



# **U.S. ELECTION ASSISTANCE COMMISSION**

## **FISCAL YEAR 2020 CONGRESSIONAL BUDGET JUSTIFICATION**

March 18, 2019

Page Intentionally Left Blank

**TABLE OF CONTENTS**

Vision and Mission .....5

FY 2020 Priority Goals.....5

Appropriations Language.....5

FY 2018 Accomplishment Highlights.....6

Agency Background.....8

Goals and Structure.....9

Organization Chart.....10

Operating Plan Summary.....11

FY 2020 Budget Request Highlights.....11

Budgetary Changes.....14

Budget Requests and Performance Measures by Goal.....14

Information Technology.....25

Status of Management Challenges.....25

Improper Payments.....25

Mandated Reports to Congress.....26

Attachment A – OIG Budget Request in Detail

Page Intentionally Left Blank

**VISION AND MISSION**

**Vision**

*A trusted, proactive, and responsive federal agency that helps election officials administer and voters participate in elections.*

**Mission**

*The U.S. Election Assistance Commission (EAC) helps election officials improve the administration of elections and helps voters participate in elections.*

**Salaries and Expenses Resources Available for Obligation**

FY 2018 Enacted		FY 2019 Annualized CR		FY 2020 President’s Budget	
FTE	Dollars	FTE	Dollars	FTE	Dollars
29	\$10,100,000	31	\$10,100,000	32	\$11,995,000

**FY 2020 Priority Goals**

1. Contribute to the cyber-resilience of the American election administration system.
2. Administer the 2020 Election Administration and Voting Survey, the Election Assistance Commission (EAC) instrument used to collect State-by-State data on the administration of Federal elections.
3. Adopt the newest version of the EAC’s Voluntary Voting Systems Guidelines and educate EAC stakeholders on the contents and impact of the new version.
4. Actively engage with stakeholders and stakeholder groups that represent them.

**Appropriations Language**

*For necessary expenses to carry out the Help America Vote Act of 2002 (Public Law 107-252), [\$10,100,000] \$11,995,000, of which [\$1,500,000] \$1,500,000 shall be transferred to the National Institute of Standards and Technology for election reform administration activities authorized under the Help America Vote Act of 2002 and of which \$2,400,000 shall remain available until September 30, 2021 for the relocation of the agency.*

### **Fiscal Year (FY) 2018 Accomplishment Highlights**

The U.S. Election Assistance Commission (EAC) is a trusted, proactive, and responsive bipartisan federal commission that helps election officials administer and voters participate in elections. Established by the Help America Vote Act of 2002 (HAVA), EAC serves as the nation's clearinghouse for information on election administration, conducts the Election Administration and Voting Survey (EAVS), develops and manages the Voluntary Voting System Guidelines (VVSG), accredits testing laboratories and certifies voting systems, administers and audits HAVA funds, and administers the National Mail Voter Registration Form in accordance with the National Voter Registration Act of 1993. From coast-to-coast, EAC is providing services for state and local election officials and the voters they serve. Among EAC's most notable accomplishments during Fiscal Year 2018 are the following:

#### ***Disbursement of \$380 Million in 2018 HAVA Election Security Funds***

On March 23, 2018, the Consolidated Appropriations Act of 2018 was signed into law, making \$380 million available to states to improve the administration of federal elections, the first new appropriations for HAVA funds since FY2010. The EAC was charged to administer these funds to states. With the 2018 midterms not far off, the EAC worked to make funds available to states as quickly as possible so they can have an immediate impact. The Payments and Grants Management Division sent all eligible states and territories grant award notification letters in early April less than a month after the bill was signed into law. The letter allowed states to incur costs, with prior EAC approval, against the forthcoming grant awards, effective the date of the notification letter. Funds were then available for states to draw down and deposit in their state election accounts after they returned signed grant documents and the required certifications and assurances.

As election officials across the nation prepared for the upcoming midterm elections, they wasted no time in requesting HAVA funds and developing their plans to bolster election security and administration. By July, the EAC announced each of the 55 eligible states and territories had requested 100 percent of the newly appropriated HAVA funds and an 88 percent or \$333,921,264 had already been transferred into state accounts.

By mid-September 2018, all 55 states and U.S territories had submitted their final security plans and budgets and 100 percent of the 380 million had been disbursed. States must provide an annual standard Federal Financial Report and program narrative for each fiscal year and will be audited by the EAC'S Inspector General.

#### ***Research***

In FY18, the EAC's research team created a suite of new reports and tools leveraging data from the 2016 Election Administration and Voting Survey, and undertook a number of key activities supporting the 2018 EAVS and accompanying Election Administration and Policy Survey. Additionally, the EAC published four election data issue briefs called EAVS Deep Dives. These briefs took an in-depth look at four categories of data collected through the 2016 EAVS and earlier iterations of the survey:

- 1) early, absentee, and mail voting;
- 2) poll workers and polling places;
- 3) election technology; and

4) provisional ballots

The election data issue briefs provided analysis that helps demonstrate the changing landscape of U.S. elections, including the steady expansion of alternatives to traditional in-person Election-Day voting, the rapid increase of the use of online voter registration, and the rise in electronic poll book usage, among other important findings.

Furthermore, the EAC distributed the 2018 EAVS and Policy Survey to the states, developed a plan to provide targeted technical assistance to survey respondents, began collecting responses to the 2018 Policy Survey, and started development of a pilot program to conduct the EAVS in an online format. These and other activities planned for FY19 are expected to ease the burden on survey respondents, improve data quality and completeness, and make EAVS data more accessible to end users. EAC plans to continue using EAVS data to drive new resources, such as state-by-state fact sheets, its data interactive tool that permits election officials to compare their jurisdictions with locations of like size and resources across the country.

### ***Election Technology***

In 2018, EAC focused on finalizing the next steps of the Voluntary Voting System Guidelines 2.0 (VVSG). The VVSG are a set of specifications and requirements against which voting systems can be tested to determine if they systems meet required standards. The structure of the new VVSG reflects modifications proposed by the election community; EAC; NIST; and the Technical Guidelines Developmental Committee (TGDC), which is comprised of election officials, voting system manufacturers, disability experts, cybersecurity experts, technology experts, and other key election stakeholders.

*The new guidelines are a high-level set of principles that will be supplemented by accompanying documents that detail specific requirements for how systems can meet the new guidelines and obtain certification.*

Supplemental documents will also detail the requirements for building voting systems that meet and the assertions for how the accredited test laboratories will verify if voting systems conform with the guidelines. In April, the EAC Standards Board and Board of Advisors passed resolutions recommending that the EAC move forward with the process of considering the draft VVSG 2.0 Principles and Guidelines document for full adoption. Both boards passed an amendment to the resolution recommending that the EAC adopt, within the Testing and Certification Program Quality & Program Manual, a process for VVSG 2.0 requirements and Test Assertions to be updated in the absence of a quorum of EAC Commissioners. Now with a full quorum, the commission will be able to vote on whether to adopt them.

### ***Election Accessibility***

#### Language Accessibility

EAC convened its third Language Access for Voters Summit in July 2018. The summit was co-sponsored by Democracy Fund Voice, a nonpartisan not-for-profit organization dedicated to helping America build a stronger, healthier democracy. Citizens for whom English is a second language may need language

assistance when voting, such as having ballots and voting materials translated into their native languages. Federal law requires over 250 jurisdictions nationwide provide language assistance based on Census results. Election officials, advocates, and voters were given the opportunity to interact with, educate, and learn from experts and the officials who impact voters with limited English proficiency's voting experience every election cycle.

