

APPENDIX

THE U.S. ELECTION ASSISTANCE COMMISSION

**FISCAL YEAR 2015
ANNUAL PERFORMANCE REPORT**

February 9, 2016

U. S. Election Assistance Commission
Fiscal Year 2015 Annual Performance Report

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Overview

In November 2015, the U.S. Election Assistance Commission (EAC) presented a fiscal year (FY) 2015 Agency Financial Report (AFR). The report described the 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. The EAC presented summarized performance data in the AFR, and provides as much detailed data as possible in the following Annual Performance Report for FY 2015 in conjunction with the FY 2017 Congressional Budget Justification. This is the eighth year the 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 2015, the 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

The EAC adopted its first five-year Strategic Plan Fiscal Years (FYs) 2009-2015 in March 2009. The plan was reviewed by the Office of Management and Budget, and presented to the EAC's Board of Advisors and Standards Board for comment. The 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 the 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 accessibility, security and functionality.

5. Operate

Implement a high-performance organization.

The EAC's program offices are aligned with each of the first four goals in the Plan: Communications; Payments and Grants Management and Inspector General; Research, Policy and Programs; and Testing and Certification. Goal 5 encompasses costs needed to support the

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programs such as HAVA-mandated positions, staff needed to comply with federal laws such as the Federal 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 the 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. The EAC is committed to the continuous improvement of its performance and financial management data. To this end, the 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

The 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 the EAC.

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

	FY 2015 Enacted Budget Communications
Direct Costs	\$483,939
Indirect Costs	736,684
Total	\$1,220,623

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Goal 1's aim of communication of timely and accurate information is the responsibility of the Communications and Clearinghouse division. The goal will be accomplished through three objectives: 1) operating the EAC clearinghouse effectively; 2) responding to outside requests about the EAC timely and accurately; and 3) conveying the results of the EAC's operations and accomplishments.

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:

- the 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.

The 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 2015 Accomplishments

In FY 2015, the Communications and Clearinghouse Division focused efforts on providing information and best practices to election officials and voters. The EAC maintained the goal of building a community of knowledge and expertise that could save election officials time and money in preparation for the 2016 Federal election cycle. Division staff notified stakeholders, media, and Congress that the EAC has new commissioners and that a quorum has been restored to conduct new policy business.

Website eac.gov

In FY 2015, division staff maintained: Events finder, a comprehensive presentation of all the EAC public events, including meetings, hearings and roundtable discussions; the Accessible Voting Resources page; a listserv for the EAC's newsletter and automatic program updates; and

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links to state and local election social media sites as they were received. Staff awarded a new website contract, and met with the website contractor's project manager and the EAC's program staff, sought feedback from advisory boards and stakeholders about changes needed before launch of the new website, and worked on implementing a new website security project.

Stakeholder Updates

The division publicized four public meetings, a symposium, a roundtable, and a summit; the EAC's educational materials; research products; and program activity updates. Dissemination of information occurred via five press releases, 16 newsletters, 23 announcements and Sunshine Act Notices, 34 blog posts, Facebook, Twitter account @EACgov, hashtag #EACvote, and 33 E-Alert automatic program updates on the EAC website. The information went to election officials; Congressional staff; academics; national, state and local media outlets; and other stakeholders.

The public meetings, symposium, roundtable, and summit were webcast live and featured a live Twitterfall. The corresponding meeting agendas, webcasts, reports, and transcripts, as applicable, are posted to the website.

Program updates included voting system certification; HAVA payments and grants funding charts and statistics, final grant reports, the Election Administration and Voting Survey (EAVS) 2014 report and data sets, and other EAC activities and election information.

Blog posts provided periodic election updates and highlight program activities including: the EAC's resources; Voting System Testing Updates; Aging Voting Technology; the EAC-NIST Public Working Groups for New Voting System Guidelines; Election Data Summit; Commissioner Notes from the Road; Top Ten Priorities of EAC Stakeholders; Listening Feedback; Future of Voting Systems Symposium; State/Local Voting Systems Search Map; Quick Start Guides & Tips for Election Officials; 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.

