EAC's Voting System Certification and Testing Program is available in EAC's Frequently Asked Questions on eac.gov.

FY 2014 Accomplishments

- Certified six voting systems;
- Managed testing campaigns for five additional systems (testing not completed as of the date of this report);
- Processed the registration of one new voting system manufacturer;
- Drafted and published four Requests for Interpretation (RFIs) to the Voluntary Voting System Guidelines (VVSG);
- Drafted and published three Notices of Clarification (NOCs) to Testing and Certification Program Manuals;
- Continued development and implemented major updates to EAC's Virtual Review Tool (VRT), including roll-out of the Engineering Change Order Database to the VRT tool to track change orders for all EAC-certified systems. This tool was also made available to State Certification Authorities to assist them in reviewing change orders that may be presented for certification in their individual States;
- Audited two voting system manufacturing facilities;
- Conducted two Manufacturing Quality Assurance audits;
- Held a Technology Testing Agreement meeting between EAC, a Voting System Test Laboratory (VSTL), and a nontraditional voting system manufacturer;
- Performed two laboratory re-accreditation audits, and a follow-up to an initial new laboratory accreditation audit; and
- Held one EAC VSTL Meeting and one EAC Voting System Manufacturers Meeting.

In the area of VVSG and Test Suites, in FY 2014, EAC posted the second draft version of VVSG 1.1 on www.eac.gov for a 90-day Public Comment period. Subsequent comments regarding the comment period coinciding with the General election persuaded EAC to revise the Public Comment period to 130 days. Following the close of the comment period, EAC staff worked

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with NIST staff to address the comments and prepare the VVSG 1.1 revised draft document for final formatting for EAC Commissioner vote and approval.

The Certification division, in conjunction with NIST, held the “Future of Voting Systems” Symposium at the NIST facility February 26-28, 2014 and attended meetings with the National Association of State Election Directors; Election Center; Election Verification Network; EAC technical reviewers; voting system manufacturers; the Presidential Commission on Election Administration; a voting system manufacturer for the kick-off overview meeting on a new system in Austin, Texas; State Certification officials in Harrisburg, Pennsylvania; USENIX – EVT/WOTE on voting technology; and observed elections in Phoenix, Arizona and Arlington County, Virginia.

Performance Indicator	Type of Indicator	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Planned
<i>Develop and update the VVSG.</i>						
Produce updates to the VVSG in Fiscal Years 2010 and 2014. Plan for and produce updates to the VVSG in Fiscal Years 2015 and 2016.	Output		Public Comment for VVSG Version 1.1 pending adoption	Pending adoption	Pending adoption	Adopt VVSG 1.1; initiate development of next generation VVSG document
<i>Provide for the accreditation and revocation of accreditation of independent, non-federal laboratories qualified to test voting systems to Federal standards.</i>						
Meet or exceed the review and response timeframes related to laboratory accreditation or re-accreditation submissions contained in the Certification Division SOPs and <i>Voting System Test Laboratory Program Manual</i> .	Output				100%	95% complete in 90 days
Complete accreditation reviews for all laboratories recommended to EAC by NIST and for all emergency actions within 90 days.	Output	75% complete in 90 days	50% (1 of 2) complete in 90 days	100% complete in 90 days	Completed 2 re-accreditation reviews (100% in 90 days)	100% 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>						
Meet or exceed the review and response timeframes to voting system manufacturer and Voting System Test Lab (VSTL) Test Plan/Report submissions contained in the SOPs and Manual.						20 days or less for initial Test Plans/Reports; 10 days or less for amended Test Plans/Reports
Meet or exceed a one business day response timeframe for requests for assistance with EAC-certified voting system anomalies from State or local election officials.	Output					1 business day response time
Conduct at least one review of a manufacturing facility of a registered manufacturer at least once every 4 years.	Output		NA: No new voting systems manufactured in 2012	NA: No new voting systems manufactured in 2013	Completed two reviews (100%)	At least two manufacturing

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						facility reviews
Plan to conduct field reviews for at least 50 percent of jurisdictions that volunteer for reviews.	Output	Reviewed 100% of jurisdictions requesting reviews	Reviewed 100% of jurisdictions requesting reviews	N/A (no requests were made in FY 2013)	N/A (no requests were made in FY 2014)	Review at least 75% of jurisdictions requesting review
Respond to requests for interpretations of voting system standards within 45 days (measures may be modified after EAC determines average number of requests).	Output	48 days	53.5 day (75% in 30 days or less)	60.25 days (50% less than 36 days)	Processed one request for interpretation	45 days

Goal Five Operate

Strategic Plan Goal 5: Implement a high performance organization.