#### Physical Accessibility

EAC also continued its work of assisting voters with disabilities. The EAC's Commissioners spent time in FY 2018 engaging Americans with disabilities to find ways the EAC and election officials across the nation can improve the voting experience for voters with disabilities. In June 2018, the Commissioners chaired an open plenary session at the Nation Disability Rights Network's national conference in Baltimore, MD. The session included an interactive conversation with voters, who detailed their experiences at the poll and provided feedback about what improvements could be made. Earlier in the year, commissioners conducted a similar conversation during the Association of Programs for Rural and independent Living's (APRIL) annual conference in Spokane, Washington.

#### ***Election Efficiency***

Beyond the topics mentioned above, the core duties of election administrators also include activities such as:

- maintaining accurate voter registration lists,
- recruiting and training poll workers,
- procuring new election equipment,
- providing Americans with access to voter registration, and
- contingency planning.

Throughout FY 2018, EAC launched a variety of new resources, provided best practices guidance, hosted public meetings, conducted social media campaigns, and undertook a variety of other efforts to ensure that election officials have access to the tools they need to carry out these responsibilities successfully.

As we look ahead, we will build on the successes of FY 2018 and continue to be the federal agency that election officials and the voters they serve can count on for the latest resources and information about election administration. Our talented team and our broad spectrum of partners remain committed to helping America vote through secure, accessible, and efficient elections. The justification that follows details how we plan to carry out that work in FY 2020, building on the EAC's strategic plan.

#### **Agency Background:**

Congress established the U.S. Election Assistance Commission with the passage of the Help America Vote Act of 2002 (HAVA). The Commission was created to help election officials and administrators improve elections around the country. Statutorily, EAC is headed by four bipartisan Commissioners appointed by the President and confirmed by the U.S. Senate. Currently, there are four Commissioners, constituting a quorum.



HAVA also created the Board of Advisors, the Standards Board, and the TGDC to advise EAC. The three groups advise the agency and help it achieve its mission, including but not limited to process of developing of the Voluntary Voting System Guidelines.

HAVA dictates the membership of the three statutory groups. The Standards Board is a 110-member board consisting of 55 state election officials (the 50 states, the District of Columbia, American Samoa, Guam, Puerto Rico, and the Virgin Islands) selected by their respective chief state election official, and 55 local election officials selected through a process supervised by the chief state election officials.

The Board of Advisors is comprised of representatives from groups representing governors; mayors; state legislatures; secretaries of state; state election directors; county recorders; election officials; clerks; voter advocacy groups; federal agencies; and professionals in the fields of science and technology.

TGDC helps EAC develop its Voluntary Voting System Guidelines. It is composed of 14 members appointed jointly by EAC and the Director of the U.S. Department of Commerce's National Institute of Standards and Technology (NIST), who is the chairperson of TGDC.

### **Goals and Structure:**

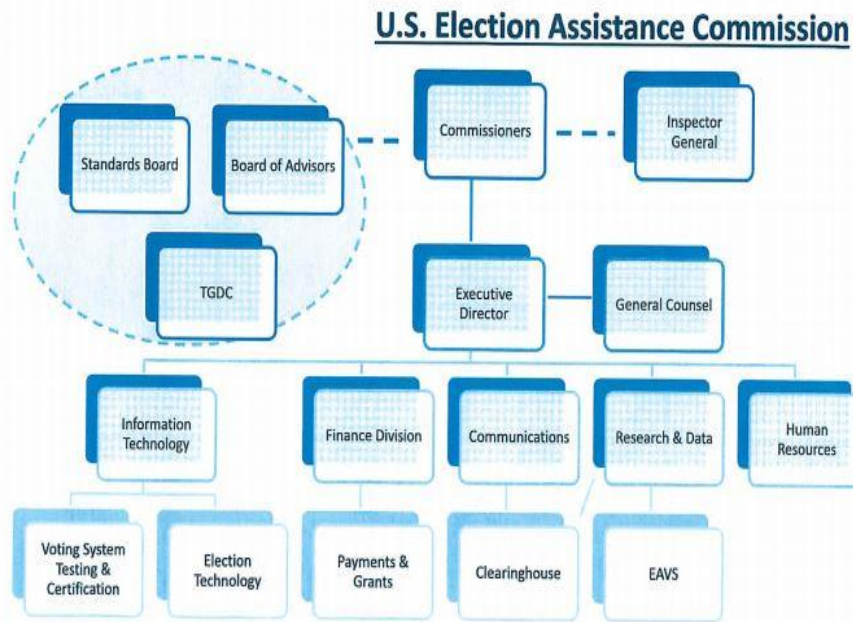
EAC's offices are aligned to address the mandates of the Help America Vote Act to: serve as a clearinghouse of information on voting; test and certify voting systems; administer and maintain the National Voter Registration Act (NVRA) voter registration form; assist States with administration of HAVA funds; and report to Congress on NVRA and Uniformed and Overseas Citizens Absentee Voting Act voting activity.

The EAC's FY18-22 strategic plan sets forth four strategic goals and thirteen strategic objectives. The four strategic goals are as follows:

- 1) Expand the nation's comprehensive understanding of election administration;
- 2) Proactively and responsively create products that help election officials improve the administration of elections and help voters more easily participate in elections;
- 3) Help election officials improve the administration of American elections through the distribution of EAC assistance and products; and
- 4) Ensure continued effective operation of the EAC in order to achieve its goals while acting as good stewards of public funds.

The EAC uses a cost allocation model that distributes administrative costs to program goals, and this model is used to present the FY2020 agency budget request. The Commission's financial models are reviewed by EAC's independent financial statement auditors.

**Organization Chart**



**Operating Plan Summary**

		FY 2019 Annualized CR	FY 20 President's Budget Request
<b>Salaries and Expenses</b>	<b>FY 18 Enacted</b>		
<b>Full-Time Equivalent Staff (FTE)</b>	<b>29</b>	<b>31</b>	<b>32</b>
Full-Time Staff	<b>28</b>	<b>29</b>	<b>29</b>
Other than Full-Time Staff	<b>2</b>	<b>3</b>	<b>2</b>
Payroll Full-time Personnel	\$3,179,179	\$3,179,179	\$ 3,451,957
Payroll Other than Full-time Personnel	223,399	223,399	113,538
<i>Subtotal Personnel Compensation</i>	<i>3,402,578</i>	<i>3,402,578</i>	<i>3,565,495</i>
Personnel Benefits	1,049,638	1,049,638	1,076,233
<i>Subtotal PC&amp;B</i>	<i>4,452,217</i>	<i>4,452,217</i>	<i>4,641,729</i>
Travel	615,228	615,228	632,311
Rent, Communications, Equipment Rentals	350,537	350,537	350,486
Printing, Reproduction	21,497	21,497	18,770
Other Services	2,880,368	2,880,368	2,285,691
NIST	1,500,000	1,500,000	1,500,000
Supplies and Subscriptions	166,988	166,988	138,809
Equipment	113,163	113,163	27,672
Agency's Relocation Expenses			2,400,000
<i>Subtotal, Non-personnel</i>	<i>5,647,783</i>	<i>5,647,783</i>	<i>7,353,271</i>
<b>Total Salaries and Expenses</b>	<b>\$10,100,000</b>	<b>\$ 10,100,000</b>	<b>\$ 11,995,000</b>

Note: FY 2020 assumes no Cost of Living Adjustment, and no non-pay inflationary increase.

**FY 2020 Budget Request Highlights**

In FY 2020, the nation will prepare to administer and participate in the 2020 general election in an atmosphere of unprecedented threats and challenges. Election systems are currently the focus of pervasive and adaptive cyber threats from empowered actors, and election officials are charged with growing responsibilities such as defending their cyber-systems against such threats from said actors and regularly interfacing with newly developed federal resources such as the Department of Homeland Security (DHS) Critical Infrastructure framework. It will be essential that the coming 2020 general elections are secure and accessible, and it will be crucial that the nation's voters have confidence in the integrity of the elections.