Facebook "Likes" increased 628.6 percent from October 2014 through September 2015. The number of the EAC's Twitter followers grew from 1,968 to 2,469.

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Note: screen shot as of October 15, 2015

Federal Advisory Committee Act (FACA)

- managed the successful completion of the Congressionally-mandated Annual Comprehensive Review (ACR) report to Congress for Fiscal Year 2014,
- published Sunshine Act Notices in the *Federal Register* for the Federal Advisory Committee Meetings,
- The EAC Committee Management Officer staff worked with the EAC's compliance desk officer at the General Services Administration's (GSA's) Committee Management Secretariat to reactivate the EAC's three advisory Federal Advisory Committee Act (FACA) boards. The process includes: selection of the EAC's Designated Federal Officers; charters and *Federal Register* Notices; notification of charter filings to the U.S. Senate Rules Committee, the Committee on House Administration, and the Library of Congress; posting the charters and the Technical Guidelines Development Committee nominations announcement on eac.gov, and updating the EAC's section on the GSA's FACA website with the new charters and documentation.

Freedom of Information Act (FOIA)

- completed thirteen FOIA requests for the EAC,
- responded to two FOIA requests received by other agencies involving communications between their employees and the EAC staff.

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Other

- delivered the EAVS report to Congress and issued a news release.
- submitted *Federal Register* Notices for publication of two concurring 30-Day Public Comment Periods for: 1) the EAC Voting System Testing and Certification Program Manual, Version 2.0, and 2) the EAC Voting System Test Laboratory Program Manual, Version 2.0.

Goal 1: Communicate Performance Measures

Performance Indicator	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Planned	FY 2015 Actual
<i>Operate the EAC clearinghouse effectively.</i>						
Post up-to-date, accurate, relevant and consistent information on the website, using state-of-the-art technologies within 24 hours of receipt.	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	100% of data posted in 24 hours
Distribute at least one email update per month to stakeholders about materials on the website.	50 news-letters; 13 updates	12 updates distributed	29 updates distributed	36 updates distributed	12 updates distributed	12 updates distributed
<i>Respond to outside requests about the EAC timely and accurately.</i>						
Issue policies and procedures to process requests from outside the agency.	In final draft					
Distribute media, Congressional and other stakeholder inquiries and responses to the EAC staff when responses are sent.	Inquiries distributed on receipt	Inquiries distributed on receipt	Q&A summaries distributed and included w/ monthly reports	Q&A summaries distributed and included w/ monthly reports	Q&A summaries distributed and included w/ monthly reports	Q&A summaries distributed and included w/ monthly reports
<i>Convey the results of the EAC operations and accomplishments.</i>						
Regularly issue blog posts, press releases, newsletters, email alerts to subscribers, and notifications to stakeholders and staff on the EAC's activities and election administration issues.	28 press releases, 50 newsletters, 52 weekly staff updates, initiated blog and twitter accounts	4 press releases, 42 newsletters, 52 weekly staff updates, 3 ongoing blogs on election topics to answer FAQs and provide time-sensitive data to stakeholders	67 blog posts in lieu of press releases, 29 newsletters, 29 emails to subscribers, 52 weekly staff updates	58 blog posts in lieu of press releases, 21 newsletters, 36 emails to subscribers, 52 weekly staff updates	30 blog posts, 5 press releases, 12 newsletters, 30 emails to subscribers, 52 weekly staff updates	34 blog posts, 5 press releases, 16 newsletters, 33 emails to subscribers, 52 weekly staff updates
Provide regular briefings regarding the EAC's activities to Congressional staff.	2 formal briefings	2 formal briefings	2 formal briefings	2 formal briefings	2 formal briefings	2 formal briefings
Produce the mandated annual report to Congress, that accurately captures the EAC's activities, by January 31 of each year for the preceding year ending September 30.	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	Disseminated Report 2/3/15

Note: all indicators are outputs

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 the EAC and use the funds appropriately to improve the administration of elections for Federal office in accordance with HAVA.

