

3. At the polls, [STATE] has different ID requirements for first-time voters who registered to vote by mail than it does for voters who have cast a ballot in another recent election. Please circle one.

True

False

4. All first-time voters in [STATE] are required to show government-issued photo ID at the polls. Please circle one.

True

False

5. Which of the following types of ID may first-time voters who registered to vote by mail show at the polls in order to meet [STATE'S] identification requirements? Please circle all that apply.

Any current and valid photo ID

Government-issued photo ID

Current utility bill

Bank statement

Government check

Paycheck

Any government document that includes the voter's name and address

All of the above

None of the above

**PART TWO**

**Instructions**

Please base your answers to the following questions on your own opinions and experiences.

1. On a scale of one to 10, with one being the least confident and 10 being the most confident, how confident are you that you understand [STATE'S] ID requirements for first-time voters who register to vote by mail? Please circle one.

1    2    3    4    5    6    7    8    9    10

2. How did you learn of [STATE'S] ID requirements for first-time voters who register to vote by mail? Please circle all that apply.

TV or radio advertisement(s)

State elections website

News reports

Local elections website

I contacted my state election office

I contacted my local election office

Instructions on voter registration form

From a poll worker at the polling place

All of the above

None of the above

Other (please explain)

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3. How effectively do you believe [STATE] communicated its ID requirements for first-time voters? Please rate the state on a scale of one to 10, with one being the least effective and 10 being the most effective.

1    2    3    4    5    6    7    8    9    10



009763



"Meredith"  
<mimwalle@winnerscircleco  
mm.com>  
12/12/2006 02:57 PM

To lotero@eac.gov  
cc  
bcc  
Subject Re: OMB Control Number

History: This message has been replied to.

Laiza:

Attached please find the consent form for focus group participants. I'll keep my fingers crossed that your OMB contact gives us the thumbs up.

--MBI

----- Original Message -----

**From:** lotero@eac.gov  
**To:** mimwalle@winnerscirclecomm.com  
**Sent:** Tuesday, December 12, 2006 12:14 PM  
**Subject:** Re: OMB Control Number

At the beginning preferably, but it can go at the end as well. For the number and exp date, it can either be a header or a footer - depends on the layout of your document and your personal preference. Also, when I submitted the documents to OMB, I placed the EAC logo on the upper right hand corner of the documents to make it "official" - I'm attaching the document so you can see it and also a separate file containing the logo in case you want to use it in other documents. Let me know if you have any questions.

Laiza

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

"Meredith" <mimwalle@winnerscirclecomm.com>

12/12/2006 12:36 PM

To lotero@eac.gov  
cc  
Subject Re: OMB Control Number

009764

Thanks Laiza. Have other projects included this information as a header or footer on every page or just at the beginning or end of each document?

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)

**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)

**Sent:** Tuesday, December 12, 2006 11:32 AM

**Subject:** Re: OMB Control Number

No need to put the ICR reference number. Below is the boiler plate information - just insert your information on the parts I have emphasized:

**This information collection is required for the EAC to meet its statutory requirements under the Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301), the National Voter Registration Act (NVRA) (42 U.S.C. 1973gg-1 et seq.), and the Uniformed and Overseas Citizens Absentee Voters Act (UOCAVA) (42 U.S.C. 1973ff-1). Respondent's obligation to reply to this information collection is mandatory as required under NVRA (42 U.S.C. 1973gg-1 et seq.) and UOCAVA (42 U.S.C. 1973ff-1); respondents include the 50 States, the District of Columbia, and the U.S. Territories.** This information will be made publicly available on the EAC website at [www.eac.gov](http://www.eac.gov). According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is **OMB Control No. 3265-0006 (expires 11/30/2009)**. The time required to complete this information collection is estimated to average **115.07 hours per response**. This estimate includes the time for reviewing the instructions, gathering information, and completing the form. Comments regarding this burden estimate should be sent to the Program Manager - 2006 Election Administration and Voting Survey, U.S. Election Assistance Commission, 1225 New York Ave, NW, Suite 1100, Washington, DC 20005.

Below is how it was modified for one of the other projects:

Section 245 of the Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301) requires the U.S. Election Assistance Commission (EAC) to conduct a study of issues and challenges, including the potential for election fraud, that are presented by the incorporation of communications and Internet technologies in the Federal, State, and local electoral process; the EAC is required to submit a report on the results of the study to Congress. In addition, this information will be made publicly available on the EAC website at [www.eac.gov](http://www.eac.gov). Respondents to this survey are uniformed and overseas voters. According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is OMB Control No. 3265-0005 (expires 5/31/2007). The time required to complete this information collection is estimated to average .25 hours per response. This estimate includes the time for reviewing the instructions, gathering information, and completing the form. Comments regarding this burden estimate should be sent to the Program Manager - 2006 Election Administration and Voting Survey, U.S. Election Assistance Commission, 1225 New York Ave, NW, Suite 1100, Washington, DC 20005.

009765

"Meredith" <mimwalle@winnerscirclecomm.com>

12/12/2006 12:04 PM

To: lotero@eac.gov, adamlbourne@gmail.com  
cc  
Subject Re: OMB Control Number

Laiza:

I have the OMB control number and expiration date, but I don't think we ever received the boiler plate information you mentioned below. If you'll send that over, I'll add it to the documents and send them to you today. Also, were you able to determine whether we are required to include the ICR reference number?

Thanks,

*Meredith Battle Imwalle*

*Meredith Battle Imwalle  
President  
Winner's Circle Communications, LLC  
703.786.1823 cell  
<http://www.winnerscirclecomm.com>*

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)  
**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)   
**Cc:** [klynndyson@eac.gov](mailto:klynndyson@eac.gov)  
**Sent:** Monday, December 04, 2006 10:37 AM  
**Subject:** OMB Control Number

Greetings to all,

The OMB Control number for the focus groups collection is: 3265-0007. The expiration date is 5/31/2007. Both these pieces of information need to appear everywhere on the collection instrument - my suggestion is to make them part of the heading or footer of the pages. In addition, there is boiler plate

009766

information I am working on today with our general counsel's office that needs to be included as well - the latter is info on the time and cost burden on respondents, the response requirements (voluntary/mandatory), and compliance with the PRA process - I should have that information by the end of today.

Also, for your records the ICR Reference Number is: 200611-3265-002. This is an internal OMB number given to the request we made. This may or may not have to be included - waiting to hear on that.

If you have any questions or need more information, please, do not hesitate to contact me at your earliest convenience. Have a great day!

Sincerely,

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)



Fax (202) 566-3128 Focus Group Consent Form.doc

009767



**Winner's Circle Communications, LLC for the  
UNITED STATES ELECTION ASSISTANCE COMMISSION  
Study of First-Time Voters Who Register to Vote by Mail**

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**CONSENT TO PARTICIPATE IN A RESEARCH STUDY**

---

**Study Title:** Study on First-Time Voters Who Register to Vote by Mail

**Funding Source:** United States Election Assistance Commission  
**OMB Control No.:** 3265-0007, expires 05/31/2007

**Principal Investigator/Study Contact:**  
Meredith Battle Imwalle  
Winner's Circle Communications, LLC

**Study contact's telephone number:** (703) 786-1823

**Study contact's email address:** admin@winnerscirclecomm.com

---

**What are some general things you should know about research studies?**

You are being asked to take part in a focus group for a research study. Your participation is voluntary. You may decline the invitation to participate or withdraw your consent for any reason without penalty.

Research studies are designed to obtain new knowledge that may help individuals and organizations in the future. You may not receive any direct benefit, other than the designated stipend and reimbursement for travel expenses, for participating in the study.

Details about this study are included below. It is important that you read and understand this information so that you can make an informed decision about whether or not you would like to participate in the study. You will be given a copy of this consent form. You should feel free to ask the study contact named above any questions you have about this study at any time.

**What is the purpose of this study?**

The purpose of this research study is to assess the impact that certain provisions of the federal Help America Vote Act of 2002 (HAVA) have had on first-time voters who register by mail and vote in person; voter registration; the accuracy of state voter rolls; and existing state practices.

Section 303(b) of HAVA requires citizens who registered to vote by mail and who will be voting for the first time in their jurisdiction to supply a copy of a current valid photo identification or government document displaying their name and address before they cast their first ballot. First-time voters can avoid the heightened identification requirements by sending a copy of such identification with their registration materials or providing their driver's license number or a minimum of the last four digits of their Social Security number. If a first-time voter does not comply with any of these requirements, §303(b) allows citizens to cast provisional ballots.

This study will analyze the issues and impediments associated with implementing these federal mandates and make recommendations for program administration and voter education should states choose to implement more stringent voter identification requirements in the future.

The U.S. Election Assistance Commission (EAC), a federal agency established by Congress to provide guidance to the states with regard to administering federal elections, is required by HAVA to complete this study and submit a report on the results to Congress and the White House.

**How many people will take part in this study?**

Approximately 30 people will take part in this research study, which is being conducted in three states: Indiana, North Carolina and Pennsylvania. All participants were chosen in consultation with state and local election offices in order to ensure that each group is representative of first-time voters in the state.

**How long will your part in this study last?**

Your participation in this focus group will last approximately two hours and fifteen minutes.

**What can you expect if you take part in the study?**

The focus group will be asked questions designed to assess their actual experiences with voter identification requirements for first-time voters. No questions will be directed to you individually, but instead will be posed to the group. You may choose to respond or not respond at any point during the discussion. The focus group discussion will be recorded on audio tape so that the study contact may capture all comments for future analysis.

**What are the possible benefits from being in this study?**

This particular study will provide state and federal officials with information designed to help them develop future voter identification requirements and related voter education materials and programs. You may not receive any direct benefit, other than the designated stipend and reimbursement for travel expenses, for participating in the study.