The EAC's FY2020 budget justification highlights its plans to continue to help election officials efficiently and effectively administer secure and accessible elections as well as help voters participate in and have confidence in our nation's elections. Highlights of the EAC's plans include: a) national, state, and local cybersecurity assistance; b) finalizing and implementing the next version of the EAC's Voluntary Voting System Guidelines (VVSG); c) gathering and distribution of election administration best practices including but not limited to, poll-worker recruitment and management, serving voters with disabilities, meeting the needs of voters with limited English proficiency, and managing and protecting cyber resources; d) continuing to work to ensure the effectiveness of the recently congressionally

appropriated election improvement funds; and e) studying and reporting on election administration practices

***National, State, and local Cybersecurity: Helping Election Officials Leverage Federal Resources, Best Practices, and Their Peers***

Elections infrastructure is critical infrastructure both because DHS has designated it as such and because it is inherently essential to the foundation of our democracy. This status makes the nation's elections infrastructure both a powerful asset to the nation as well as a target for mal-intentioned actors seeking to disrupt and undermine the nation. This status also means increased federal resources are available to state and local election officials as they seek to administer secure and accessible elections. As the nation's clearinghouse for election administration information and best practices; the distributor of federal grants for the improvement of elections infrastructure; and the co-chair of the Executive Committee of the Government Coordinating Council, the steering committee for DHS's tool for helping to secure and monitor the security of the nation's elections, the EAC is uniquely positioned to help state and local election officials understand and use these new federal resources.

The EAC is the only federal agency focused on the whole of election administration, the many responsibilities borne by election officials, and voters' confidence and access to elections. The value of the comprehensive nature of the EAC's congressionally crafted focus as well as its convening abilities has been echoed in recent congressional hearings, and they make the EAC a unique national asset. Multiple federal agencies are beginning to provide resources to state and local election officials to help them protect and secure their elections. This work is valuable, but state and local election officials often need help understanding these new resources and how they can fit into their current operations. The EAC acts in this crucial expert guiding role for state and local election officials, voters, DHS, the Department of Defense, the Postal Service, the National Institute of Standards and Technology (NIST), and others. This work is identified in the EAC's FY18 strategic plan in Objectives 3.1, 3.2, and 4.1, and the EAC fully expects the nation's desire for this type of resource to increase as the nation prepares for the 2020 general election.

Facilitating the use of federal resources is only part of the EAC's cybersecurity role. Election officials are now operators of complex IT systems that face modern, persistent, and adaptive threats from new types of actors, such as nation states. They need resources such as best practices in cybersecurity, which are a part of the EAC's HAVA mandates, now more than ever before. The EAC currently teaches states and localities about how to effectively fill this new role with its "Election Officials as IT Managers" class, and the EAC has taken steps to make this available to more jurisdictions through the FedVTE platform. The EAC plans to continue to gather and distribute best cybersecurity tools, best practices, and assistance as it helps the country prepare for 2020.

The EAC is dedicating increased resources to understanding new cyber threats and helping election officials prepare to defend their systems against them. There are thousands of election administration systems in the U.S., and each has the potential to be a target of a cyber-attack. Many of the voting and election systems around the country are more than 10 years old. These systems are crucial to the functioning and security of the nation's elections, and because of their age, many need to be replaced. The EAC plans to help election officials prepare and defend these systems under its HAVA charge.

As election officials prepare to replace their voting machines, they will look to the EAC's Testing & Certification Program for guidance and the most current standard for voting machine functionality,

security, and accessibility. This standard, the EAC’s Voluntary Voting System Guidelines, and the EAC’s accompanying testing and certification program provide the only national standard for voting system standard setting, testing, and certification that is currently in use. The most modern version of these guidelines, VVSG 2.0, is currently nearing completion. In FY 2020, the EAC plans to actively manage this standard and test voting systems against this standard. This standard is an essential contributing factor when it comes to the security of our nation’s elections, and the EAC is proud to continue this work in the lead up the 2020 general election.

***Distributing, Assisting with the Use of, and Auditing Federal Grants for the Improvement of Election Administration***

A core component of the EAC’s mission has long been distributing, assisting with the use of, and auditing of federal funds. In March, 2018, Congress appropriated \$380M of new federal funds and charged the EAC with distributing these new funds under Section 101 of the Help America Vote Act. Upon receiving this charge, the EAC acted quickly and distributed the funds as quickly as it responsibly could to the states. The EAC made the funds available to the states within three months of the appropriation. Now that the states have the funds, the EAC’s mission and congressional mandate related to them does not cease. Instead it changes. The EAC is charged with helping States best use these funds through its role as the nation’s clearinghouse of election administration information and practices, and the EAC is charged with auditing the state’s use of these funds. This work is extensive and will help to ensure that the funds are both being used as intended by Congress and in a manner that best helps improve the administration of U.S. Elections. This EAC expects this work to continue into and past FY2020.

***Gathering and Distributing Best Practices in Election Administration: Focusing on Election Year Activities***

Congress charged the EAC with building and managing the nation’s clearinghouse of election administration information in the Help America Vote Act of 2002. Since its inception, the EAC has fulfilled this mandate by regularly collecting, formatting, and distributing best practices in election administration to election officials throughout the country. The nation has more than 6,000 semi-autonomous election jurisdictions, and the EAC’s clearinghouse of best practices allows them to quickly respond to new needs, learn from their peers’ experiences and developments around the country, and prevents these thousands of jurisdictions from “re-inventing the wheel.” This resource is never more valuable than it is in the lead up to a general election. To help election officials in this crucial time, the EAC plans to focus many of its FY2020 clearinghouse activities on election year activities and needs. These will include voter registration list maintenance, poll worker recruitment and management, poll location designation and management, security of polling locations and voting systems, and voter registration activities. The EAC is proud to support election officials as it is charged to do in HAVA, and it looks forward to helping them prepare for the coming 2020 election.

When voter registration lists are well maintained, voters have increased confidence in elections, and EAC will continue work to help ensure this.

**Studying Election Administration: The Election Administration and Voting Survey (EAVS) and Other Research**

Federal law mandates that EAC collect, study, and distribute information on particular aspects of election administration and voting. This survey, EAVS, is the most comprehensive survey of election administration practices and data in the country, and many election jurisdictions, federal entities, and academics rely on this information. The EAC administers EAVS every two years, but preparation to administer and evaluation of the results and methods of the survey are always an ongoing task. EAVS 2018 will be distributed to Congress June 30, 2019, and soon after the EAC will begin working on the 2020 survey. As the EAC continues to administer EAVS, the agency is seeking to make it easier for states and localities to respond to its questions and increase how much the agency and the country can use this powerful resource once it is complete. These objectives are further detailed in Objectives 1.1, 1.2, 1.3, 2.1, 2.2, and 3.2 of the EAC’s current strategic plan, and the EAC looks forward to working to ensure that it is a high quality, accurate, and useful resource for the nation.

**Budgetary Changes FY 2019 Request to FY 2020 President’s Budget Request**  
(in whole dollars)

<b>Personnel Compensation and Benefits</b> .....	<b>+\$55,651</b>
Reflects an increase of 1 and decrease of 1 intermittent employees; no cost of living adjustment	
<b>Travel</b> .....	<b>+\$95,134</b>
Increase outreach efforts	
<b>Other Services</b> .....	<b>+\$158,941</b>
Increase contracts -- services to assist executing mission critical activities	
<b>Miscellaneous</b> .....	<b>+\$85,742</b>
Telecommunications and equipment rentals (+\$15,244), printing (+\$7,888), supplies and subscriptions (+\$53,329), equipment (+\$9,281)	
<b>Agency’s Relocation Expenses</b> .....	<b>+2,400,000</b>
Relocation Components (+1,507,400), Facilities (+892,600)	

**Budget Requests and Performance Measures by Strategic Plan Goal**

EAC’s request is presented in terms of four goals: 1. Analyze, 2. Build, 3. Distribute, and 4. Operate:

**ANALYZE**

**Strategic Goal 1: Expand the nation’s comprehensive understanding of American election administration. \$2,632,646.75**

Goal 1 is led by the EAC Research and Clearinghouse Division, with input from the Communications and Public Affairs, Testing and Certification, and Policy Divisions. Objectives and success indicators for the goal are as follows:

## **OBJECTIVES**

Objectives of the goal include expanding EAC's in-depth understanding of the administration of American elections; helping others contribute to our nation's understanding of American election administration; and leveraging EAC's research to inform agency decision-making.