Outcome: EAC commissioners and staff proficiently carry out EAC’s strategic objectives. The three strategic objectives are to improve performance, strengthen internal controls, and maximize efficiencies. Key performance measures are to implement 90 percent of OIG audit recommendations within agreed-upon timeframes, and to meet and exceed annual performance measures.

Regarding the performance measure on implementing audit recommendations, there are only two recommendations out of 82 that remain open pending a quorum of the Commission for final resolution. For the metric regarding meeting annual performance measures, management works to foster a staff culture of accountability, improve employee satisfaction ratings, and increase agency effectiveness and efficiencies through continuous improvement of internal controls and operations. The agency was successful in improving the most recent staff satisfaction ratings on the 2012 annual employee survey.

Agency directors responsible for implementation of the EAC Strategic Plan goals report on their division metrics in the Agency Financial Report, the Annual Performance Report along with the Congressional Budget Justification, and on planned metrics in the OMB Budget Justification each September. Staff completes assessable unit risk assessment questionnaires and individual letters of assurance at the end of each fiscal year, which are reviewed and rolled into the agency’s Annual Statement of Assurance, which is presented in the Agency Financial Report.

EAC continues to focus on resolution of issues identified in audits, setting up systems, policies and procedures, working with managers on the relationship between budget and performance, maximizing use of staff and financial resources, and training EAC staff on financial management processes and their responsibilities. In FY 2014, EAC provided valuable financial management tools and support. All staff was offered internal control training on-site; Contracting Officer’s Representatives were offered financial report and accrual training; and managers held a retreat on updating performance measures in the draft EAC Strategic Plan for FYs 2015 to 2020. In 2014, the agency contracted with an outside entity to review and make independent recommendations to staff on all internal control processes at the agency.

During FY 2014, to reduce operating costs and increase organizational efficiencies, EAC:

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1) continued to work with the National Archives and Records Administration Federal Records Center on a paperless work environment; 2) relocated offices in October 2014, which resulted in a 75 percent decrease in rent. The move was consistent with OMB Memorandum 12-12 *Promoting Efficient Spending to Support Agency Operations*, and OMB Management Procedures Memorandum No. 13-02 *Freeze the Footprint* policy implementing guidance; 3) reassigned key internal functions; 4) equipped staff with laptop computers so they are able to telecommute two days per week from any location, helping ensure the agency is able to implement its continuity of operations plans if needed; and 5) contracted with four other federal agencies to increase efficiencies and take advantage of automated systems (procurement, travel, purchase card, and time and attendance) via interagency agreement.

For FYs 2009 through 2011, EAC received unqualified audited financial statement opinions. The auditors were unable to opine on the FYs 2012 and 2013 financial statements. This was due primarily to transfer of financial services from one federal agency to another, and to delays in decisions on treatment of an improper payment, respectively. EAC received an unmodified opinion on the FY 2014 financial statements.

In FY 2012, an action plan to address audit findings and restore our previous level of agency controls was implemented, detailing procedures and training related to advances, accruals, and accounts receivable; and a review of accounting treatment for FY 2012 financial entries was completed. FY 2013 audit recommendations were resolved. EAC plans on addressing issues identified by the auditors in the FY 2014 audit by the second quarter of the fiscal year. The results are available on eac.gov in the EAC FY 2014 Agency Financial Report.

Performance Indicator	Type of Indicator	Planned	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Planned
Strategic Objectives									
<i>Implement a high performance organization-improve performance, strengthen internal controls, maximize efficiencies</i>									
Obtain a clean opinion on agency financial statements by FY 2010	Outcome	Clean opinion	Clean opinion received	Clean opinion received	Clean opinion received	Disclaimer opinion received	Disclaimer opinion received	Clean opinion received	Clean opinion
Institute an internal integrated budget and financial management system in FY 2010			Established CFO department February 2009						
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 operations audit recs. made prior to FY 2010 resolved (2 of 82 outstanding)	No overdue grants mgt. decisions as of 9/30/11; 2 of 82 operational audit recs outstanding pending a quorum	No overdue grants mgt. decisions as of 9/30/12; 2 of 82 operations audit recs outstanding pending a quorum	No overdue grants management decisions as of 9/30/13; 2 of 82 operations audit recs outstanding pending a quorum	No overdue grants management decisions as of 9/30/14; 2 of 82 operations audit recs outstanding pending a quorum	90%

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