FY 2015 Enacted Budgets Payments and Grants Management and Office of the Inspector General (OIG)	
Payments and Grants Management	\$229,324
OIG	1,157,241
Indirect Costs	736,684
Total	\$2,123,249

Goal 2’s aim of delivering and managing Federal funds effectively is the responsibility of the Payments and Grants Management division and the Office of the Inspector General (OIG). The goal will be achieved via three strategic objectives: 1) accurately and timely disburse Federal financial assistance administered by the EAC, 2) effectively monitor Federal financial assistance administered by the EAC, and 3) provide technical assistance and guidance on the management of Federal financial assistance administered by the EAC to reduce the risk of inappropriate use of funds and accounting errors.

Areas of Responsibility

The Payments and 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, the Accessible Voting Technology Initiative, and the Election Data Collection Grant Program;
- 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 the EAC programs; and
- examines amended State Plan submissions.

FY 2015 Accomplishments

In FY 2015, the Payments and Grants Management division disbursed \$930,066 to three states certifying compliance with the provisions of HAVA. The division provided technical assistance

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to and monitored grant and payment recipients who are responsible for establishing and maintaining internal controls that will reasonably ensure compliance with Federal laws, regulations, the provisions of HAVA, and payments and grant agreements. Staff conducted three technical assistance and audit-related visits during the year.

The Payments and Grants Management division reviewed final grant financial and narrative reports. The division closed the Voting System Pre-Election Logic and Accuracy Testing & Post-Election Audit Initiative grants, and the Accessible Voting Technology Initiative grants. Further, staff closed three Office of the Inspector General audits of state use of HAVA funds, and two OMB Circular A-133 single audit reports that presented findings on HAVA funds use in FY 2015.

Goal 2: Fund and Oversee Performance Measures

Performance Indicator	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Planned	FY 2015 Actual
<i>Accurately and timely disburse Federal financial assistance administered by the EAC.</i>						
Award payments and grants within established timeframes.	All \$7M for 2 accessibility grants, and first round of L&A at \$1.5M to 12 grantees	N/A (no quorum)	N/A	N/A	100%	N/A
Submit State plans for publication in the <i>Federal Register</i> within 30 days of receipt of the plan.	100%	100%	100%	100%	100%	100%
Submit payment requests to the Bureau of the Fiscal Service within 10 days of receipt of acceptable requests/certifications.	100%	100%	99%	100%	100%	100%
<i>Effectively monitor Federal financial assistance administered by the EAC.</i>						
Review financial and performance reports and notify recipients of reporting anomalies or failures to file within 30 days of knowledge of conditions in writing in all cases and by phone as time permits to offer assistance and answer questions.	100%	100%	100%	100%	100%	100%
Resolve 100 percent of audit findings within established time frames.	No overdue management decisions as of 9/30/2010	85% audit resolution	100% audit resolution	88% (7 out of 8 audits)	100% audit resolution	60% audit resolution (3 of 5 audits)
Conduct site visits to at least three high priority payments and grant recipients each year.	2 site visits	2 site visits	0 site visits	5 site visits	3 site visits	3 site visits
Issue the annual report to Congress on the expenditure of HAVA funds with the annual Congressional Budget Justification.	Report issued with FY12 Congressional Budget Justification (CBJ)				Issue report with FY16 CBJ	Report issued with FY16 CBJ
<i>Provide technical assistance and guidance on the management of Federal financial assistance administered by the EAC to reduce the risk of inappropriate use of funds and accounting errors.</i>						
Submit all recommended policy and guidance concerning the administration of Federal financial assistance administered by the EAC to the Commissioners within established time frames.	Submitted 1 Advisory Opinion before quorum was lost	N/A	N/A	N/A	100%	100% -- 10 Advisory Opinions and a policy expediting responses to routine use of funds adopted

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Offer at least one webinar each year.	1 webinar, 2 presentations, series of teleconferences for the College Poll Worker and Mock Election Programs 1/	1 webinar; provided technical assistance (T/A) one-on-one for Sec. 251 funds & 4 discretionary grant programs	Provided T/A on a one-on-one basis for Sec. 251 funds and 4 discretionary grant programs	1 webinar; provided T/A for Sec. 251 funds and 2 discretionary grant programs	1 webinar	Provided T/A on a one-on-one basis, and in-office T/A
Respond to all phone and email inquiries by recipients about the use and administration of funds of within 24 hours.	85%	90%	100%	100%	100%	100%

1/ Teacher and School Administration Involvement, Sustainability Post Grant and Outreach Efforts for Community Involvement
Note: all indicators are outputs

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, issue research reports as required by HAVA, provide suggested best practices and translations of materials as required by HAVA, and carry out responsibilities under the National Voter Registration Act (NVRA).