## **SUCCESS INDICATORS**

The anticipated success indicators of the goal are analysis of Election Administration and Voting Survey (EAVS) data that produces insights into U.S. Election Administration; successfully creating tools to make both responding to EAVS and analyzing EAVS data easier; increases in the number of entities providing information, research, and data related to U.S. election administration; and the ability to better design EAC assistance products to better design EAC assistance to its stakeholders.

### *The Election Administration and Voting Survey (EAVS)*

The EAC conducts congressionally mandated research on enumerated election administration topics bi-annually. The Commission conducts this research through its administration of the EAC's Election Administration and Voting Survey (EAVS). Through the EAVS, the EAC surveys the 50 States, the District of Columbia, American Samoa, Guam, Puerto Rico and the U.S. Virgin Islands. EAVS is the only comprehensive collection and report of data on election administration and voting systems of its kind. The survey, performed in conjunction with the Department of Defense's Federal Voting Assistance Program, collects over one million data points of information about voter registration, number of ballots cast, military and overseas voting, absentee ballots, polling places, poll workers, and provisional ballots from state election officials. The survey data is used by election officials, academics, and others to improve their methods, metrics, and tactics in serving voters and maintaining voter registration lists. The information helps inform decision making throughout the country to better administer elections, serve military and overseas voters, and better serve voters.

### *EAC Elections Clearinghouse*

The U.S.'s election administration system consists of thousands of semi-autonomous election administration jurisdictions. Seeing the potential for these many jurisdictions to "recreate the wheel" when it comes to their practices, Congress charged the EAC with building and maintaining a national clearinghouse of election administration information and best practices. Maintaining this clearinghouse requires the EAC to regularly research current election administration practices and needs as well as collect best practices from across the country. Congress mandates that the EAC study a number of particular election administration topics, and the EAC must study others to effectively carry its charge as the national clearinghouse. More information about the congressionally mandated topics is covered the following section titled, *The Election Administration & Voting Survey (EAVS)*. The additional topics that the EAC chooses to study are selected based on congressional mandates and the current and expected future needs of election officials and voters.

Today, the clearinghouse is hosted on the EAC's website, <https://www.eac.gov>, and it contains best practices, research, instructional videos, and white papers on a wide variety of topics such as voter registration, voter registration list management, poll worker recruiting and management, staff training, voting system information, election system procurement help, new topics such as risk limiting audits and critical infrastructure, and cyber security. To collect the information contained in these resources,

the EAC's Commissioners regularly travel to and interview election officials throughout the country on their needs and practices; the EAC staff conducts research through data collection; the EAC conducts its annual competition of best practices in election administration; the EAC contracts with outside firms to conduct research; and the EAC's Commissioners hold and conduct hearings and public meetings as well as round tables in which election officials can share their practices and insight with the country.

In FY 2020, the EAC will continue to host its previously researched information and best practices on its public facing website, and it will continue to meet its congressional mandate by researching further topics. This new research will focus on election year needs of election officials and voters. The EAC will work to understand current and best practices relating to election year needs so that it can produce resources that will help election officials and voters as they prepare to administer and participate in the 2020 elections.

### **The FY 2020 Request**

For FY2020, the EAC requests funds to meet its Congressional mandate to research and study election administration. The EAC also requests funds to meet its Congressional mandates to conduct research which will allow the agency to serve as the national clearinghouse of election administration information by doing the following:

- Studying election administration practices to produce and publish best practice resources such as videos, educational tools, blogs, and white papers on topics including developing and maintaining complex online registration databases, set up and use of accessible voting equipment, registering to vote, training and managing poll workers, and cybersecurity;
- Providing regular Commissioner and staff contact with election officials to collect and share information;
- Preparing to conduct the 2020 EAVS report; and
- Conducting forums, town halls, webinars, and hearings to gather information about potential best practices and information pertinent to election administration by bringing together election officials, technology innovators, individuals with disabilities, accessibility equipment and voting system manufacturers, academics, computer programmers and security experts, voting system standards developers, and website developers and designers.

## **Build**

**Strategic Goal 2: Proactively and responsively create products that assist election officials to improve election administration and help voters more easily participate in elections.**

**\$1,930,935.13**

Goal 2 is led by the EAC's Research and Clearinghouse Division and Testing and Certification Division, with input from the Communications and Public Affairs Division, and the Payments and Grants Division. Objectives and success indicators for the goal are as follows:

### **OBJECTIVES**

The objectives of the goal are to continually create resources that help election officials improve the administration of elections and help voters participate in elections and help voters participate in



election, and to responsively and predictably create resources that respond to newly arising needs of election officials.

### **SUCCESS INDICATORS**

The anticipated success indicators of the goal are designed assistance products created to fulfill a specific need of EAC stakeholders; feedback from EAC stakeholders indicating ease of use and implementation of EAC assistance; and rates of use for products by the stakeholder group that the product was intended to serve.

#### *Testing & Certification of Voting Systems*

The EAC manages the only actively used, voluntary national standard for voting system testing and certification. The EAC also manages an accompanying testing & certification program wherein voting systems are tested against the EAC's standard and certified as conforming when they successfully pass the standard's tests. This standard is called the Voluntary Voting System Guidelines (VVSG). States' use of this standard and the EAC's accompanying testing and certification program are voluntary, but most States choose to use the standard or its testing program in whole or in part. The nation's elections are conducted on voting systems, and the EAC's national standard helps states and localities, which are charged with selecting their own voting systems, select high-quality, secure, and accessible voting systems with confidence.

The EAC regularly works to ensure that it has the most up-to-date version of its VVSG, and the EAC has most recently been working to finalize a new version. Once finalized, this new standard will be the most up-to-date and modern, national standard for voting system certification. In a time of unprecedented threats against the nation's voting systems, this standard will be a powerful national asset in ensuring the integrity of the nation's elections.

In FY2020, the EAC plans to continue to implement VVSG 2.0, manage testing and certification to this standard, manage and audit the accreditation of the private laboratories that test voting systems to the standard, regularly publish information regarding certified voting systems, manage updates to the standard, and work with states and localities to help them understand and leverage the standard.

After the finalization of VVSG 2.0, the EAC will extensively reach out to and work with states, localities and vendors because states and localities select the standard which their voting systems must meet, and private sector vendors build and sell the voting machines that the states and localities use to administer their elections. Through its outreach, the EAC will help states understand the contents of the new standard and its value as a potential standard for their use, and the EAC will help vendors understand how newly developed voting systems must perform to be certified to the standard. Through this outreach process, the EAC helps vendors produce more up-to-date voting systems for states and localities to use, and ultimately the EAC helps the nation use better voting systems. The EAC staff manages the testing and certification process for each vendor-produced voting system that is submitted for certification. This requires program management, oversight, and technical expertise. Vendors regularly submit voting systems for certification, and the agency expects an increase in the demand for testing and certification to be at increased levels in FY2020 because of the expected prior finalization of the VVSG 2.0.