009769

**What are the possible risks involved?**

We do not anticipate any risks to you as a result of participating in this study. It is possible that participants may repeat comments outside of the group at some time in the future. Therefore, we encourage you to be as honest and open as you can, but remain aware of our limits in protecting confidentiality.

**How will your privacy be protected?**

You will not be specifically identified in any report or publication of this study or its results. Your name will not appear on any transcripts. You will instead be assigned a code number. The list which matches names and code numbers will be kept in a locked file cabinet. After the focus group audio recording has been transcribed, the tape and the list of names and corresponding code numbers will be destroyed.

**Will you receive anything for being in this study?**

You will receive a \$100 stipend for your participation in the study.

**Will it cost you anything to be in this study?**

There will be no costs to you for being in the study. You will be reimbursed for up to \$20 in travel expenses.

**What if you have questions about this study?**

You have the right to ask, and have answered, any questions you may have about this research. If you have questions or concerns you should contact the study contact listed on the first page of this form.

---

**Participant's Agreement:**

I have read the information provided above. I have asked and had answered all of the questions I have at this time. I voluntarily agree to participate in this research study.

\_\_\_\_\_  
Signature of Research Participant

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name of Research Participant

\_\_\_\_\_  
Signature of Person Obtaining Consent

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name of Person Obtaining Consent

009770

OMB Control No. 3265-007, expires 05/31/2007

**About This Study**

Section 245 of the Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301) requires the U.S. Election Assistance Commission (EAC) to conduct a series of studies, including this study of first-time voters who register to vote by mail. The EAC will submit a report on the results of this study to Congress and the White House; and the agency will make the document publicly available on its website: [www.eac.gov](http://www.eac.gov). Focus group participants will include first-time voters who registered to vote by mail.

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is OMB Control No. 3265-007, which expires 05/31/2007. The time required to complete this information collection is estimated to average 2 hours and 15 minutes per focus group participant and 4 hours per state/local election office. This estimate includes the time it will take each focus group participant to complete the focus group discussion and a short quiz. The time burden estimate for state/local election offices includes the time it will take to identify potential focus group participants. Comments regarding this burden estimate should be sent to the Program Manager – Study on First-Time Voters Who Register to Vote by Mail, U.S. Election Assistance Commission, 1225 New York Ave, NW, Suite 1100, Washington, DC 20005.

009771



"Meredith"  
<mimwalle@winnerscircleco  
mm.com>

12/12/2006 03:03 PM

To lotero@eac.gov

cc

bcc

Subject Re: OMB Control Number

History:

This message has been replied to.

Laiza:

I've attached the focus group script and quiz, as approved by OMB, including the required OMB information. I tried to paste the OMB info on the first page of each document, but then thought all of that gov-speak at the beginning might be overwhelming to our focus group participants. I ended up putting it at the end instead. Please let me know if these versions will work.

Thanks!

--MBI

----- Original Message -----

**From:** lotero@eac.gov

**To:** mimwalle@winnerscirclecomm.com

**Sent:** Tuesday, December 12, 2006 12:14 PM

**Subject:** Re: OMB Control Number

At the beginning preferably, but it can go at the end as well. For the number and exp date, it can either be a header or a footer - depends on the layout of your document and your personal preference. Also, when I submitted the documents to OMB, I placed the EAC logo on the upper right hand corner of the documents to make it "official" - I'm attaching the document so you can see it and also a separate file containing the logo in case you want to use it in other documents. Let me know if you have any questions.

Laiza

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

"Meredith" <mimwalle@winnerscirclecomm.com>

12/12/2006 12:36 PM

To lotero@eac.gov

cc

Subject Re: OMB Control Number

009772

Thanks Laiza. Have other projects included this information as a header or footer on every page or just at the beginning or end of each document?

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)

**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)

**Sent:** Tuesday, December 12, 2006 11:32 AM

**Subject:** Re: OMB Control Number

No need to put the ICR reference number. Below is the boiler plate information - just insert your information on the parts I have emphasized:

**This information collection is required for the EAC to meet its statutory requirements under the Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301), the National Voter Registration Act (NVRA) (42 U.S.C. 1973gg-1 et seq.), and the Uniformed and Overseas Citizens Absentee Voters Act (UOCAVA) (42 U.S.C. 1973ff-1). Respondent's obligation to reply to this information collection is mandatory as required under NVRA (42 U.S.C. 1973gg-1 et seq.) and UOCAVA (42 U.S.C. 1973ff-1); respondents include the 50 States, the District of Columbia, and the U.S. Territories.** This information will be made publicly available on the EAC website at [www.eac.gov](http://www.eac.gov). According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is **OMB Control No. 3265-0006 (expires 11/30/2009)**. The time required to complete this information collection is estimated to average **115.07 hours per response**. This estimate includes the time for reviewing the instructions, gathering information, and completing the form. Comments regarding this burden estimate should be sent to the Program Manager - 2006 Election Administration and Voting Survey, U.S. Election Assistance Commission, 1225 New York Ave, NW, Suite 1100, Washington, DC 20005.

Below is how it was modified for one of the other projects:

Section 245 of the Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301) requires the U.S. Election Assistance Commission (EAC) to conduct a study of issues and challenges, including the potential for election fraud, that are presented by the incorporation of communications and Internet technologies in the Federal, State, and local electoral process; the EAC is required to submit a report on the results of the study to Congress. In addition, this information will be made publicly available on the EAC website at [www.eac.gov](http://www.eac.gov). Respondents to this survey are uniformed and overseas voters. According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is OMB Control No. 3265-0005 (expires 5/31/2007). The time required to complete this information collection is estimated to average .25 hours per response. This estimate includes the time for reviewing the instructions, gathering information, and completing the

009773

form. Comments regarding this burden estimate should be sent to the Program Manager - 2006 Election Administration and Voting Survey, U.S. Election Assistance Commission, 1225 New York Ave, NW, Suite 1100, Washington, DC 20005.

"Meredith" <mimwalle@winnerscirclecomm.com>

12/12/2006 12:04 PM

To lotero@eac.gov, adamlbourne@gmail.com  
cc

Subject Re: OMB Control Number

Laiza:

I have the OMB control number and expiration date, but I don't think we ever received the boiler plate information you mentioned below. If you'll send that over, I'll add it to the documents and send them to you today. Also, were you able to determine whether we are required to include the ICR reference number?

Thanks,

*Meredith Battle Imwalle*

Meredith Battle Imwalle  
President  
Winner's Circle Communications, LLC  
703.786.1823 cell  
<http://www.winnerscirclecomm.com>

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)  
**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com) ; [adamlbourne@gmail.com](mailto:adamlbourne@gmail.com)  
**Cc:** [klynndyson@eac.gov](mailto:klynndyson@eac.gov)  
**Sent:** Monday, December 04, 2006 10:37 AM  
**Subject:** OMB Control Number

Greetings to all,

009774

The OMB Control number for the focus groups collection is: 3265-0007. The expiration date is 5/31/2007. Both these pieces of information need to appear everywhere on the collection instrument - my suggestion is to make them part of the heading or footer of the pages. In addition, there is boiler plate information I am working on today with our general counsel's office that needs to be included as well - the latter is info on the time and cost burden on respondents, the response requirements (voluntary/mandatory), and compliance with the PRA process - I should have that information by the end of today.

Also, for your records the ICR Reference Number is: 200611-3265-002. This is an internal OMB number given to the request we made. This may or may not have to be included - waiting to hear on that.

If you have any questions or need more information, please, do not hesitate to contact me at your earliest convenience. Have a great day!

Sincerely,

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)



Fax (202) 566-3128 Focus Group Script Final.doc Focus Group Quiz Final.doc

009775



Winner's Circle Communications, LLC for the  
UNITED STATES ELECTION ASSISTANCE COMMISSION  
Study of First-Time Voters Who Register to Vote by Mail

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Quiz for Focus Group Participants

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**PART ONE**

**Instructions**

Please select the answer that best describes your state's laws, rules and/or requirements as you understand them. Your answers to these questions will be used to determine how effectively [STATE] communicated its first-time voter identification, or ID, requirements.

1. What types of ID does [STATE] require each person applying to register to vote, or applicant, to include with his or her voter registration form when that form is submitted via mail? Please circle all that apply.

Driver's License Number

Last four digits of Social Security Number

Copy of Driver's License

Copy of Social Security Card

Entire Social Security Number

Copy of Utility Bill

Copy of photo ID

Any government document with the voter's name and address

All of the above

None of the above

2. If the applicant does not have a driver's license or social security number, the state will assign the applicant a number which will serve to identify the applicant for voter registration purposes. Please circle one.

True

False

3. At the polls, [STATE] has different ID requirements for first-time voters who registered to vote by mail than it does for voters who have cast a ballot in another recent election. Please circle one.

True

False

4. All first-time voters in [STATE] are required to show government-issued photo ID at the polls. Please circle one.

True

False

5. Which of the following types of ID may first-time voters who registered to vote by mail show at the polls in order to meet [STATE'S] identification requirements? Please circle all that apply.

Any current and valid photo ID

Government-issued photo ID

Current utility bill

Bank statement

Government check

Paycheck

Any government document that includes the voter's name and address

All of the above

None of the above

**PART TWO**

**Instructions**

Please base your answers to the following questions on your own opinions and experiences.

1. On a scale of one to 10, with one being the least confident and 10 being the most confident, how confident are you that you understand [STATE'S] ID requirements for first-time voters who register to vote by mail? Please circle one.

1      2      3      4      5      6      7      8      9      10

2. How did you learn of [STATE'S] ID requirements for first-time voters who register to vote by mail? Please circle all that apply.