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

	FY 2015 Enacted Budget Study, Guide and Assist
Direct Costs	\$1,075,709
Indirect Costs	942,130
Total	\$2,107,839

Goal 3 is administered by the Research, Policy and Programs division. Goal 3 consists of four strategic objectives: 1) collect and release data on certain election administration practices, on various voting methods and on various voting practices that are useful and required by HAVA; 2) administer programs and release information which provides timely and useful guidance for election officials and voters; and 3) administer the National Mail Voter Registration form.

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;

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- 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, updating states’ instruction in English and other required languages on eac.gov. Each state, the District of Columbia, and the territories have their own instructions on how to complete the form, with voter registration rules and regulations. The form is available on eac.gov in seven languages;”
- 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.

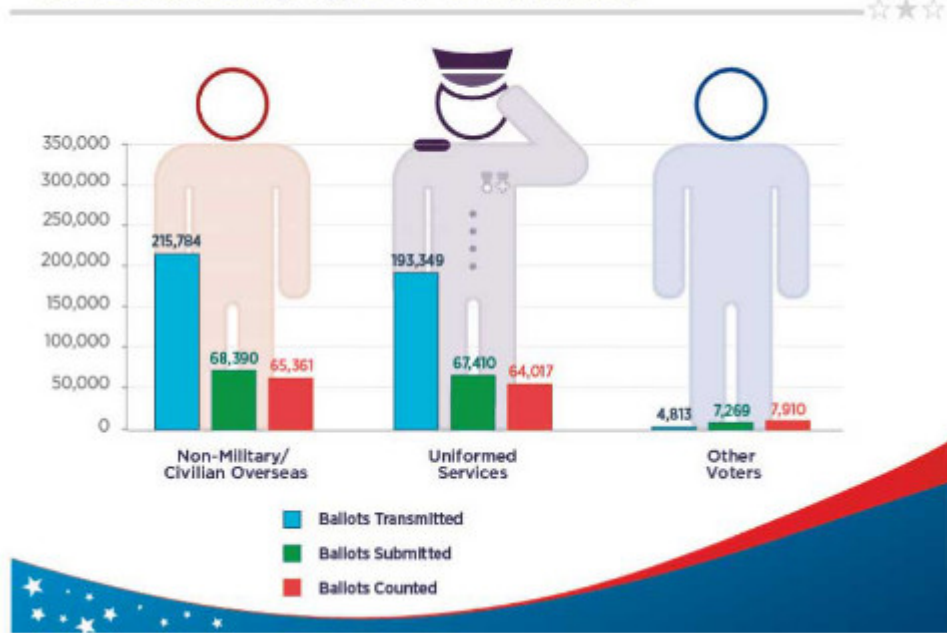
Research and reporting is mandated by HAVA on topics such as the impact of the National Voter Registration Act of 1993 and on the Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA) for military and overseas voters’ participation in Federal elections; the feasibility and advisability of establishing 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 2015 Accomplishments

Research:

- administered the 2014 Election Administration and Voting Survey (EAVS),
- delivered, “The 2014 EAC Election Administration and Voting Survey Comprehensive Report” to Congress on June 30, 2015. The report includes a Summary of Key Findings, the Report on the Impact of the National Voter Registration Act (NVRA) of 1993 on the Administration of Elections for Federal Office, and a Survey of Findings of the Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA),
- made available via the EAC’s website (www.eac.gov) the 2014 EAVS data sets, the 2014 Statutory Overview (a compilation of each state’s election laws and regulations), and data visualizations of the 2014 mid-term elections, e.g.:

Number of UOCAVA Ballots Transmitted, Submitted, and Counted by Type of Voter (2014)