In addition to the management of the testing and certification process, the EAC also must ensure that the testing of voting systems is being conducted in high-quality environments. To ensure this, the EAC

works with NIST's National Voluntary Laboratory Accreditation Program (NVLAP) to inspect, monitor, and accredit testing laboratories for testing of voting machines. The EAC and NVLAP use the international quality standard ISO 170235 to review each voting system test lab's technical, physical and personnel resources, as well as its testing, management, and quality assurance policies and protocols. EAC monitors VSTLs through a comprehensive compliance management program and on-site reviews to ensure that VSTLs meet all program requirements. This testing, monitoring, and accreditation of test labs is a key component of the EAC's testing and certification program, and the agency plans to continue this work in FY2020.

States and localities select the standard to which they will procure voting systems. Voting systems are built by private vendors to the standards selected by states and localities. The EAC produces the standard as well testing and certification program that most states use in whole or in part. Through these efforts the EAC plans to continue to help the nation build, procure, and use secure, functional, and accessible voting systems and therefore help the nation administer its elections.

#### *Election Administration Educational Resources*

Charged with acting as the nation's clearinghouse of election administration information to help promote the effective administration of federal elections, the EAC must provide resources on newly developed and currently pressing election administration issues. State and local election officials, Congress, other federal agencies, and voters regularly leverage these EAC resources. In FY2018, for example, the EAC produced nation-leading resources of Risk Limiting Audits, Critical Infrastructure, language access, and general election security for states, localities, and voters. EAC stakeholders regularly use these resources to improve the administration of their elections, educate voters, and generally increase voters' confidence in the nation's elections. The EAC also produced educational resources on election administration for other federal agencies as they have worked to produce specialized tools for election officials and voters.

The EAC works to produce these products in a range of formats, and the agency builds each resource in the format that the resource's intended audience is most likely to prefer for that product. Recently the EAC has produced white papers, educational videos, blog posts, presentations, and online-hosted as well as in-person delivered classes. For FY2020, the EAC plans to continue producing these resources, and the agency plans to continue building these resources in formats that help facilitate their use.

#### *Election Administration Best Practices*

In addition to producing educational resources on newly developing and currently pressing election administration issues, the EAC is also charged with regularly collecting best practices in ongoing election administration practices as part of its clearinghouse mandate. As the only federal agency that focuses on the whole of elections, the EAC's work in this area serves as a powerful central hub and single "go-to" location for election officials and voters as they work to improve the administration of and participate in their elections.

The EAC collects these best practices through hearings, in-person and virtual meetings, leveraging its advisory boards' extensive knowledge and experience, commissioner led hearings, and an innovative annual contest. Through each of these means, the EAC learns from the diversity of approaches taken by the nation's thousands of election jurisdictions and helps the rest of the nation learn from their peers. These election administration best practice areas regularly include:

- Poll worker recruitment, management, and training;
- Voter registration list management;
- Polling place management;
- Procurement of voting and voter registration systems;
- Data collection and management;
- Accessibility for voters with disabilities; and
- Access for voters with limited English proficiency.

In FY 2020, the EAC will continue to meet its statutory charge in this area. As FY 2020 is the time in which the nation's election officials and voters will prepare to administer and participate in the 2020 general election, the EAC plans to focus this best practice collection on topics most useful for election officials and voters in a general election year. In this way, the EAC will help the nation successfully administer and participate in a secure, accessible, and effective general election.

*Annual Non-Expenditure Transfer to NIST*

In 2020, EAC includes a request for the annual non-expenditure transfer to NIST at \$1,500,000 for activities required under HAVA Sections 221 *Technical Guidelines Development Committee (TGDC)*, 231 *Certification and Testing of Voting Systems*, and 245 *Study and Report on Electronic Voting and the Electoral Process*.

EAC will work with NIST to set priorities for FY 2020. The focus in FY 2019 will be finalization of VVSG 2.0 and cybersecurity. We plan to work with NIST on finishing test requirements and scripts that apply to the VVSG, and developing the cybersecurity framework as it relates to elections as critical infrastructure. The EAC-NIST Public Working Group on Cybersecurity is one of three groups aimed at collecting requirements from processes and functions conducted by election officials during pre-election, election, and post-election. Four constituency groups have been created to identify the corresponding technical requirements in human factors (usability & accessibility), cybersecurity, interoperability, and testing. The cybersecurity group will hold meetings to discuss and develop guidance for voting system cybersecurity-related issues, including security controls and auditing capabilities. The guidance will be used in the ongoing development of the VVSG. We anticipate the Working Group on Cybersecurity will also research and discuss threats and security technologies to assist election officials in the performance of their duties.

**DISTRIBUTE**

**Strategic Goal 3: Improve the administration of U.S. elections through the distribution of EAC assistance and products. \$2,968,040.94**

Goal 3 is led by the Communications and Public Affairs Division with input from the Payments and Grants, Testing and Certification, and Clearinghouse and Research Divisions. Objectives and success indicators for the goal are as follows:

## **OBJECTIVES**

The objectives of the goal are to effectively, efficiently, and economically distribute federal resources to EAC stakeholders; serve as an expert on the administration of American elections in order to publically share the distribution of EAC assistance; regularly distribute EAC products on timelines that align with stakeholder needs; and distribute EAC assistance through methods designed to facilitate stakeholder use.

## **SUCCESS INDICATORS**

The anticipated success indicators for the goal are usage of EAC assistance, which is identifiable through feedback from EAC stakeholders; ability to design and distribute EAC products, which is identifiable through feedback from EAC staff and self-surveying metrics; ability to provide front-end guidance regarding the design of EAC products in Strategic Goal 2 programs, which is identifiable through feedback and self-surveying metrics; and increased rates of reception of EAC products through designed distribution mediums.

### *Distributing, Auditing, and Providing Technical Assistance Related to Congressionally Appropriated Funds for the Improvement of Election Administration*

Congress appropriated \$380M of federal funds for the improvement of election administration in the 2018 Consolidated Appropriations Act and charged the EAC with the distribution of these funds to 55 states and territories, auditing the use of the states' and territories' use of these funds, and providing technical assistance to the states and territories as they plan to receive and use these funds to improve the administration of their elections. In just over three months from the day of appropriation, the EAC established protocols for receiving these funds, educated the nation on these protocols, received request for 100% of the funds, and made 100% of the funds available for the eligible states to draw down. The EAC is proud of the quick and responsive work that it did to distribute this vital resource to the states ahead of the 2018 election. However, the EAC's work related to these funds is not finished.

Now that the funds are distributed to the states, the EAC's mandate shifts from distribution to auditing and technical assistance. The EAC's Inspector General audits the States' use of the funds, and EAC staff members provide technical assistance to the states as they plan to and implement their plans to use the federal funds. Currently, the EAC as well as the EAC's Inspector General have begun taking steps to start providing these services to the nation, and the EAC fully expects this work to continue into and through FY 2020. Effective and responsible election administration grant management will be of the upmost importance as the nation navigates the 2018 midterm elections and prepares to administer the 2020 general election.

In addition to the newly appropriated funds, the EAC is responsible for distributing, providing technical assistance related to, and auditing other federal funds, including previously congressionally appropriated federal funds. Prior to the new appropriation of funds in 2018, the EAC had already distributed over \$3 billion in federal funds since its inception in 2002. These funds have been used to improve the nation's voting systems, voter registration systems, and election administration practices. The EAC's work to audit the use of and provide technical assistance related to these funds continues today, and the agency plans to continue to fulfill its congressional mandate related to these funds in FY2020.

The following chart estimates initial value of voting and voting-related equipment purchased by the states using Federal HAVA funds, as of FY 2016. Amounts are aggregate and reported in the fiscal year

U. S. Election Assistance Commission  
Fiscal Year 2020 Budget Request

proceeding the year the expense was incurred. (Note that the chart does not reflect equipment that has been sold or otherwise disposed of as it reaches the end of its useful life.)