- |   |   |
|---|---|
| TV or radio advertisement(s)            | State elections website                 |
| News reports                            | Local elections website                 |
| I contacted my state election office    | I contacted my local election office    |
| Instructions on voter registration form | From a poll worker at the polling place |
| All of the above                        | None of the above                       |

Other (please explain)

---

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---

---

3. How effectively do you believe [STATE] communicated its ID requirements for first-time voters? Please rate the state on a scale of one to 10, with one being the least effective and 10 being the most effective.

1      2      3      4      5      6      7      8      9      10

**About This Study**

Section 245 of the Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301) requires the U.S. Election Assistance Commission (EAC) to conduct a series of studies, including this study of first-time voters who register to vote by mail. The EAC will submit a report on the results of this study to Congress and the White House; and the agency will make the document publicly available on its website: [www.eac.gov](http://www.eac.gov). Focus group participants will include first-time voters who registered to vote by mail.

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is OMB Control No. 3265-007, which expires 05/31/2007. The time required to complete this information collection is estimated to average 2 hours and 15 minutes per focus group participant and 4 hours per state/local election office. This estimate includes the time it will take each focus group participant to complete the focus group discussion and a short quiz. The time burden estimate for state/local election offices includes the time it will take to identify potential focus group participants. Comments regarding this burden estimate should be sent to the Program Manager – Study on First-Time Voters Who Register to Vote by Mail, U.S. Election Assistance Commission, 1225 New York Ave, NW, Suite 1100, Washington, DC 20005.



Winner's Circle Communications, LLC for the  
UNITED STATES ELECTION ASSISTANCE COMMISSION  
Study of First-Time Voters Who Register to Vote by Mail

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Focus Group Script and Questions

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Background

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*Introduction*

Thank you for joining us today and agreeing to participate in this focus group discussion of your experiences as first-time voters who registered to vote by mail. My name is Meredith Imwalle and I'll be your facilitator, which means it's my job to keep today's session on track by asking a series of open-ended questions, and some more specific ones, intended to stimulate discussion. My colleague, Adam Bourne, will serve as a co-facilitator.

We've organized this focus group as part of a study our company, Winner's Circle Communications, is conducting on behalf of the United States Election Assistance Commission, a federal government agency created to provide guidance to states implementing election reforms that are required by the federal Help America Vote Act, often referred to as HAVA. Since HAVA require that every state implement certain minimum identification, or ID, requirements for first-time voters like you, we've been asked to find out what your experiences were with registering to vote and voting this year. We hope to use your input to help us determine what state practices are working and how states can best communicate ID requirements to voters.

First let's go over a few ground rules for today:

- Your participation in this focus group is voluntary, and you may stop at any time.
- We hope to gather information about your voting experiences. There are no wrong answers today; please let everyone speak and respect everyone's opinion, even if it is different from your own.
- We will make an audio recording of this session, so that we can be sure not to miss any of your important comments today. The recording will not be released publicly, and it will not be shared with anyone outside of our company.

## **Voters' Level of Understanding of New Requirements**

---

Before we start our discussion today, we'd like to get a sense of how well each of you understand [STATE'S] voter ID requirements for first-time voters. Adam is handing out a quick quiz that we will give you 15 minutes to complete.

By testing your knowledge of [STATE'S] ID requirements, we are hoping to gauge how effectively your state's elections officials communicated the requirements to you, the voters. So please answer the questions as best you can and don't worry if you don't have all of the answers.

*Distribute quizzes; allow participants 15 minutes to complete.*

## **Voters' Experiences Registering to Vote by Mail**

---

### *Introduction*

Now that we've collected your completed quizzes, let's talk about your experiences registering to vote by mail.

### *Questions*

1. We'd like to ask each of you to describe the process of filling out your voter registration application. Please provide an estimate of how long it took you to complete the application and tell us whether you thought the form's instructions for submitting the required identification information (your driver's license number, Social Security Number or the last four digits of your Social Security Number) were easy to understand.
2. If you didn't include your driver's license number, Social Security Number or the last four digits of your Social Security Number with your application, why not?

### *Prompts*

Were the instructions unclear? Do you have a driver's license or Social Security Number? Did you hesitate to include one of these numbers due to privacy or security concerns?

3. If you included a copy of your utility bill or some other document that includes your name and address with your application, why did you choose to do so?

### *Prompts*

Did you believe you were required to include such information with your voter registration application? Were you hoping to save time at the polls by including the information with your application?

## **Voters' Experiences at the Polls on Election Day**

---

### *Introduction*

Now we'd like to move on and discuss your experiences at the polling place on Election Day.

### *Questions*

4. Were you required to show ID at the polls before you could vote? What kind of ID were you asked to present?
5. Did a poll worker or election official clearly explain what kinds of ID would be accepted?
6. Did you know before you arrived at the polling place that you would be required to show ID? Did you know what kinds of ID would be accepted?
7. Were you able to present an acceptable form of ID at the polling place?
8. Which statement best represents your feelings about being required to present ID and why:
  - "I felt comfortable showing my ID to the poll worker."
  - "I felt singled out or intimidated when I was asked to present ID at the polling place."

**\*Fifteen Minute Break: Let's take a short break and reconvene here in 15 minutes.\***

## **Voters' Overall Perceptions of Voter ID Requirements**

---

### *Introduction*

Let's discuss your overall perceptions of [STATE'S] voter ID requirements. Remember, we're interested in your opinions so there are no right or wrong answers. Any feedback you can offer may help the state improve upon current procedures.

### *Questions*

9. Did you find it to be easy or difficult to understand and comply with [STATE'S] voter ID requirements? Why?
10. Do you think [STATE'S] ID requirements for first-time voters are too strict, not strict enough or appropriate?

11. Do you think the requirements made registering to vote more complicated than it should be, less complicated, or do you believe they had no noticeable effect?

12. How about the requirement to show ID at the polling place? Do you think it contributed to a longer wait time at your polling place? Did showing ID make voting more complicated than it would have been if you had not been required to show ID?

13. Do you feel ID requirements are necessary to prevent voters from attempting to commit fraud?

*Prompts*

Instances of voter fraud may include an individual impersonating a registered voter in order to vote in his or her name or an individual voting in more than one precinct.

14. How effectively do you think your state and local election officials communicated the ID requirements to first-time voters?

*Prompts*

What were the most effective or memorable techniques used? Television and radio spots? Mailers? Other voter education materials?

15. What are the advantages of requiring first-time voters who registered to vote by mail to show ID at the polls? What are your concerns or reservations about the requirement?

**Voters' Perceptions of the General Advisability of Unique ID**

---

*Introduction*

Now we'd like to get your impressions of whether or not it's a good idea for states to require voters to present ID at the polls.

*Questions*

16. Do you support requiring every voter to provide his or her driver's license number, Social Security Number or the last four digits of his or her Social Security Number as part of his or her application to register to vote?

*Prompts*

Are you concerned about privacy or security issues? Do you believe the requirement helps prevent voter fraud?

17. Do you support requiring first-time voters who registered to vote by mail to provide ID at the polling place?

18. Should all voters be required to show ID at the polls, or just first-time voters?

*Prompts*

Are you concerned that some voters may not have the ID they need or may be intimidated by ID requirements? Do you believe that ID requirements could help prevent voter fraud?

19. Would you find it useful to have access to some form of special ID, provided by the state, that you could show at the polls in order to vote? Do you think such an ID should be provided free of charge to voters, or should voters pay to obtain this ID?

**Final Solicitation**

---

20. Do you have any other thoughts about your experiences registering to vote and casting a ballot for the first time this year that we haven't covered?

21. What recommendations do you have for states working to educate first-time voters about ID requirements?

*Prompts*

What methods did your state use to educate voters about ID requirements? Were they effective? What did you like or dislike about them?

**Conclusion**

---

That concludes our focus group discussion. Thank you all for participating. The input you provided today will be studied and compiled into a report that we are preparing on behalf of the U.S. Election Assistance Commission. We expect it to be released some time in June 2007. To learn more about the EAC, visit their website: [www.eac.gov](http://www.eac.gov).

**About This Study**

Section 245 of the Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301) requires the U.S. Election Assistance Commission (EAC) to conduct a series of studies, including this study of first-time voters who register to vote by mail. The EAC will submit a report on the results of this study to Congress and the White House; and the agency will make the document publicly available on its website: [www.eac.gov](http://www.eac.gov). Focus group participants will include first-time voters who registered to vote by mail.

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is OMB Control No. 3265-007, which expires 05/31/2007. The time required to complete this information collection is estimated to average 2 hours and 15 minutes per focus group participant and 4 hours per state/local election office. This estimate includes the time it will take each focus group participant to complete the focus group discussion and a short quiz. The time burden estimate for state/local election offices includes the time it will take to identify potential focus group participants. Comments regarding this burden estimate should be sent to the Program Manager – Study on First-Time Voters Who Register to Vote by Mail, U.S. Election Assistance Commission, 1225 New York Ave, NW, Suite 1100, Washington, DC 20005.

009784



"Meredith"  
<mimwalle@winnerscircleco  
mm.com>

12/12/2006 03:45 PM

To lotero@eac.gov

cc

bcc

Subject Re: OMB Control Number

Here are the revised documents with the correct OMB number and a line about the length of the focus group length. Thanks!

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)

**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)

**Sent:** Tuesday, December 12, 2006 2:15 PM

**Subject:** Re: OMB Control Number

Hi again!

They look great in my opinion - the only thing you should note is that you're missing a "0" in the OMB Control Number- it should be 3265-0007 instead of 3265-007 :-)

Should you mention in the beginning the estimated time it will take to complete the focus group session?