- responded to ongoing inquiries from a variety of stakeholder groups regarding the 2014 EAVS data,
- in March 2015, the EAC Commissioners formally adopted a study and the findings required by the HAVA 241(b)(15) on administering elections in rural and urban areas,
- in August 2015, convened a national Election Data Summit at American University’s School of Presidential and Congressional Affairs. The event included a broad range of election officials and academics from throughout the United States. Participants considered best practices and uses of election data, the value to election officials and academics of data in election management, and ways to improve the data collected through the EAVS, and
- began planning and collaborating with U.S. Department of Defense Federal Voting Assistance Program (FVAP) on administering the 2016 EAVS.

Policy:

- responded to ongoing inquiries from states regarding the interpretation of various NVRA requirements,
- received, reviewed, and responded to a request from one state to make certain changes to its NVRA state instructions.

Programs:

- created the EAC “Resource Bank” toolkit containing 13 new Quick Tip Guides designed to assist election officials with administering elections. The toolkit provides information on a wide range of topics, such as managing change, using election data, employing poll

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workers, administering provisional ballots, serving UOCAVA voters, and educating voters. The toolkit also includes Facts on Voting in Federal Elections in seven languages, hyperlinks to certain election administration best practice materials, and a series of guides to help promote discussion around various election administration topics,

- distributed over 300 toolkits at state election administrator association conferences held over the summer and early fall of 2015,
- began developing two new Quick Tip Guides related to serving voters with disabilities.
- began a process for updating the Successful Practices for Poll Worker Recruitment, Training and Retention Guidebook. The new guidebook is planned for release for use in the 2016 Federal election cycle, and
- began a process for updating the EAC’s six foreign language glossaries of election terms.

Goal 3: Study, Guide, Assist Performance Measures

Performance Indicator	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY2015 Planned	FY2015 Actual
<i>Collect and release data on certain election administration practices, on various voting methods and on various voting practices that are useful and required by HAVA.</i>						
Meet milestones for the completion of research projects in accordance with schedules and deliverables each year. Disseminate completed research reports to stakeholders.	Worked on: 1) <i>Recounts and Contests Study</i> ; 2) <i>Best Practices for Provisional Voting</i> , 3) study on <i>Use of Social Security Numbers (SSNs) for Voter Registration</i>	Produced final drafts of: 1) study on the <i>Use of SSNs for Purposes of Voter Registration</i> ; 2) study on <i>Recounts and Contests</i>	N/A	N/A	Meet milestones, disseminate reports.	100%. Adopted and disseminated the mandated HAVA 241(b)(15) <i>Urban Rural Study Report</i>
Issue required reports (UOCAVA, NVRA-- collection of voter registration data to fulfill reporting requirements to Congress on the NVRA) to Congress by statutory deadlines, including recommendations to improve election data collection and data provided to Congress in the biennial report on the Election Administration and Voting Survey.	3 reports submitted 6/30/2011	N/A	3 reports submitted 6/30/2013	N/A	Submit 1 consolidated report by 6/30/2015	1 consolidated report submitted 6/30/2015
<i>Administer programs and release information which provides timely and useful guidance for election officials and voters.</i>						
Produce and distribute Quick Tip Guides (concise tips on a wide range of election topics with links to best practices in the administration of Federal elections) and Guidebooks.	Conducted 3 teleconferences with the EAC College Poll Worker and Mock Election grantees to solicit feedback for updating the <i>Guidebook for Recruiting College Poll Workers</i>	Developed a guide, “Voting Tips To Enhance Your Voting Experience,” and distributed 30,000 copies to the 55 State election offices.	Created and widely distributed, “Voter Tips” cards; conducted 9 webinars for election officials on <i>Best Practices in Election Mgt.</i> Data gathered used for new Quick Tips	Published 4 new downloadable Quick Tips 1/; wrote & posted fliers: <i>10 Tips to Enhance Your Voting Experience</i> , <i>14 Facts About Voting in Federal Elections</i>	Issue and distribute new Quick Tip Guides	Wrote and posted to eac.gov fliers on “10 Tips to Enhance Your Voting Experience” and “14 Facts About Voting in Federal Elections” (in 7 languages); issued 13 new Quick Tip Guides in a toolkit & distributed 300 sets to state election

