U.S. Election Assistance Commission

FY 2011 Summary of Performance and Financial Information

Assisting the effective administration of Federal elections

Purpose of the Report

This Fiscal Year (FY) 2011 Summary of Performance and Financial Information represents the U.S. Election Assistance Commission's (EAC's) effort to provide a summary of key agency goals, information on how appropriated funds are used, and plans to both build on successes and address challenges.

Background

Congress passed the Help America Vote Act (HAVA) of 2002 in response to issues raised in the 2000 Presidential election. The law recognizes the need for States to invest in their election infrastructure and sets out a comprehensive program of funding to the States, voluntary guidance, and ongoing research into the improvement of Federal elections. To foster those programs and to promote and enhance voting for United States citizens, HAVA established the EAC.

EAC is charged with, among other activities:

- Serving as a clearinghouse of information on the administration of Federal elections for election officials and voters,
- Certifying voting equipment to voluntary voting system standards adopted by the Commission,
- Providing voluntary guidance on computerized statewide voter registration databases and provisional voting to the states.
- Maintaining the National Voter Registration Act form,
- Making information available to the public on voting activity of individuals covered by the Uniformed and Overseas Citizens Absentee Voting Act, and
- Distributing HAVA funds to States for improvements to the administration of elections for Federal office.

Federal election improvements include support of poll worker training, education of the public on voting rights such as provisional voting, and helping provide voters with polling place access information such as when and where to vote.

In FY 2011, EAC, with input from the U.S. Department of Commerce National Institute of Standards and Technology (NIST) and the United States Access Board, awarded $4,500,000 to Clemson University in Clemson, SC and $2,500,000 to the Information Technology and Innovation Foundation in Washington, DC for Accessible Voting Technology Initiative grants. The initiative supports research and development activities to increase the accessibility of new, existing, and emerging technological solutions in areas such as assistive technologies, interoperability, and the design of voting systems. Funding supports research for: 1) promising technologies and practices; 2) technology testing and adoption; and 3) development of administrative processes and training improvements to increase accessibility of existing voting procedures and election systems.

In FY 2011, EAC awarded $1,463,074 to 12 grant recipients for the Voting System Pre-Election Logic and Accuracy Testing (L&A) and Post-Election Audit Initiative. The purpose of the initiative is to develop and document processes and best practices for coordinating quality and cost-effective voting

system pre-election L&A testing, and post-election audits. Outcomes will include tool kits, guides, best practices, research findings and recommendations that can be disseminated widely within the election community.

Additionally, EAC monitors funds for the College Poll Worker and Mock Election grant programs. The College Poll Worker program seeks to attract a new generation of poll workers, critical to the administration of elections. The College Poll Workers are trained on setting up polling places, greeting voters, checking voter names on voting registers, checking voter identification where required, staffing information booths, demonstrating use of the machines to voters, answering voter questions, serving as election observers, assisting voters with disabilities, securing voting machines at the end of election day, counting votes, and transmitting election results.

The Mock Election grants promote voter participation in national elections through voter education activities for high school students and their parents. The students are provided with a "behind-the-scenes" look at the elections process, and learn about setting up polling places, registering to vote, and casting informed ballots. The grants help build community involvement in and awareness of the election process, and encourage future civic engagement and participation by the students involved in the program.

Strategic Goals

In March 2009, EAC adopted it first Strategic Plan for 2009 through 2014, with five strategic goals:

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

> **Fund and Oversee** -- Deliver and manage Federal funds effectively.

> **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.

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

> **Manage** -- Achieve organizational and management excellence.

Performance Data and Key Performance Measures

During FY 2011, to accomplish the Communicate goal, the Communications & Clearinghouse office focused efforts on providing information and best practices to election officials and voters in preparation for the 2012 federal election cycle with the goal of building a community of knowledge and expertise that would save election officials time and money. EAC:

- Established The Election Official Exchange to help local election officials connect and leverage their collective knowledge by sharing best practices and information;
- Re-vamped the eac.gov search tool based on usability studies and user feedback;
- Added Events Finder to the website for a more comprehensive presentation of all EAC public events;
- Made On-Demand webcasts of public meetings and roundtables available within 24 hours;
- Provided Customized program updates so the public can customize the kind of information and the frequency that it is delivered via EAC's newsletter and automatic program updates;
- Initiated The EAC Blog to provide periodic election updates and highlight program activities; @EACgov on Twitter to rapidly deliver information and updates about the voting system certification program, communicate with election officials, and build a community of expertise; and #BReady2012, the Twitter hashtag where election officials and the public can gather and discuss preparation for the next Federal election;
- Delivered communications presentations to election officials and the Public, including the Electronic Verification Network, the Ohio Association of Election Officials and the National Conference of State Legislatures; and
- Offered a series of public roundtable discussions with election officials and subject experts in preparation for 2012 federal election cycle, webcast live and featuring a live Twitterfall on Design Counts in Elections, and Voting Goes Viral: Using New Media to Manage an Election and Communicate with Voters. Questions and comments were taken from the public throughout the webcasts.