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

"Meredith" <mimwalle@winnerscirclecomm.com>

12/12/2006 03:03 PM

To lotero@eac.gov

cc

Subject Re: OMB Control Number

Laiza:

I've attached the focus group script and quiz, as approved by OMB, including the required OMB information. I tried to paste the OMB info on the first page of each document, but then thought all of that gov-speak at the beginning might be overwhelming to our focus group participants. I ended up putting it

009785

at the end instead. Please let me know if these versions will work.

Thanks!

--MBI

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)

**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)

**Sent:** Tuesday, December 12, 2006 12:14 PM

**Subject:** Re: OMB Control Number

At the beginning preferably, but it can go at the end as well. For the number and exp date, it can either be a header or a footer - depends on the layout of your document and your personal preference. Also, when I submitted the documents to OMB, I placed the EAC logo on the upper right hand corner of the documents to make it "official" - I'm attaching the document so you can see it and also a separate file containing the logo in case you want to use it in other documents. Let me know if you have any questions.

Laiza

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

"Meredith" <[mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)>

12/12/2006 12:36 PM

To: [lotero@eac.gov](mailto:lotero@eac.gov)

cc

Subject Re: OMB Control Number

Thanks Laiza. Have other projects included this information as a header or footer on every page or just at the beginning or end of each document?

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)

**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)

**Sent:** Tuesday, December 12, 2006 11:32 AM

009786

**Subject:** Re: OMB Control Number

No need to put the ICR reference number. Below is the boiler plate information - just insert your information on the parts I have emphasized:

**This information collection is required for the EAC to meet its statutory requirements under the Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301), the National Voter Registration Act (NVRA) (42 U.S.C. 1973gg-1 et seq.), and the Uniformed and Overseas Citizens Absentee Voters Act (UOCAVA) (42 U.S.C. 1973ff-1). Respondent's obligation to reply to this information collection is mandatory as required under NVRA (42 U.S.C. 1973gg-1 et seq.) and UOCAVA (42 U.S.C. 1973ff-1); respondents include the 50 States, the District of Columbia, and the U.S. Territories.** This information will be made publicly available on the EAC website at [www.eac.gov](http://www.eac.gov). According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is **OMB Control No. 3265-0006 (expires 11/30/2009)**. The time required to complete this information collection is estimated to average **115.07 hours per response**. This estimate includes the time for reviewing the instructions, gathering information, and completing the form. Comments regarding this burden estimate should be sent to the Program Manager - 2006 Election Administration and Voting Survey, U.S. Election Assistance Commission, 1225 New York Ave, NW, Suite 1100, Washington, DC 20005.

Below is how it was modified for one of the other projects:

Section 245 of the Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301) requires the U.S. Election Assistance Commission (EAC) to conduct a study of issues and challenges, including the potential for election fraud, that are presented by the incorporation of communications and Internet technologies in the Federal, State, and local electoral process; the EAC is required to submit a report on the results of the study to Congress. In addition, this information will be made publicly available on the EAC website at [www.eac.gov](http://www.eac.gov). Respondents to this survey are uniformed and overseas voters. According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is OMB Control No. 3265-0005 (expires 5/31/2007). The time required to complete this information collection is estimated to average .25 hours per response. This estimate includes the time for reviewing the instructions, gathering information, and completing the form. Comments regarding this burden estimate should be sent to the Program Manager - 2006 Election Administration and Voting Survey, U.S. Election Assistance Commission, 1225 New York Ave, NW, Suite 1100, Washington, DC 20005.

"Meredith" <[mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)>

12/12/2006 12:04 PM

To [lotero@eac.gov](mailto:lotero@eac.gov), [adamlboune@gmail.com](mailto:adamlboune@gmail.com)

cc

Subject Re: OMB Control Number

009787

Laiza:

I have the OMB control number and expiration date, but I don't think we ever received the boiler plate information you mentioned below. If you'll send that over, I'll add it to the documents and send them to you today. Also, were you able to determine whether we are required to include the ICR reference number?

Thanks,

*Meredith Battle Imwalle*

Meredith Battle Imwalle  
President  
Winner's Circle Communications, LLC  
703.786.1823 cell  
<http://www.winnerscirclecomm.com>

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)  
**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com) ; [adamlbourne@gmail.com](mailto:adamlbourne@gmail.com)  
**Cc:** [klynndyson@eac.gov](mailto:klynndyson@eac.gov)  
**Sent:** Monday, December 04, 2006 10:37 AM  
**Subject:** OMB Control Number

Greetings to all,

The OMB Control number for the focus groups collection is: 3265-0007. The expiration date is 5/31/2007. Both these pieces of information need to appear everywhere on the collection instrument - my suggestion is to make them part of the heading or footer of the pages. In addition, there is boiler plate information I am working on today with our general counsel's office that needs to be included as well - the latter is info on the time and cost burden on respondents, the response requirements (voluntary/mandatory), and compliance with the PRA process - I should have that information by the end of today.

Also, for your records the ICR Reference Number is: 200611-3265-002. This is an internal OMB number given to the request we made. This may or may not have to be included - waiting to hear on that.

If you have any questions or need more information, please, do not hesitate to contact me at your earliest

009788

convenience. Have a great day!

Sincerely,

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)

Fax (202) 566-3128 [attachment "Focus Group Script Final.doc" deleted by Laiza N. Otero/EAC/GOV] [attachment "Focus Group Quiz Final.doc" deleted by Laiza N.



Otero/EAC/GOV] Focus Group Quiz Final.doc Focus Group Script Final.doc

009789



Winner's Circle Communications, LLC for the  
UNITED STATES ELECTION ASSISTANCE COMMISSION  
Study of First-Time Voters Who Register to Vote by Mail

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Quiz for Focus Group Participants

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**PART ONE**

**Instructions**

Please select the answer that best describes your state's laws, rules and/or requirements as you understand them. Your answers to these questions will be used to determine how effectively [STATE] communicated its first-time voter identification, or ID, requirements.

1. What types of ID does [STATE] require each person applying to register to vote, or applicant, to include with his or her voter registration form when that form is submitted via mail? Please circle all that apply.

Driver's License Number

Last Four Digits of Social Security  
Number

Copy of Driver's License

Copy of Social Security Card

Entire Social Security Number

Copy of Utility Bill

Copy of Photo ID

Any Government Document that  
Includes the Voter's Name and Address

All of the Above

None of the Above

2. If the applicant does not have a driver's license or Social Security number, the state will assign the applicant a number which will serve to identify the applicant for voter registration purposes. Please circle one.

True

False

3. At the polls, [STATE] has different ID requirements for first-time voters who registered to vote by mail than it does for voters who have cast a ballot in another recent election. Please circle one.

True

False

4. All first-time voters in [STATE] are required to show government-issued photo ID at the polls. Please circle one.

True

False

5. Which of the following types of ID may first-time voters who registered to vote by mail show at the polls in order to meet [STATE'S] identification requirements? Please circle all that apply.

Any Current and Valid Photo ID

Government-Issued Photo ID

Current Utility Bill

Bank Statement

Government Check

Paycheck

Any Government Document that  
Includes the Voter's Name and Address

All of the Above

None of the Above

**PART TWO**

**Instructions**

Please base your answers to the following questions on your own opinions and experiences.

1. On a scale of one to 10, with one being the least confident and 10 being the most confident, how confident are you that you understand [STATE'S] ID requirements for first-time voters who register to vote by mail? Please circle one.

1      2      3      4      5      6      7      8      9      10

2. How did you learn of [STATE'S] ID requirements for first-time voters who register to vote by mail? Please circle all that apply.

TV or Radio Advertisement(s)

State Elections Website

News Reports

Local Elections Website

I Contacted My State Election Office

I Contacted My Local Election Office

Instructions on Voter Registration Form

From a Poll Worker at the Polling Place

All of the Above

None of the Above

Other (please explain)

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3. How effectively do you believe [STATE] communicated its ID requirements for first-time voters? Please rate the state on a scale of one to 10, with one being the least effective and 10 being the most effective.

1      2      3      4      5      6      7      8      9      10

### ***About This Study***

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009793



**Winner's Circle Communications, LLC for the  
UNITED STATES ELECTION ASSISTANCE COMMISSION  
Study of First-Time Voters Who Register to Vote by Mail**

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**Focus Group Script and Questions**

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**Background**

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*Introduction*

Thank you for joining us today and agreeing to participate in this focus group discussion of your experiences as first-time voters who registered to vote by mail. My name is Meredith Imwalle and I'll be your facilitator, which means it's my job to keep today's session on track by asking a series of open-ended questions, and some more specific ones, intended to stimulate discussion. My colleague, Adam Bourne, will serve as a co-facilitator.

We've organized this focus group as part of a study our company, Winner's Circle Communications, is conducting on behalf of the United States Election Assistance Commission, a federal government agency created to provide guidance to states implementing election reforms that are required by the federal Help America Vote Act, often referred to as HAVA. Since HAVA requires that every state implement certain minimum identification, or ID, requirements for first-time voters like you, we've been asked to find out what your experiences were with registering to vote and voting this year. We hope to use your input to help us determine what state practices are working and how states can best communicate ID requirements to voters.

First let's go over a few ground rules for today:

- Your participation in this focus group is voluntary, and you may stop at any time. The entire session will last approximately two hours and 15 minutes.
- We hope to gather information about your voting experiences. There are no wrong answers today; please let everyone speak and respect everyone's opinion, even if it is different from your own.
- We will make an audio recording of this session, so that we can be sure not to miss any of your important comments today. The recording will not be released publicly, and it will not be shared with anyone outside of our company.