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						administrators
Provide translations of election materials.	Revised <i>A Voter's Guide to Federal Elections</i> , translated into 9 languages, USCIS distributed 700,000+ copies to new citizens; posted searchable online <i>Glossaries of Election Terminology</i>	Researched new jurisdictions and languages covered by Sec. 203 Voting Rights Act per 2010 Census. Considered its application to minority language resources	Widely distributed, "Voter's Guides to Elections"	N/A	Provide translations of election materials	N/A
<i>Administer the National Mail Voter Registration Form.</i>						
Review and approve NVRA-compliant State requests to change State-specific instructions on the National Mail Voter Registration form.	N/A	Reviewed and approved 7 requests	Reviewed and approved 1 request, responded to 3 additional requests	Reviewed and approved 2 requests, responded to 3 additional requests	Review and approve requests	Reviewed and responded to 1 request

1/ Managing the Voting Process; Educating Voters; Poll Worker Recruitment and Training, and Why Good Data Matters
Note: all indicators are outputs

Goal Four – Test and Certify

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

Outcome: Voting equipment that operates more reliably and securely, and is more accessible to individuals with disabilities. States voluntarily participate in the EAC testing and certification program to help ensure voting systems meet the Voluntary Voting System Guidelines Standards (VVSG), and voting system manufacturer specifications.

	FY 2015 Enacted Budget Testing and Certification
Direct Costs	\$ 896,580
Indirect Costs	1,841,709
Total	\$ 2,738,289

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, the EAC accredits voting system test laboratories and certifies voting equipment, marking the first time the Federal government has offered these

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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 management of the voting system certification process.

The Testing and Certification Division:

- supports local elections officials in the areas of engineering change order (ECO) updates, acceptance testing and pre-election system verification for EAC-certified systems, issuance of Requests for Procurement (RFPs) and information on how to maintain aging voting technology;
- increases quality control in voting system manufacturing by means of periodic manufacturing facility audits of EAC-registered manufacturers; and
- provides procedures to voting system manufacturers for the testing and certification of voting systems to specified Federal standards as required by HAVA Section 231(a)(1) *Certification and Testing of Voting Systems*.

The 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 the EAC has certified. For instance, under the program, the EAC has the ability to conduct site visits to production facilities to determine whether systems produced are consistent with those that have received the EAC certification. In addition, the EAC collects reports from election officials regarding voting system anomalies. The EAC reviews the reports, and disseminates the anomaly information to election officials. Furthermore, upon invitation or with permission from election officials, the EAC conducts reviews of systems that are in use in the field.

FY 2015 Accomplishments

In FY 2015 in the area of voting system testing and certification, the EAC:

- certified six voting systems,
- managed testing campaigns for three additional systems (testing was not completed as of the date of this report),
- drafted and published three Requests for Interpretation (RFIs) to the Voluntary Voting System Guidelines (VVSG), and drafted two additional RFI's,
- completed editorial changes and presented for Commission vote (and ultimate adoption), Version 2.0 of both the *Testing & Certification Program Manual*, and the *Voting System Test Laboratory Program Manual*,
- completed editorial changes and presented for Commissioner vote (and ultimate adoption), Version 1.1 of the *EAC Voluntary Voting System Guidelines*,
- continued development of state requirements-mapping, and implemented major updates to the EAC's Virtual Review Tool,
- audited one voting system manufacturing facility,
- developed a new series of guidance documents entitled *Managing Election Technology*, and published the first two documents in this series,

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- assisted state and local election officials by collecting and posting closed state and local Request for Procurement documents for both voting systems and electronic pollbooks on the EAC website,
- held an in-person Technology Testing Agreement meeting between the EAC, a Voting System Test Laboratory (VSTL) and a non-traditional voting system manufacturer,
- worked with NIST staff on the re-organization of the EAC Technical Guidelines Development Committee (TGDC), and
- held an EAC VSTL Meeting and a Voting System Manufacturers Meeting.