	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016
<b>Section 102 Funds</b>	\$90,122	\$137,401	\$ (267,813)	\$ (10,769)	\$ 0
<b>Section 251 Funds</b>	40,410,437	43,417,090	168,169,476	75,586,153	110,248,566
<b>Total</b>	<b>\$40,500,559</b>	<b>\$43,554,491</b>	<b>\$167,901,663</b>	<b>\$75,575,384</b>	<b>\$110,248,566</b>

NOTE: The detailed OIG direct request of \$1,065,000 appears as an attachment to this document.

*The Distribution of EAC Clearinghouse Resources for the Improvement of Election Administration*

The EAC is the federal government’s clearinghouse of election administration information. In the agency’s work under Strategic Goals 1: Analyze and 2: Build, the EAC researches election administration practices, information, and data and then builds clearinghouse resources that help states and election officials with this research. In this section of the agency’s efforts under Strategic Goal 3: Distribute, the EAC brings these resources to the stakeholders the agency is charged with assisting, election officials and states. The EAC does this in person, through its website, through the media upon request, and through other digital mediums such as email distribution.

In the lead up to the 2016 general election, this EAC role was a critical asset to the nation. The EAC worked as a crucial conduct communicating cybersecurity threat indicators and other national security information from the Federal Bureau of Investigation (FBI) and DHS to the states and localities so they could better protect their cyber-systems against potential threats. This role evolved into the EAC’s ongoing leadership role in the establishment and management of DHS’s elections infrastructure as critical infrastructure national security efforts.

The nation’s thousands of semi-autonomous elections jurisdictions have different needs and consume information in different ways. So, the EAC’s distribution efforts must be active and strategic. One manner in which the EAC currently and plans to continue reaching out to its stakeholders in FY 2020 is in person, attending state, regional, and national conferences to reach election officials that would not be reached otherwise. Often these in-person conferences are one of the most impactful continuing learning opportunities for local election officials. So, the EAC makes an active effort to bring its resources to these conferences. There, the EAC talks about its resources and how they can help election officials and voters and distributes the resources in person. These resources are often white papers, slide decks, quick start guides, and access to videos. One particularly well received resource that the EAC developed and distributed in FY2018 was a video detailing how elections are secured. This video was created for election officials to use to educate their offices and voters in order to increase the nation’s confidence in the existing security measures that protect the nation’s elections. The EAC also brings its “Election Officials as IT Managers” class to states and localities and teaches these classes in person. The EAC Commissioners often take the lead on this in-person outreach effort, and the EAC staff members also regularly contribute to this effort as well.

Another method through which the EAC distributes its resources is through digital mediums. The EAC’s website is a popular resource for voters and election officials as they seek help in either participating in or improving elections. On the EAC’s website, the agency hosts downloadable copies of all of its current and legacy resources. The most popular set of resources on the EAC’s website is the agency’s resources

for voters, particularly voter registration. Every day, voters and potential voters come to the EAC's website to learn how to register to vote. The EAC's website provides an easy-to-use map that helps voters navigate to resources for their state. This request includes funds for continued maintenance of the EAC's website and other similar digital outreach platforms.

The EAC's strategic plan calls for the agency to strategically distribute resources so that the agency is being as effective as possible while also being good stewards of public funds. In FY2020, this will be particularly important as the nation prepares to administer the 2020 general election, and the EAC looks forward to continuing to serve in this role.

### **The FY 2020 Request**

For FY 2020, the EAC requests funding to continue to distribute Congressionally appropriated funds, provide technical assistance to the recipients of federal funds, audit the use of federal funds, and distribute the EAC's clearinghouse resources. This request includes funds for staff, travel to states for resource distribution and audit purposes, and a financial management support contract that includes pre- and post-audit technical assistance for the States.

## **OPERATE**

### **Strategic Goal 4: Ensure continued effective operation of EAC in order to achieve its goals while acting as good stewards of public funds. \$563,377.18**

Goal 4 is administered by the Executive Director with contributions from all EAC divisions. Objectives and success indicators for the goal are as follows:

#### **OBJECTIVES**

The objectives of the goal are to contribute positively and effectively to the broader federal community through active contribution and compliance; continue to build a skilled, diverse, and effective workforce that ensures the EAC has the human capital needed to achieve its mission; develop and continue to manage internal structures, tools that produce a culture of innovation and a driven workforce where thought leaders thrive; and institutionalize an increased level of strategic and cross-agency thinking.

#### **SUCCESS INDICATORS**

The anticipated success indicators of the goal are the existence of inter-agency programs that provide unique value or generate efficiencies; continuing compliance with federal regulations and mandates; and internal strategic planning capacity development at the division and programmatic levels.

#### *Workforce Planning and Development*

One of the first tasks that the EAC's current Commissioners completed upon being appointed was to pass a new policy document that required the EAC's Executive Director to work with the Office of Personnel Management (OPM) to assess the agency's workforce and structure to help ensure that the agency was operating efficiently. Fulfilling this requirement, the EAC is now nearing completion a year-long process wherein the agency engaged with OPM to do just this. The agency's strategic plan takes this initiative one step further and calls for specific areas of development and focus as the agency continues to work efficiently and effectively. As the EAC looks to FY 2020, it plans to continue its efforts

on this front by continuing its workforce planning and development efforts, continuing its programs and initiatives that promote and require cross-divisional thinking within the agency, and work to ensure the agency's compliance with all federal requirements. Through the Commission's workforce planning and development efforts, the EAC is and will continue to evaluate its approaches to recruiting and retaining employees as OMB indicates is preferred on page 2 of the document titled "Supplemental Management Guidance for FY 2020 Budget Submissions."

*Contributing Positively and Effectively to the Federal Government through Cross-Agency Initiatives*

The EAC is not the only agency that develops resources that are useful to election officials and voters, but the EAC is the only agency that focuses on the whole of elections. This focus allots the agency a unique perspective that allows the agency to help its stakeholders understand how resources from the broader federal community can best be used alongside other election administration resources. Also because of the EAC's clearinghouse charge, the agency is particularly positioned to work with other agencies to build and distribute increased numbers and quality of resources to EAC stakeholders. Under the agency's work through this objective, the EAC regularly and plans to continue to regularly work with other federal agencies to cooperatively help the nation. The EAC's critical infrastructure efforts are a good example of this.

The EAC actively leads many of DHS's national security efforts to secure the nation's elections against foreign actors. In 2017, the EAC played a critical role in helping DHS to stand up its operational infrastructure for protecting elections infrastructure, and since that time the EAC has been a leading member of the Government Coordinating Council (GCC) and its executive committee. These groups are DHS committees, but the EAC leads in them as a subject matter expert to help ensure that the country is getting the best resources it can to defend its elections.

This cooperative national security effort extends past the EAC's efforts with DHS. The EAC also works with the FBI, ODNI, NIST, and representatives from the Department of Defense. Often other agencies reach out to the EAC for elections expertise to inform their decision making and resource development. National security is not the only area where the EAC works alongside other agencies. The EAC works with the U.S. Postal Service to help serve voters who vote and receive information by mail. The EAC works with NIST to develop the EAC's Voluntary Voting System Guidelines (VVSG). The EAC works with the Department of Defense to better serve military and overseas voters. The EAC also works with the FBI and its Election Crimes Branch to inform states and localities as to their legal requirements. As more agencies look to help provide resource for election administration, the EAC looks forward to acting as a key team-player to inform the broader federal government's decision making in this crucial area.