## **Voters' Level of Understanding of New Requirements**

---

Before we start our discussion today, we'd like to get a sense of how well each of you understand [STATE'S] voter ID requirements for first-time voters. Adam is handing out a quick quiz that we will give you 15 minutes to complete.

By testing your knowledge of [STATE'S] ID requirements, we are hoping to gauge how effectively your state's election officials communicated the requirements to you, the voters. So please answer the questions as best you can and don't worry if you don't have all of the answers.

*Distribute quizzes; allow participants 15 minutes to complete.*

## **Voters' Experiences Registering to Vote by Mail**

---

### *Introduction*

Now that we've collected your completed quizzes, let's talk about your experiences registering to vote by mail.

### *Questions*

1. We'd like to ask each of you to describe the process of filling out your voter registration application. Please provide an estimate of how long it took you to complete the application and tell us whether you thought the form's instructions for submitting the required identification information (your driver's license number, Social Security number or the last four digits of your Social Security number) were easy to understand.
2. If you didn't include your driver's license number, Social Security number or the last four digits of your Social Security number with your application, why not?

### *Prompts*

Were the instructions unclear? Do you have a driver's license or Social Security number? Did you hesitate to include one of these numbers due to privacy or security concerns?

3. If you included a copy of your utility bill or some other document that includes your name and address with your application, why did you choose to do so?

### *Prompts*

Did you believe you were required to include such information with your voter registration application? Were you hoping to save time at the polls by including the information with your application?

## **Voters' Experiences at the Polls on Election Day**

---

### *Introduction*

Now we'd like to move on and discuss your experiences at the polling place on Election Day.

### *Questions*

4. Were you required to show ID at the polls before you could vote? What kind of ID were you asked to present?
5. Did a poll worker or election official clearly explain what kinds of ID would be accepted?
6. Did you know before you arrived at the polling place that you would be required to show ID? Did you know what kinds of ID would be accepted?
7. Were you able to present an acceptable form of ID at the polling place?
8. Which statement best represents your feelings about being required to present ID and why:
  - "I felt comfortable showing my ID to the poll worker."
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**\*Fifteen Minute Break: Let's take a short break and reconvene here in 15 minutes.\***

## **Voters' Overall Perceptions of Voter ID Requirements**

---

### *Introduction*

Let's discuss your overall perceptions of [STATE'S] voter ID requirements. Remember, we're interested in your opinions so there are no right or wrong answers. Any feedback you can offer may help the state improve upon current procedures.

### *Questions*

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*Prompts*

Instances of voter fraud may include an individual impersonating a registered voter in order to vote in his or her name or an individual voting in more than one precinct.

14. How effectively do you think your state and local election officials communicated the ID requirements to first-time voters?

*Prompts*

What were the most effective or memorable techniques used? Television and radio spots? Mailers? Other voter education materials?

15. What are the advantages of requiring first-time voters who registered to vote by mail to show ID at the polls? What are your concerns or reservations about the requirement?

**Voters' Perceptions of the General Advisability of Unique ID**

---

*Introduction*

Now we'd like to get your impressions of whether or not it's a good idea for states to require voters to present ID at the polls.

*Questions*

16. Do you support requiring every voter to provide his or her driver's license number, Social Security number or the last four digits of his or her Social Security number as part of his or her application to register to vote?

*Prompts*

Are you concerned about privacy or security issues? Do you believe the requirement helps prevent voter fraud?

17. Do you support requiring first-time voters who registered to vote by mail to provide ID at the polling place?

18. Should **all** voters be required to show ID at the polls, or just first-time voters?

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Are you concerned that some voters may not have the ID they need or may be intimidated by ID requirements? Do you believe that ID requirements could help prevent voter fraud?

19. Would you find it useful to have access to some form of special ID, provided by the state, that you could show at the polls in order to vote? Do you think such an ID should be provided free of charge to voters, or should voters pay to obtain this ID?

**Final Solicitation**

---

20. Do you have any other thoughts about your experiences registering to vote and casting a ballot for the first time this year that we haven't covered?

21. What recommendations do you have for states working to educate first-time voters about ID requirements?

*Prompts*

What methods did your state use to educate voters about ID requirements? Were they effective? What did you like or dislike about them?

**Conclusion**

---

That concludes our focus group discussion. Thank you all for participating. The input you provided today will be studied and compiled into a report that we are preparing on behalf of the U.S. Election Assistance Commission. We expect it to be released some time in June 2007. To learn more about the EAC, visit their website: [www.eac.gov](http://www.eac.gov).

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009798



"Meredith"  
<mimwalle@winnerscircleco  
mm.com>

12/12/2006 03:46 PM

To lotero@eac.gov

cc

bcc

Subject Re: OMB Control Number

History: This message has been replied to.

Here is the consent form with the correct OMB number.

----- Original Message -----

**From:** lotero@eac.gov

**To:** mimwalle@winnerscirclecomm.com

**Sent:** Tuesday, December 12, 2006 2:15 PM

**Subject:** Re: OMB Control Number

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Research Associate  
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1225 New York Avenue, Suite 1100  
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Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

"Meredith" <mimwalle@winnerscirclecomm.com>

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Laiza:

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009799

at the end instead. Please let me know if these versions will work.

Thanks!

--MBI

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**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)

**Sent:** Tuesday, December 12, 2006 12:14 PM

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Laiza

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
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Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

"Meredith" <[mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)>

12/12/2006 12:36 PM

To [lotero@eac.gov](mailto:lotero@eac.gov)

cc

Subject Re: OMB Control Number

Thanks Laiza. Have other projects included this information as a header or footer on every page or just at the beginning or end of each document?

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)

**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)

**Sent:** Tuesday, December 12, 2006 11:32 AM

009800

**Subject:** Re: OMB Control Number

No need to put the ICR reference number. Below is the boiler plate information - just insert your information on the parts I have emphasized:

**This information collection is required for the EAC to meet its statutory requirements under the Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301), the National Voter Registration Act (NVRA) (42 U.S.C. 1973gg-1 et seq.), and the Uniformed and Overseas Citizens Absentee Voters Act (UOCAVA) (42 U.S.C. 1973ff-1). Respondent's obligation to reply to this information collection is mandatory as required under NVRA (42 U.S.C. 1973gg-1 et seq.) and UOCAVA (42 U.S.C. 1973ff-1); respondents include the 50 States, the District of Columbia, and the U.S. Territories.** This information will be made publicly available on the EAC website at [www.eac.gov](http://www.eac.gov). According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is **OMB Control No. 3265-0006 (expires 11/30/2009)**. The time required to complete this information collection is estimated to average **115.07 hours per response**. This estimate includes the time for reviewing the instructions, gathering information, and completing the form. Comments regarding this burden estimate should be sent to the Program Manager - 2006 Election Administration and Voting Survey, U.S. Election Assistance Commission, 1225 New York Ave, NW, Suite 1100, Washington, DC 20005.

Below is how it was modified for one of the other projects:

Section 245 of the Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301) requires the U.S. Election Assistance Commission (EAC) to conduct a study of issues and challenges, including the potential for election fraud, that are presented by the incorporation of communications and Internet technologies in the Federal, State, and local electoral process; the EAC is required to submit a report on the results of the study to Congress. In addition, this information will be made publicly available on the EAC website at [www.eac.gov](http://www.eac.gov). Respondents to this survey are uniformed and overseas voters. According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is OMB Control No. 3265-0005 (expires 5/31/2007). The time required to complete this information collection is estimated to average .25 hours per response. This estimate includes the time for reviewing the instructions, gathering information, and completing the form. Comments regarding this burden estimate should be sent to the Program Manager - 2006 Election Administration and Voting Survey, U.S. Election Assistance Commission, 1225 New York Ave, NW, Suite 1100, Washington, DC 20005.

"Meredith" <[mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)>

12/12/2006 12:04 PM

To [lotero@eac.gov](mailto:lotero@eac.gov), [adambourne@gmail.com](mailto:adambourne@gmail.com)  
cc

Subject Re: OMB Control Number

00980

Laiza:

I have the OMB control number and expiration date, but I don't think we ever received the boiler plate information you mentioned below. If you'll send that over, I'll add it to the documents and send them to you today. Also, were you able to determine whether we are required to include the ICR reference number?

Thanks,

*Meredith Battle Imwalle*

*Meredith Battle Imwalle*  
*President*  
*Winner's Circle Communications, LLC*  
*703.786.1823 cell*  
<http://www.winnerscirclecomm.com>

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)

**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com) ; [adamlbourne@gmail.com](mailto:adamlbourne@gmail.com)

**Cc:** [klynndyson@eac.gov](mailto:klynndyson@eac.gov)

**Sent:** Monday, December 04, 2006 10:37 AM

**Subject:** OMB Control Number

Greetings to all,

The OMB Control number for the focus groups collection is: 3265-0007. The expiration date is 5/31/2007. Both these pieces of information need to appear everywhere on the collection instrument - my suggestion is to make them part of the heading or footer of the pages. In addition, there is boiler plate information I am working on today with our general counsel's office that needs to be included as well - the latter is info on the time and cost burden on respondents, the response requirements (voluntary/mandatory), and compliance with the PRA process - I should have that information by the end of today.

Also, for your records the ICR Reference Number is: 200611-3265-002. This is an internal OMB number given to the request we made. This may or may not have to be included - waiting to hear on that.

If you have any questions or need more information, please, do not hesitate to contact me at your earliest

009802

convenience. Have a great day!

Sincerely,

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128 [attachment "Focus Group Script Final.doc" deleted by Laiza N.  
Otero/EAC/GOV] [attachment "Focus Group Quiz Final.doc" deleted by Laiza N.