Goal 4: Test and Certify Performance Measures

Performance Indicator	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Planned	FY 2015 Actual
<i>Develop and update the VVSG.</i>						
Produce updates to the VVSG.	Performed ongoing work with NIST to complete revision to VVSG 1.1	Received a revised version of VVSG 1.1 from NIST, incorporated NIST comments and new Requests For Interpretation (RFIs) into the guidelines; posted the 2 nd draft version for Public Comment	Received public comments on 2 nd draft revision to VVSG 1.1, worked with NIST to resolve comments and prepare VVSG 1.1 revised draft for final formatting	Pending adoption	Adopt VVSG 1.1	Adopted VVSG 1.1; initiated development of next generation VVSG document; created a working group plan w/TGDC & NIST to focus on subjects
<i>Provide for the accreditation of independent laboratories qualified to test voting systems to Federal standards, and for the revocation of accreditation as appropriate.</i>						
Meet or exceed the review and response timeframes related to laboratory accreditation or re-accreditation submissions contained in the Certification Division Standard Operating Procedures (SOPs) and <i>Voting System Test Laboratory Program Manual</i> .	N/A	Published 2 Notices of Clarification to Program Manuals	N/A	Published 3 Notices of Clarification to Program Manuals	100% complete in 90 days	100% complete in 90 days; updated the <i>Test Lab Program Manual</i>
Complete accreditation audits for all laboratories recommended to the EAC by NIST and for all emergency actions within 90 days.	75% complete w/ in 90 days	50%--1 of 2 lab re-accreditation audits complete w/in 90 days; performed 1 initial lab audit	100% --1 lab re-accreditation audit complete w/in 90 days	100%--2 lab reaccreditation audits complete w/in 90 days, and a follow-up to an initial new lab accreditation audit conducted	100% complete w/in 90 days	N/A No reaccreditation audits conducted in FY15. 1 review conducted 11/2015 w/in 120 days
Test and document the results of the review of compliance with procedures by 100 percent of accredited laboratories every 2 years.	100%. Participated in 1 lab audit	100%	100%	100%	100%	100%
<i>Administer the testing, certification, decertification, and recertification of voting system hardware and software by accredited laboratories.</i>						
Test and certify voting systems.	Certified 1 full system, and 1 system modification; performed testing for 11 voting systems and system modifications	Certified 4 voting systems and published a certification timeline for a fifth system; conducted testing campaigns for 4 systems	Certified 3 voting systems; conducted test campaigns for 7 systems	Certified 6 voting systems; worked on test campaigns for 5 systems	Certify and test voting systems	Certified 6 voting systems; managed test campaigns for 3 systems

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Meet or exceed the review and response timeframes to voting system manufacturer and VSTL submissions contained in the Certification Division SOP's and <i>Testing Certification Program Manual.1/</i>					20 days or less for initial Test Plans/Reports; 10 days or less for amended Test Plans/Reports	100% w/in 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.1/					1 business day response time	100% -- 1 business day response or less
Conduct at least one audit of a manufacturing facility of a registered manufacturer at least once every 4 years.	N/A	100% -- audited 1 voting system manufacturing facility	N/A. No new voting systems manufactured in 2013	100% -- completed 2 audits of voting system manufacturing facilities, and 2 Manufacturing Quality Assurance Audits	Conduct at least 1 manufacturing facility review	100% -- conducted 1 audit
Plan to conduct field reviews for at least 50 percent of jurisdictions that volunteer for reviews.	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	N/A. No requests were made in FY15
Respond to requests for interpretations (RFIs) of voting system standards within 45 days .	48 days	67% -- 4 responded to 4 of 6 RFIs in 45 days or less, 53.5 day average response time	50% - responded to 3 of 6 RFIs in 45 days or less, 60.25 day average response time	100% - responded to 4 RFIs w/in 45 days	100% response in 45 days or less	100% -- responded to 3 RFIs w/in 45 days; drafted 2 RFIs

1/New measure in FY 2015
Note: all indicators are outputs

Goal Five Operate

Strategic Plan Goal 5: Implement a high performance organization.

Outcome: The EAC commissioners and staff proficiently and efficiently carry out the EAC's strategic objectives.