**The FY 2020 Request**

For FY 2020, the EAC request funds to work alongside other federal agencies to collectively secure the nation's elections, serve voters domestically as well as abroad, serve military voters, strategically develop and manage its staff, and comply with Congress's mandatory reporting requirements

**Additional Request**

**Funding to move the agency's offices**

The EAC also requests \$2.4 million for relocations expenses to help the agency better fulfill its congressionally mandated mission, helping to improve the nation's election administration. HAVA mandates the EAC operate as a clearinghouse to advance the administration of U.S. elections by studying election administration practices, administering the national voter registration form, testing and certifying voting systems, and distributing Congressional appropriated funds. Inherent in all of the EAC's mandates is the convening of stakeholders. Furthermore, events such as threats against the nation's election infrastructure have forced the Commission's mission to evolve.

The EAC's mission requires interaction with the public in a suitable and accessible environment. In fact, the convening of accessibility expertise is specifically mentioned in the EAC's chartering legislation. The EAC's current location however, has limited convening and meeting space which is not accompanied by ADA required facilities. The EAC works to continue to achieve this component of its mission, but the rental of outside space and equipment regularly requires the EAC to incur increased costs. Leading up to the 2020 General Election the EAC will convene an increased number of meetings to help prepare for the general election. As such, these costs will only increase if the agency cannot move on its requested timeline.

Additionally, the Commission currently works with the Department of Homeland Security (DHS), the Department of Defense, the U.S. Postal Service, and Congress on cross-agency projects and priorities. However the agency's location also makes it more difficult to work these other crucial federal partners. For example, the EAC regularly reports to Congress on the \$380 million of congressionally appropriated election improvement funds. However, the EAC is not located near Congress. Also, the EAC works closely with DHS to secure our nation's elections infrastructure, but is not located near any DHS facilities. A new location would allow the EAC to better contribute to this national priority.

Lastly, the Senate recently confirmed two new Presidential appointed EAC commissioners. This is the first time the agency has had four commissioners since 2009, which was before the agency moved to its current location. It is essential for EAC Commissioners to have a fully-functional work space and access to resources, but the current space does not adequately provide this.

Receiving these funds for FY 2020 will allow the EAC to best achieve its mission by using the new location to better facilitate the Commission's election year programs in support of the coming 2020 general election. EAC initiatives impacted by the timeliness of the agency's move include: supporting the cybersecurity of the nation's election systems; helping election officials prepare to administer the 2020 by registering voters, managing poll workers, and procuring as well as using modern voting systems; and assisting voters as they prepare to participate in the coming election. Additionally, the EAC is traditionally one of the first points of contact for international organizations and representatives from foreign governments when they observe U.S. Elections. This timeline would allow the EAC to better represent the nation as the world observes our democratic processes in 2020.



### **Information Technology (IT) Infrastructure**

The Office of the Information Technology continues to explore new innovations to update and improve network services for security, availability, efficiency and productivity. EAC operates its own infrastructure, using GSA's backbone for security purposes. The IT staff of three maintains personal computers, smart phones, and servers; provides software requested by EAC staff, remote access services, and an interactive voice response telephone system; performs vulnerability scans (in addition to GSA's backbone infrastructure scans); and remediates and updates security patches so that staff are equipped to perform work both on- and off-site in a secure environment.

GSA manages a firewall, external intrusion detection, T1 lines and routers and switches for Federal Information Security Management Act (FISMA) compliance on EAC's behalf. EAC's cyber security management needs are covered by GSA through an annual Memorandum of Understanding for IT services and equipment at approximately \$100,000 for FY 2020. The agreement funds the tools that enable GSA to continuously monitor EAC's IT systems security as described in OMB M-10-15, *FY 2010 Reporting Instructions for the FISMA and Agency Privacy Management* dated April 21, 2010. In FY 2018, EAC received a clean opinion on its FISMA audit.

### **Status of Management Challenges**

EAC's Inspector General reported on two categories of management challenges in October 2018: records management and lack of a quorum on the Commission. Regarding records management, the EAC established an electronic filing system which allows the EAC to effectively manage and file records. Secondly, the lack of a quorum on the Commission has been resolved. Recently, the Senate confirmed two new Commissioners. This is the first time the agency has had four commissioners in ten years.

### **Improper Payments**

The Improper Payments Act requires each Federal agency to assess all programs and identify which, if any, may be subject to high risk with respect to improper payments. In 2018, the Consolidated Appropriations Act of 2018 was signed into law, making \$380 million available to states to improve the administration of federal election. The EAC was charged to administer these funds to states. This is the EAC's only program that meets the OMB Circular A-123 Part B's definition for being "susceptible to erroneous payments."

The Payments and Grants Division used EAC internal controls to review states narrative and budget plans to administer funds to states. After final review, the payments were processed through the Department of Treasury's Bureau of the Fiscal Service (BFS). The EAC utilized its financial services provider, BFS, to monitor and process grant obligations and disbursements to states. The states were able to draw down grant funds from their SAM account. In FY 2018, BFS reported no improper payments made for the Election Security Grants.

Additionally, BFS performed a qualitative risk assessment questionnaire to determine susceptibility to improper payments. The assessment concluded that the grant payments have a low risk to improper payments. Therefore, EAC does not need corrective actions plans for the one-time, Election Security Grants program. There are no statutory or regulatory barriers that will impact the ability of EAC to successfully complete corrective actions to reduce improper payments if they were needed.

The Payment Recapture Audit performed by BFS identified zero improper payments for the Election Security Grants program.

**Mandated Reports to Congress**

EAC continues to provide an annual report of EAC activities to Congress by January 31 of each year for the preceding year ending September 30. Due to the government shutdown, the current report was released March 15<sup>th</sup> 2019.

EAC continues to provide a biennial report on the impact of the NVRA by June 30 of each odd-numbered year. The latest report was released on June 29, 2017.

EAC provides recommendations to improve election data collection and data provided to Congress in the biennial report on the Election Administration and Voting released in the fall of the year subsequent to the Federal election. The current report was released on June 29, 2017.

**Attachment A**

**Office of Inspector General**

**BACKGROUND**

The United States Election Assistance Commission (EAC) is a bipartisan Commission created and authorized by the Help America Vote Act of 2002 (HAVA). The Office of Inspector General (OIG) was established by HAVA and the Inspector General Act of 1978 (IG Act), as amended, to provide independent and objective reporting to EAC and Congress through its audit and investigative activities.

Charged with the identification and prevention of waste, fraud, and abuse of Federal resources, the OIG strives to promote economy, efficiency and effectiveness in EAC programs and operations. To accomplish this goal, OIG conducts regular audits of recipients of grant funds distributed by the EAC, annual audits of EAC's operations, and periodic reviews and audits of EAC program operations and transactions. In addition, the OIG conducts investigations in response to allegations against EAC, its grant recipients, or other third parties involved in EAC programs.

**THE BUDGET IN SUMMARY**

OIG's fiscal year (FY) 2020 request of \$1,065,000 includes \$2,770 as a transfer to the Council of Inspectors General for Integrity and Efficiency (CIGIE) in keeping with the provisions of the Inspector General Reform Act of 2008. The request also includes \$10,000 for costs associated with training and professional development for OIG's full-time employees.

**OIG ACTIVITIES AND PROJECTS**

OIG primarily engages in three activities or projects: auditing grant programs, conducting investigations of grant recipients or other third parties related to EAC programs, and conducting audits and investigations of EAC programs and operations.

**Auditing Grant Programs**

Section 902 of HAVA gives EAC and other agencies making a grant or payment the authority to conduct audits of any recipients of funds. EAC is further authorized to conduct regular audits of funds distributed under HAVA. OIG conducts those audits on behalf of EAC.

Over the past several years, OIG has focused on auditing the grants distributed to states under Title II of HAVA. These grants represented the vast majority of grant funds distributed by the EAC through fiscal year 2010. The objectives of the state audits were to determine whether the state: (1) expended HAVA payments in accordance with the HAVA and related administrative requirements; and (2) complied with the HAVA requirements for replacing punch card or lever voting machines, establishing an election fund, appropriating five percent matching funds, and maintaining state expenditures for elections at a level not less than expended in the state's base fiscal year.