Otero/EAC/GOV] Focus Group Consent Form.doc

009803



**Winner's Circle Communications, LLC for the  
UNITED STATES ELECTION ASSISTANCE COMMISSION  
Study of First-Time Voters Who Register to Vote by Mail**

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**CONSENT TO PARTICIPATE IN A RESEARCH STUDY**

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**Study Title:** Study on First-Time Voters Who Register to Vote by Mail

**Funding Source:** United States Election Assistance Commission  
**OMB Control No.:** 3265-0007, expires 05/31/2007

**Principal Investigator/Study Contact:**  
Meredith Battle Imwalle  
Winner's Circle Communications, LLC

**Study contact's telephone number:** (703) 786-1823  
**Study contact's email address:** admin@winnerscirclecomm.com

---

**What are some general things you should know about research studies?**

You are being asked to take part in a focus group for a research study. Your participation is voluntary. You may decline the invitation to participate or withdraw your consent for any reason without penalty.

Research studies are designed to obtain new knowledge that may help individuals and organizations in the future. You may not receive any direct benefit, other than the designated stipend and reimbursement for travel expenses, for participating in the study.

Details about this study are included below. It is important that you read and understand this information so that you can make an informed decision about whether or not you would like to participate in the study. You will be given a copy of this consent form. You should feel free to ask the study contact named above any questions you have about this study at any time.

*OMB Control No. 3265-0007, expires 05/31/2007*

009804

**What is the purpose of this study?**

The purpose of this research study is to assess the impact that certain provisions of the federal Help America Vote Act of 2002 (HAVA) have had on first-time voters who register by mail and vote in person; voter registration; the accuracy of state voter rolls; and existing state practices.

Section 303(b) of HAVA requires citizens who registered to vote by mail and who will be voting for the first time in their jurisdiction to supply a copy of a current valid photo identification or government document displaying their name and address before they cast their first ballot. First-time voters can avoid the heightened identification requirements by sending a copy of such identification with their registration materials or providing their driver's license number or a minimum of the last four digits of their Social Security number. If a first-time voter does not comply with any of these requirements, §303(b) allows citizens to cast provisional ballots.

This study will analyze the issues and impediments associated with implementing these federal mandates and make recommendations for program administration and voter education should states choose to implement more stringent voter identification requirements in the future.

The U.S. Election Assistance Commission (EAC), a federal agency established by Congress to provide guidance to the states with regard to administering federal elections, is required by HAVA to complete this study and submit a report on the results to Congress and the White House.

**How many people will take part in this study?**

Approximately 30 people will take part in this research study, which is being conducted in three states: Indiana, North Carolina and Pennsylvania. All participants were chosen in consultation with state and local election offices in order to ensure that each group is representative of first-time voters in the state.

**How long will your part in this study last?**

Your participation in this focus group will last approximately two hours and fifteen minutes.

**What can you expect if you take part in the study?**

The focus group will be asked questions designed to assess their actual experiences with voter identification requirements for first-time voters. No questions will be directed to you individually, but instead will be posed to the group. You may choose to respond or not respond at any point during the discussion. The focus group discussion will be recorded on audio tape so that the study contact may capture all comments for future analysis.

**What are the possible benefits from being in this study?**

This particular study will provide state and federal officials with information designed to help them develop future voter identification requirements and related voter education materials and programs. You may not receive any direct benefit, other than the designated stipend and reimbursement for travel expenses, for participating in the study.

**What are the possible risks involved?**

We do not anticipate any risks to you as a result of participating in this study. It is possible that participants may repeat comments outside of the group at some time in the future. Therefore, we encourage you to be as honest and open as you can, but remain aware of our limits in protecting confidentiality.

**How will your privacy be protected?**

You will not be specifically identified in any report or publication of this study or its results. Your name will not appear on any transcripts. You will instead be assigned a code number. The list which matches names and code numbers will be kept in a locked file cabinet. After the focus group audio recording has been transcribed, the tape and the list of names and corresponding code numbers will be destroyed.

**Will you receive anything for being in this study?**

You will receive a \$100 stipend for your participation in the study.

**Will it cost you anything to be in this study?**

There will be no costs to you for being in the study. You will be reimbursed for up to \$20 in travel expenses.

**What if you have questions about this study?**

You have the right to ask, and have answered, any questions you may have about this research. If you have questions or concerns you should contact the study contact listed on the first page of this form.

**Participant's Agreement:**

I have read the information provided above. I have asked and had answered all of the questions I have at this time. I voluntarily agree to participate in this research study.

\_\_\_\_\_  
Signature of Research Participant

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name of Research Participant

\_\_\_\_\_  
Signature of Person Obtaining Consent

\_\_\_\_\_  
Date

\_\_\_\_\_  
Printed Name of Person Obtaining Consent

**About This Study**

Section 245 of the Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301) requires the U.S. Election Assistance Commission (EAC) to conduct a series of studies, including this study of first-time voters who register to vote by mail. The EAC will submit a report on the results of this study to Congress and the White House; and the agency will make the document publicly available on its website: [www.eac.gov](http://www.eac.gov). Focus group participants will include first-time voters who registered to vote by mail.

According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is OMB Control No. 3265-0007, which expires 05/31/2007. The time required to complete this information collection is estimated to average 2 hours and 15 minutes per focus group participant and 4 hours per state/local election office. This estimate includes the time it will take each focus group participant to complete the focus group discussion and a short quiz. The time burden estimate for state/local election offices includes the time it will take to identify potential focus group participants. Comments regarding this burden estimate should be sent to the Program Manager – Study on First-Time Voters Who Register to Vote by Mail, U.S. Election Assistance Commission, 1225 New York Ave, NW, Suite 1100, Washington, DC 20005.



"Meredith"  
<mimwalle@winnerscircleco  
mm.com>

12/12/2006 04:20 PM

To lotero@eac.gov

cc

bcc

Subject Re: OMB Control Number

Thanks, Laiza. We should have all of these bullets covered in the consent form.

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)

**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)

**Sent:** Tuesday, December 12, 2006 2:51 PM

**Subject:** Re: OMB Control Number

:-)

Did a quick search and it seems like generally we should have given the consent form along with the rest of the docs, but since he already approved it, he may just have me upload the form onto their site - I'll let you know as soon as he responds. Also, this information may be useful - I think most if not all is covered in the documents:

**What should respondents be told about their participation in an information collection?**

- The reasons the information is to be collected;
- The way the information will be used to further agency purposes and serve agency needs;
- An estimate of the average burden of the collection and whom to contact about the estimate;
- Whether responses to the collection of information are voluntary or mandatory, or required to obtain a benefit;
- The nature and extent of confidentiality to be provided, if any; (In our Supporting Statement A we said "There is no assurance of confidentiality.")
- The duration of respondents' expected involvement (e.g., if this is a longitudinal survey, they should be informed that they will be contacted in the future); and
- If the agency is collecting "sensitive information," respondents should be informed about what type(s) of sensitive information will be requested. (In our Supporting Statement A we said "There are no questions of a sensitive nature.")

Agencies that conduct research studies involving human subjects may also be required by Institutional Review Boards (IRBs) to provide additional information such as informed consent statements that are signed by the respondent. Typically, statistical surveys do not require formal consent forms.

For more info - see OMB's guide on surveys and statistical information collections at:  
[http://www.whitehouse.gov/omb/inforeg/pmc\\_survey\\_guidance\\_2006.pdf](http://www.whitehouse.gov/omb/inforeg/pmc_survey_guidance_2006.pdf)

009808

L.

"Meredith" <mimwalle@winnerscirclecomm.com>

12/12/2006 03:27 PM

To lotero@eac.gov

cc

Subject Re: OMB Control Number

I must have been thinking of James Bond (007).:) I'll make the changes and resend the docs shortly.

--MBI

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)

**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)

**Sent:** Tuesday, December 12, 2006 2:15 PM

**Subject:** Re: OMB Control Number

Hi again!

They look great in my opinion - the only thing you should note is that you're missing a "0" in the OMB Control Number- it should be 3265-0007 instead of 3265-007 :-)

Should you mention in the beginning the estimated time it will take to complete the focus group session?

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

"Meredith" <mimwalle@winnerscirclecomm.com>

12/12/2006 03:03 PM

To lotero@eac.gov

cc

Subject Re: OMB Control Number

009809

Laiza:

I've attached the focus group script and quiz, as approved by OMB, including the required OMB information. I tried to paste the OMB info on the first page of each document, but then thought all of that gov-speak at the beginning might be overwhelming to our focus group participants. I ended up putting it at the end instead. Please let me know if these versions will work.

Thanks!

--MBI

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)

**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)

**Sent:** Tuesday, December 12, 2006 12:14 PM

**Subject:** Re: OMB Control Number

At the beginning preferably, but it can go at the end as well. For the number and exp date, it can either be a header or a footer - depends on the layout of your document and your personal preference. Also, when I submitted the documents to OMB, I placed the EAC logo on the upper right hand corner of the documents to make it "official" - I'm attaching the document so you can see it and also a separate file containing the logo in case you want to use it in other documents. Let me know if you have any questions.

Laiza

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128  
"Meredith" <[mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com)>

12/12/2006 12:36 PM

To [lotero@eac.gov](mailto:lotero@eac.gov)

cc

Subject Re: OMB Control Number

009810

Thanks Laiza. Have other projects included this information as a header or footer on every page or just at the beginning or end of each document?