Grants Management

In FY 2011, EAC:

- Awarded two grants totaling $7 million for the Accessible Voting Technology Initiative to support research and development activities to increase the accessibility of new, existing, and emerging technological solutions;
- Awarded $1,463,074 to 12 grantees for the Voting System Pre-Election Logic and Accuracy (L&A) Testing and Post-Election Audit Initiative for development, documentation and best practices in L&A and post-election audits.
- Paid $30,032,324 from the FY 2008 appropriation, $38,299,071 from the FY 2009 appropriation and $26,888,473 from the FY 2010 appropriation to the States for Section 251 Requirements Payments which are used for meeting Title III voting system and other requirements, and to improve the administration of Federal elections;
- Reported to Congress on how the States have spent HAVA funds; and
- Coordinated a series of teleconferences for ongoing College Poll Worker and Mock Election Programs focused on *Teacher and School Administration Involvement*, *Sustainability Post Grant* and *Outreach Efforts for Community Involvement;*

Research, Policy and Programs

In FY 2011, EAC:

- Administered the 2010 Election Administration & Voting Survey to 50 States, the District of Columbia, and four territories;
- Reported to Congress on the findings of the 2009-2010 Impact of the National Voter Registration Act of 1993 (released in June 2011);
- Completed the 2010 Statutory Overview report, which is a recitation of States' election laws and procedures (released in May 2011);
- Drafted the initial mandated Recounts and Contests study;
- Selected a contractor to collect and analyze data for the mandated Election Administration in Urban and Rural Settings study;
- Completed the final public hearing on a Notice of Proposed Rulemaking to revise the National Voter Registration Act of 1993 regulations and collected input from 34 public commenters;
- Received and processed State requests for modifications to the state-specific instructions on the National Mail Voter Registration Form;
- Revised *A Voter's Guide to Federal Elections* in anticipation of the 2012 election and translated it into nine languages: Chinese, Cherokee, Dakota, Japanese, Korean, Spanish, Tagalog, Vietnamese, and Yu'Pik;
- Developed a searchable online version of the *Glossaries of Election Terminology* at www.eac.gov/glossary/default.aspx; and
- Solicited feedback from EAC College Poll Worker and Mock Election grantees via teleconferences for updating the *Guidebook for Recruiting College Poll Workers*.

Voting Systems Testing and Certification

In FY 2011, EAC:

- Certified one full system, ES&S Unity 3.2.1.0, and one modification, Unisyn 1.01;
- Performed testing for eleven voting systems or system modifications;
- Completed the *Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA) Registration and Voting Process* white paper;
- Published *A Survey of Internet Voting*;
- Performed ongoing work with the National Institute of Standards and Technology to complete revision to Voluntary Voting System Guidelines (VVSG) 1.1 Draft;
- Participated in the SLI Global National Voluntary Laboratory Accreditation Program audit January 31-February 2, 2011;
- Held roundtable discussions regarding the 2010 elections and preparations for 2012; Commercially-available Off-the-Shelf (COTS) software; and Life Cycle of a Voting System; and
- Participated in meetings on State voting system certification, options for a competition run by Federal Voting Assistance Program to solicit system architecture for a UOCAVA internet voting demonstration project, VVSG requirements, test suites, Internet Voting and USENIX/EVoting, current testing for the State of Oklahoma, and voting system sustainability.

Agency Assessment of Performance

Since the Strategic Plan was adopted mid-year in FY 2009, EAC has been refining metrics, and developing systems to collect performance data and the internal controls needed to ensure that reported

performance is adequately supported. At this stage of development of agency performance measurement, we are reporting on outputs. The outputs establish the infrastructure required to begin the process of developing and improving program outcomes.

Key Management Challenges and Assurances

EAC continues to improve it programs and operations, strengthen internal controls, financial management, and information technology. The data provided in the Agency Financial Report for FY 2011 containing audited financial statements is reliable and complete. This is the third year EAC has received an unqualified, or "clean", opinion on the financial statements.

In FY 2011, EAC worked to resolve one material weakness in the effectiveness of its internal control over operations: lack of effective written policies and procedures. With the open material weakness, the Commission provides a qualified statement of assurance that internal control and financial management systems meet the objectives of the Federal Managers' Financial Integrity Act.

Financial Results

In FY 2011, EAC's appropriations totaled $16.3 million for Salaries and Expenses. By the end of FY 2011, EAC had a balance of $2.2 million on hand in no-year Election Reform program grant funds.

Since the passage of HAVA, Congress has appropriated nearly $3.3 billion to support States in improving the administration of Federal elections, primarily by purchasing and upgrading systems for casting votes and for registering voters in statewide voter registration systems. States have also used HAVA funds to:

1) implement provisional voting;
2) train election officials, poll workers, and voters;
3) improve polling place accessibility;
4) provide voter information at the polling places;
5) provide language assistance for citizens who are not proficient in English;
6) use toll free telephone lines; and
7) establish identification requirements for first-time voters who register to vote by mail.

The FY 2011 Agency Financial Report and Annual Performance Report, and the FY 2013 Congressional Budget Justification can be found on the agency website www.eac.gov under Operations, Budget and Finance.