In fiscal year 2018, EAC received an appropriation in the amount of \$380 million in formula grants to states to improve the administration of elections for Federal office, including to enhance technology and make election security improvements. Beginning in fiscal year 2019 and continuing in fiscal year 2020, the OIG intends to audit these HAVA Election Security Fund grants. States will be selected for audits of their election security grants based on an OIG's risk assessment. That risk assessment includes evaluation of each state's past performance as measured by prior audit outcomes, amount of funding each state received, and the amount of money each state has spent, among other factors.

OIG's program to ensure economy, efficiency and integrity in the use of funds is not limited to audits. OIG has also worked with the EAC to help educate states on the requirements that are associated with federal funding.

In the coming fiscal years, OIG will continue to work to protect the federal investment in the electoral process and to promote economy, efficiency, and integrity in EAC grant programs through its audit and education programs.

### **Investigations**

When allegations are made concerning the misappropriation of HAVA funds, the OIG is responsible for investigating those allegations. OIG has instituted a number of activities to improve and increase information available to EAC employees and the general public about how and when to make complaints of fraud, waste, abuse and mismanagement. OIG operates a web site that includes the ability to file an on-line complaint.

OIG does not currently employ an investigator. When issues arise that require investigation, OIG contracts with other government agencies for investigative services.

### **Internal Audits**

OIG is also responsible for conducting reviews, audits, and investigations of EAC's internal policies, procedures, and actions. Over the past several fiscal years, OIG has conducted a number of internal reviews. OIG has issued a total of 37 reports regarding EAC's operations. These reports assess the efficiency of EAC's operation and its compliance with governing statutes and regulations, including compliance with the Federal Information Security Management Act (FISMA), the Digital Accountability and Transparency (DATA) Act, and compliance with the Federal Travel Regulations.

## **OIG GOALS AND OBJECTIVES**

In FY 2020, OIG will continue to monitor spending by EAC grant recipients, conducting external investigations, and auditing and investigating EAC programs and operations as needed. OIG is currently staffed by one full-time employee, the Inspector General. The current budget request includes funding for an Assistant Inspector General for Audit, who will assist the IG in

overseeing the work of contract auditors and perform some small audits as well. OIG will continue to use contract auditors in FY 2020 to conduct its large audits.

**GOAL 1:** *Protect the Federal investment in our electoral system.*

The Federal government has made a sizable investment in the American electoral system. Congress had appropriated \$3.25 billion in grant funds to the states for improvement of election infrastructure and processes through 2010 and provided an additional \$380 million to states for election security grants.

OIG relies primarily on contract auditors to conduct audits of these grants to states. Budgetary restrictions will require that we continue to rely on contractors to conduct the majority of the audits of grant recipients. OIG will continue to focus efforts on monitoring spending of the \$3.6 billion in grants appropriated to the states, with a primary emphasis on the recent election security grants.

**GOAL 2:** *Promote economy, efficiency and integrity in EAC programs and operations.*

A critical portion of the OIG mission is to promote economy and efficiency in government programs and operations and to detect and prevent fraud, waste, abuse, and mismanagement in government programs and involving government resources. OIG fulfills this portion of its mission by conducting audits and evaluations of EAC operations, including contracting for an annual audit of financial statements and a review of compliance with the Federal Information Security Management Act (FISMA). While these two reviews cover a large portion of EAC's operations on an annual basis, OIG also conducts audits and evaluations of programs or specific EAC transactions.

OIG is also charged with identifying and investigating waste, fraud and abuse in EAC programs and operations. To meet this requirement, OIG operates a hotline that allows people to make complaints via telephone, fax, email, mail, and on-line. Using the web site the OIG reaches out to those persons involved with EAC and its programs, as well as those impacted by those programs to ensure they know how and where to make complaints of fraud, waste, abuse, or mismanagement.

OIG can help ensure integrity in EAC programs and operations by investigating alleged waste, fraud or abuse. Complaints from the hotline as well as information from audits and evaluations can identify potential civil or criminal wrongdoing. When OIG identifies potential wrongdoing, it can institute an investigation. OIG will continue to rely upon interagency agreements with other offices of Inspector General to conduct investigations of fraud, waste, abuse and mismanagement.

**GOAL 3:** *Effectively communicate successes and opportunities for improvement.*

OIG uses various tools to communicate with the EAC, the Congress, and the general public concerning the status of EAC's programs and operations as well as OIG's activities in conducting audits, evaluations, inspections, and investigations. OIG issues reports following

each formal engagement, regardless of type. Reports are disbursed to the entity that is the subject of the audit or evaluation, as well as the EAC and, when appropriate, oversight and appropriations committees of Congress. All Semiannual Reports to Congress, reports of Top Management Challenges, and reports that contain recommendations are posted to the EAC OIG website and to Oversight.gov.

OIG also produces two semi-annual reports to Congress in each fiscal year. Those reports summarize the audit, evaluation, inspection and investigation reports issued by OIG during the relevant six months. The documents also report on OIG activities by including statistics such as recommendations outstanding, the amount of costs that were questioned, as well as how much in federal funding could be put to better use.

OIG also uses technology to communicate with its stakeholders and the public. The OIG operates a web site where it makes information available concerning its operations, issued reports, rights and protections for whistleblowers, as well as an on-line form for making complaints of fraud, waste, abuse and mismanagement.

In FY 2020, OIG will continue its outreach efforts to keep EAC, Congress and the public informed of OIG's activities as well as its reviews of EAC programs and operations.

**GOAL 4:** *Effective and efficient OIG operations.*

As OIG evaluates the effectiveness and efficiency of EAC programs and operations, it is important for the OIG to ensure that its operations are effective and efficient, including having the needed policies, procedures and practices to underpin its operations. The current funding request includes salary and benefits for an Assistant Inspector General for Audits to assist the IG in covering the increased workload created by the new election security grant funding and to provide continuity in the OIG activity in the event the IG position would become vacant. The additional staffing also accounts for increases in expected training costs.

OIG will focus on providing a supportive working environment including providing professional education and training for its employees. All OIG employees will be required to meet the continuing education requirements applicable under the Generally Accepted Government Auditing Standards.

The OIG also participates in the CIGIE peer review program by conducting peer reviews of other OIGs and by undergoing triennial peer reviews as well. These peer reviews provide additional assurance that the work of the EAC OIG meets or exceeds the highest professional standards

U. S. Election Assistance Commission  
Fiscal Year 2020 Budget Request

<b>OIG BUDGET REQUEST BY OBJECT CLASS</b>				
		<b>FY 2018 Enacted</b>	<b>FY 2019 Request</b>	<b>FY 2020 Request</b>
	<b>Personal Compensation and Benefits</b>			
11.1	Full-time permanent	\$ 153,750	\$ 153,750	\$ 225,552
11.9	Total personal compensation	153,750	153,750	225,552
12.1	Civilian personnel benefits	55,925	55,730	83,928
<b>OIG BUDGET REQUEST BY OBJECT CLASS</b>				
		<b>FY 2018</b>	<b>FY 2019</b>	<b>FY 2020</b>
	<b>Contractual Services and Supplies</b>			
21	Travel and transportation of persons	10,000	10,000	15,000
24	Printing and reproduction	1,000	1,000	1,000
25.2	Other services	799,170	786,700	677,750
25.3	Other purchases of goods and services from Government accounts	35,000	35,000	55,000
26	Supplies and materials	3,600	3,600	2,000
	Acquisition of Assets			
31	Equipment	4,500	4,500	2,000
94	Financial Transfers	2,355	3,000	2,770
	<b>Total Program</b>	<b>\$ 1,065,300</b>	<b>\$ 1,052,730</b>	<b>\$ 1,065,000</b>