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)

**To:** [mimwalle@winnercirclecomm.com](mailto:mimwalle@winnercirclecomm.com)

**Sent:** Tuesday, December 12, 2006 11:32 AM

**Subject:** Re: OMB Control Number

No need to put the ICR reference number. Below is the boiler plate information - just insert your information on the parts I have emphasized:

**This information collection is required for the EAC to meet its statutory requirements under the Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301), the National Voter Registration Act (NVRA) (42 U.S.C. 1973gg-1 et seq.), and the Uniformed and Overseas Citizens Absentee Voters Act (UOCAVA) (42 U.S.C. 1973ff-1). Respondent's obligation to reply to this information collection is mandatory as required under NVRA (42 U.S.C. 1973gg-1 et seq.) and UOCAVA (42 U.S.C. 1973ff-1); respondents include the 50 States, the District of Columbia, and the U.S. Territories.** This information will be made publicly available on the EAC website at [www.eac.gov](http://www.eac.gov). According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is **OMB Control No. 3265-0006 (expires 11/30/2009)**. The time required to complete this information collection is estimated to average **115.07 hours per response**. This estimate includes the time for reviewing the instructions, gathering information, and completing the form. Comments regarding this burden estimate should be sent to the Program Manager - 2006 Election Administration and Voting Survey, U.S. Election Assistance Commission, 1225 New York Ave, NW, Suite 1100, Washington, DC 20005.

Below is how it was modified for one of the other projects:

Section 245 of the Help America Vote Act (HAVA) of 2002 (42 U.S.C. 15301) requires the U.S. Election Assistance Commission (EAC) to conduct a study of issues and challenges, including the potential for election fraud, that are presented by the incorporation of communications and Internet technologies in the Federal, State, and local electoral process; the EAC is required to submit a report on the results of the study to Congress. In addition, this information will be made publicly available on the EAC website at [www.eac.gov](http://www.eac.gov). Respondents to this survey are uniformed and overseas voters. According to the Paperwork Reduction Act of 1995, an agency may not conduct or sponsor, and a person is not required to respond to, a collection of information unless it displays a valid OMB control number. The valid OMB control number for this information collection is OMB Control No. 3265-0005 (expires 5/31/2007). The time required to complete this information collection is estimated to average .25 hours per response. This estimate includes the time for reviewing the instructions, gathering information, and completing the form. Comments regarding this burden estimate should be sent to the Program Manager - 2006 Election

009811

Administration and Voting Survey, U.S. Election Assistance Commission, 1225 New York Ave, NW, Suite 1100, Washington, DC 20005.

"Meredith" <mimwalle@winnerscirclecomm.com>

12/12/2006 12:04 PM

To: lotero@eac.gov, adamlbourn@gmail.com

cc

Subject Re: OMB Control Number

Laiza:

I have the OMB control number and expiration date, but I don't think we ever received the boiler plate information you mentioned below. If you'll send that over, I'll add it to the documents and send them to you today. Also, were you able to determine whether we are required to include the ICR reference number?

Thanks,

*Meredith Battle Imwalle*

Meredith Battle Imwalle  
President  
Winner's Circle Communications, LLC  
703.786.1823 cell  
<http://www.winnerscirclecomm.com>

----- Original Message -----

**From:** [lotero@eac.gov](mailto:lotero@eac.gov)

**To:** [mimwalle@winnerscirclecomm.com](mailto:mimwalle@winnerscirclecomm.com) ; [adamlbourn@gmail.com](mailto:adamlbourn@gmail.com)

**Cc:** [klynndyson@eac.gov](mailto:klynndyson@eac.gov)

**Sent:** Monday, December 04, 2006 10:37 AM

**Subject:** OMB Control Number

009812

Greetings to all,

The OMB Control number for the focus groups collection is: 3265-0007. The expiration date is 5/31/2007. Both these pieces of information need to appear everywhere on the collection instrument - my suggestion is to make them part of the heading or footer of the pages. In addition, there is boiler plate information I am working on today with our general counsel's office that needs to be included as well - the latter is info on the time and cost burden on respondents, the response requirements (voluntary/mandatory), and compliance with the PRA process - I should have that information by the end of today.

Also, for your records the ICR Reference Number is: 200611-3265-002. This is an internal OMB number given to the request we made. This may or may not have to be included - waiting to hear on that.

If you have any questions or need more information, please, do not hesitate to contact me at your earliest convenience. Have a great day!

Sincerely,

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128 [attachment "Focus Group Script Final.doc" deleted by Laiza N. Otero/EAC/GOV] [attachment "Focus Group Quiz Final.doc" deleted by Laiza N. Otero/EAC/GOV]

009813



"Hunt, Alexander T."  
<Alexander\_T.\_Hunt@omb.e  
op.gov>  
12/13/2006 07:10 PM

To: lotero@eac.gov  
cc  
bcc  
Subject: RE: Question regarding focus groups - consent forms

History: This message has been forwarded.

No. Consent forms are exempt from the PRA.

Thanks.

---

**From:** lotero@eac.gov [mailto:lotero@eac.gov]  
**Sent:** Tuesday, December 12, 2006 3:10 PM  
**To:** Hunt, Alexander T.  
**Subject:** Question regarding focus groups - consent forms

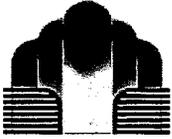
Alex,

For focus group ICRs, do you require a copy of the consent form given to participants? For the recently approved ICR (3265-0007) regarding First-Time Voters, this was not part of the package - and in hindsight, we were wondering if we have/had to provide you a copy of this form before we proceed with the collection. Thank you.

Laiza

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

009814



Laiza N. Otero/EAC/GOV

04/13/2007 01:01 PM

To Karen Lynn-Dyson/EAC/GOV@EAC

cc Juliet E. Thompson-Hodgkins/EAC/GOV@EAC

bcc

Subject First Time Voters

First Time Voters was also an emergency approval:

[http://www.reginfo.gov/public/do/PRAViewICR?ref\\_nbr=200611-3265-002](http://www.reginfo.gov/public/do/PRAViewICR?ref_nbr=200611-3265-002)



First-Time Voters - Supporting Statement A.doc



1st Time Voters - Focus Group Script.pdf



1st Time Voters - Focus Group Quiz.pdf



1st Time Voters - Notice of OMB Action.11.30.2006.pdf



JUSTIFICATION.doc



Consent Form.doc

Laiza N. Otero  
Election Research Specialist  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

009815



"Hunt, Alexander T."  
<Alexander\_T.\_Hunt@omb.e  
op.gov>  
03/30/2007 12:04 PM

To lotero@eac.gov  
cc bhancock@eac.gov  
bcc  
Subject RE: Request for Extension of a previously approved  
collection with changes

Excellent. Thanks.

**From:** lotero@eac.gov [mailto:lotero@eac.gov]  
**Sent:** Friday, March 30, 2007 11:55 AM  
**To:** Hunt, Alexander T.  
**Cc:** lotero@eac.gov; bhancock@eac.gov  
**Subject:** RE: Request for Extension of a previously approved collection with changes

Mr. Hunt,

I have submitted the ICR (ICR Ref. No 200703-3265-001) for review via ROCIS. Please, let me know if you need any other information from our agency to complete the review. Thank you very much and have a great weekend.

Sincerely,

Laiza N. Otero  
Election Research Specialist  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

CONFIDENTIALITY NOTICE: This email message and all attachments, if any, are intended solely for the use of the addressee and may contain legally privileged and confidential information. If the reader of this message is not the intended recipient, you are hereby notified that any dissemination, distribution, copying or other use of this message is strictly prohibited. If you received this message in error, please notify the sender immediately by replying to this message and please delete it from your computer.

009833



Address <https://www.rocis.gov/rocis/do/AgencySubmittedPRAList?default=0>

# ROCIS PRA

## Submitted Request

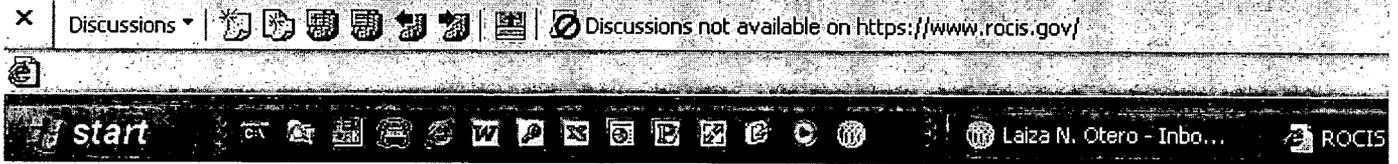
[Filter List](#) [View All](#)

Criteria: **Status**=(Received in OIRA, Open for Amendment, Closed for Amendment);

<u>OMB Control No</u>	<u>ICR Ref.No</u>	<u>Submitted Date</u>	<u>Agency/Sub</u>	<u>Agency ICR Tracking Number</u>	
3265-0004	200703-3265-001	03/30/2007	EAC		U.S. Ele Assistar Commis Voluntar System and Cer Program

List shows all requests for ICR review (No Time Limit).

Login: lotero



"Hunt, Alexander T." <Alexander\_T.\_Hunt@omb.eop.gov>

03/22/2007 03:38 PM

To lotero@eac.gov  
cc

Subje RE: Request for Extension of a previously approved collection  
ct with changes

Yes. As long as you submit the 3-year extension request before the end of the month, OMB's approval will remain in effect while the request is pending.

Thanks.

**From:** lotero@eac.gov [mailto:lotero@eac.gov]

**Sent:** Thursday, March 22, 2007 11:49 AM

**To:** Hunt, Alexander T.

**Subject:** Request for Extension of a previously approved collection with changes

Dear Mr. Hunt,

I am writing to inform you that we will be submitting next week a request for an extension with revisions of a previously approved collection (Title: EAC Voting System Testing and Certification Manual, OMB Control Number 3265-0004, expiration 3/31/2007). This collection had been approved under the emergency approval process on 9/29/2006. The 60-day Federal Register notice is set to conclude on March 24th, at which time we will proceed with the second 30-day FR notice and the submission of the ICR package to you via ROCIS. So as not to disrupt the program, may we continue to use the current number while you review our submission?