Goal 5 consists of three strategic objectives: 1) improve performance; 2) strengthen internal controls; and 3) 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.

FY 2015 Accomplishments

To improve effectiveness and efficiency, the EAC's Presidentially-appointed Senate-confirmed Commissioners spent a great deal of time meeting with the election community including: the EAC's Standards Board and Board of Advisors members; state and local election officials; national and international election associations; State legislators; attorney associations; academics; computer scientists; electrical and electronics engineers; the *Federal Voting Assistance Program*; voting system manufacturers; and advocacy groups. The meetings have

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resulted in a broad range of information-gathering that has provided for the development of setting goals tied to the mandates of the agency and assisting election officials. The listening sessions help the agency better understand expectations and needs of the States, the election community, voters, advocacy groups, and other stakeholders.

The measure to obtain an unmodified audit opinion on agency financial statements was achieved in FY 2015. On the performance measure on implementing audit recommendations, to date, only two percent of the 82 operational recommendations remain open. On the metric regarding meeting annual performance measures, management works to foster a culture of accountability among staff. The agency seeks to improve staff satisfaction ratings and achieve management excellence through continuous improvement of internal controls. Agency directors responsible for implementation of the EAC Strategic Plan goals report on their division metrics for: 1) the Agency Financial Report each November, 2) the Annual Performance Report, along with the Congressional Budget Justification, usually in February each year, and 3) actual and planned metrics in the OMB Budget Justification each September.

The EAC continues to focus on resolution of issues identified in audits, setting up sound systems and policies and procedures, working with managers on the relationship between budget and performance, maximizing efficient use of staff and financial resources, and training the EAC's staff on financial management processes and their specific, individual responsibilities. Staff completes assessable unit risk assessment questionnaires and individual letters of assurance. The risk assessments and letters are reviewed by the Executive Director and the Chief Financial Officer, and rolled into the agency's Annual Statement of Assurance presented in this report.

In FY 2015, the EAC provided financial management tools and support to staff. All staff was offered Appropriations Law training on-site. Contracting Officer's Representatives (CORs) were provided accrual training. CORs have access to free online training on invoice approval and on contracting responsibilities.

To improve effectiveness and efficiency, the EAC transferred financial, procurement and travel services to the U.S. Department of Treasury. Treasury is one of the four agencies chosen for the effort to eliminate Federal duplication and enable agencies to direct more resources from administrative expenses to programs. Agency staff is able to utilize four automated systems (procurement, travel, purchase card, and time and attendance) via interagency agreements.

The EAC moved to smaller, open office space (17,548 square feet in FY 2013 to 6,000 square feet in FY 2014), and stores most records electronically or inexpensively at the National Archives and Records Administration Federal Records Center to comply with federal guidelines and to save taxpayers' money. The EAC continued its commitment made in October 2010 to reduce staff, and has reassigned functions internally and uses the services of other agencies to obtain efficiencies of scale.

The agency is set up to participate in telecommuting, which provides the added benefit of equipping the EAC with the ability to deal with any continuity of operations disruptions. Staff are provided with a secure "virtual office" of email data. Personal and shared computer drive files and folders are accessible remotely.

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Goal 5: Operate Performance Measures

Performance Indicator	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Planned	FY 2015 Actual
<i>Implement a high performance organization-improve performance, strengthen internal controls, and maximize efficiencies.</i>							
Obtain an unmodified (“clean”) opinion on the annual agency financial statement audit.	Clean opinion received	Clean opinion received	Disclaimer opinion received	Disclaimer opinion received	Clean opinion received	Clean opinion received	Received unmodified “clean” opinion with no findings
Implement 90 percent of the Office of the Inspector General financial statement and operational audit recommendations within agreed upon timeframes.	77% of outstanding operational recommendations were resolved	100% of FY10 financial recommendations implemented on time; 97.6% of operations audit recs. made prior to FY10 resolved (2 of 82 outstanding)	97.6% of operational audit recommendations resolved	97.6% of operational audit recommendations resolved	97.6% of operational audit recommendations resolved	100%	97.6% of operational audit recommendations resolved

Note: all indicators are outputs

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