If you have any questions, please, do not hesitate to contact me at your earliest convenience. As always, thank you for your time and assistance in this process; it is greatly appreciated.

009835

Sincerely,

Laiza N. Otero  
Election Research Specialist  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

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009836



"Hunt, Alexander T."  
<Alexander\_T.\_Hunt@omb.eop.gov>

09/18/2006 04:26 PM

To lotero@eac.gov

cc

bcc

Subject RE: Supporting Statement

History:

✉ This message has been forwarded.

1. Yes.
2. No. The FR notice refers to a request that has been submitted to OMB.
3. Although Form 83-I is no longer in use, agency responses to the 18 questions still constitute the Supporting Statement A that must be uploaded into ROCIS. The 18 questions are available at this link: <http://www.whitehouse.gov/omb/inforeg/83i-fill.pdf>

**From:** lotero@eac.gov [mailto:lotero@eac.gov]

**Sent:** Monday, September 18, 2006 4:03 PM

**To:** Hunt, Alexander T.

**Cc:** bhancock@eac.gov; ggilmour@eac.gov

**Subject:** RE: Supporting Statement

Hello Mr. Hunt,

Just to make sure we have understood the process: for an emergency review:

1. do we need to publish a notice in the Federal Register?
2. if we are going to publish it, can we publish it before we complete our ROCIS submission?
3. is there any guidance on how to create the Supporting Statement A other than the instructions on form OMB 83-1? --- since it's no longer in effect and references the form.

Thank you as always,

Sincerely,

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

"Hunt, Alexander T." <Alexander\_T.\_Hunt@omb.eop.gov>

09/18/2006 03:32 PM

To ggilmour@eac.gov

cc bhancock@eac.gov, lotero@eac.gov

Subject RE: Supporting Statement

009816

Per 1320.13, the emergency processing concerns "submissions of collections of information," which include completed supporting statements. Just because OMB is waiving the full notice-and-comment process does not mean that the agency can submit incomplete information collections requests.

You can request 180 days, and you can use the following for the OMB contact:

*OMB Reviewer:* Alexander T. Hunt

Office of Management and Budget, Room 10235

New Executive Office Building

Washington, DC 20503, (202) 395-7316.

**From:** ggilmour@eac.gov [mailto:ggilmour@eac.gov]  
**Sent:** Monday, September 18, 2006 2:09 PM  
**To:** Hunt, Alexander T.  
**Cc:** bhancock@eac.gov; lotero@eac.gov  
**Subject:** RE: Supporting Statement

Mr. Hunt,

two additional questions...

(1) in the example you gave us, the emergency request asks for more than 90 days (180) is this acceptable?

(2) is there a specific name and address at OMB that we give, other than the example.

GG

Gavin S. Gilmour  
Deputy General Counsel  
United States Election Assistance Commission  
1225 New York Ave., NW, Ste 1100  
Washington, DC 20005  
(202) 566-3100

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009817

Gavin S. Gilmour/EAC/GOV

09/18/2006 01:59 PM

To "Hunt, Alexander T." <Alexander\_T.\_Hunt@omb.eop.gov>@GSAEXTERNAL  
cc bhancock@eac.gov, lotero@eac.gov  
Subject RE: Supporting Statement Link

I do not see a requirement in the CFR that we provide a supporting statement in an emergency filing. Is this correct?

GG

Gavin S. Gilmour  
Deputy General Counsel  
United States Election Assistance Commission  
1225 New York Ave., NW, Ste 1100  
Washington, DC 20005  
(202) 566-3100

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"Hunt, Alexander T." <Alexander\_T.\_Hunt@omb.eop.gov>

09/18/2006 10:08 AM

To ggilmour@eac.gov  
cc bhancock@eac.gov, lotero@eac.gov  
Subject RE: Contact Info

That's correct. You will not have OMB control numbers until the forms are approved. However, you can assign agency numbers to the form (e.g., the IRS Form 1040). It's the agency form number that you would enter below in item #4.

**From:** ggilmour@eac.gov [mailto:ggilmour@eac.gov]  
**Sent:** Monday, September 18, 2006 9:06 AM  
**To:** Hunt, Alexander T.  
**Cc:** bhancock@eac.gov; lotero@eac.gov

009818

**Subject:** RE: Contact Info

There will be three forms... but as this is our first filing we have no numbers for them... unless we are to receive numbers in advance.

Gg

Gavin S. Gilmour  
Deputy General Counsel  
United States Election Assistance Commission  
1225 New York Ave., NW, Ste 1100  
Washington, DC 20005  
(202) 566-3100

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"Hunt, Alexander T." <Alexander\_T.\_Hunt@omb.eop.gov>

09/15/2006 05:32 PM

To ggilmour@eac.gov  
cc bhancock@eac.gov, lotero@eac.gov  
Subject RE: Contact Info

You should use the same headings. If there is no form, then do not include that heading.

The comment solicitation is PRA boilerplate that you should also use.

**From:** ggilmour@eac.gov [mailto:ggilmour@eac.gov]  
**Sent:** Friday, September 15, 2006 1:03 PM  
**To:** Hunt, Alexander T.  
**Cc:** bhancock@eac.gov; lotero@eac.gov  
**Subject:** RE: Contact Info

Mr. Hunt,

A couple of quick questions...

1) Are we to have the same informational headings and content as the example, ie:

1. Type of Information Collection Request:

009819

2. Title of Information Collection:
3. Use:
4. Form Number: (HOW WOULD WE KNOW THIS?)
5. Frequency:
6. Affected Public:
7. Number of Respondents:
8. Total Annual Responses:
9. Total Annual Hours:

4) are we to use the same comment areas or subjects as the example? i.e.:

(1) The necessity and utility of the proposed information collection for the proper performance of the agency's functions; (2) the accuracy of the estimated burden; (3) ways to enhance the quality, utility, and clarity of the information to be collected; and (4) the use of automated collection techniques or other forms of information technology to minimize the information collection burden.

Gavin S. Gilmour  
Deputy General Counsel  
United States Election Assistance Commission  
1225 New York Ave., NW, Ste 1100  
Washington, DC 20005  
(202) 566-3100

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"Hunt, Alexander T." <Alexander\_T.\_Hunt@omb.eop.gov>

09/15/2006 12:02 PM

To ggilmour@eac.gov

cc bhancock@eac.gov, lotero@eac.gov

Subject RE: Contact Info

Attached is model you can use.

**From:** ggilmour@eac.gov [mailto:ggilmour@eac.gov]

**Sent:** Friday, September 15, 2006 11:35 AM

009820

**To:** Hunt, Alexander T.  
**Cc:** bhancock@eac.gov; lotero@eac.gov  
**Subject:** Contact Info

Mr. Hunt,

Per our discussion, please forward me an example of emergency processing language for our federal register publication.

Let me know if you have any questions

Thankyou for your help

GG

Gavin S. Gilmour  
Deputy General Counsel  
United States Election Assistance Commission  
1225 New York Ave., NW, Ste 1100  
Washington, DC 20005  
(202) 566-3100

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009321



Laiza N. Otero/EAC/GOV  
09/19/2006 09:35 AM

To Gavin S. Gilmour/EAC/GOV@EAC  
cc Brian Hancock/EAC/GOV@EAC  
bcc  
Subject supporting statement



INSTRUCTIONS FOR THE SUPPORTING STATEMENT.doc



template for supporting statement.doc - template 1



sample supporting statement 4. emergency review.pdf



Supporting\_Statement.doc - template 2



Sample supporting statement 1.pdf

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

009822



"Hunt, Alexander T." <Alexander\_T.\_Hunt@omb.eop.gov>

09/29/2006 02:08 PM

To lotero@eac.gov

cc

bcc

Subject RE: Voluntary Voting System Testing and Certification Program Manual

History: This message has been forwarded.

Nope. You have the correct next steps.

From: lotero@eac.gov [mailto:lotero@eac.gov]
Sent: Friday, September 29, 2006 1:43 PM
To: Hunt, Alexander T.
Subject: Re: Voluntary Voting System Testing and Certification Program Manual

Thank you!!!!!! The next steps would be insert the OMB Control Number and expiration date into the document, as well as the calculation of the estimated time it will take the respondent to prepare and provide the information? Anything else we need to do at this point then for this particular ICR?

FYI: Today is the last day for the 60-day public comment period of the next ICR we will submit early next week for the 2006 Election Day Survey. We have only received 6 comments during that period, and we don't expect too many during the 30-day notice coming up.

Laiza N. Otero
Research Associate
U.S. Election Assistance Commission
1225 New York Avenue, Suite 1100
Washington, DC 20005
Tel. (202) 566-3100 (main office)
Tel. (202) 566-2209 (direct)
Fax (202) 566-3128

"Hunt, Alexander T." <Alexander\_T.\_Hunt@omb.eop.gov>

09/29/2006 12:47 PM



To ggilmour@eac.gov

cc bhancock@eac.gov, lotero@eac.gov

Subject Voluntary Voting System Testing and Certification Program Manual

I approved the emergency request today. The OMB Control Number is 3265-0004, which expires 3/31/2007.

009823



Laiza N. Otero/EAC/GOV  
09/29/2006 03:02 PM

To Gavin S. Gilmour/EAC/GOV@EAC, Brian  
Hancock/EAC/GOV@EAC  
cc  
bcc

Subject Fw: Voluntary Voting System Testing and Certification  
Program Manual

See below for next steps regarding your certification program

----- Forwarded by Laiza N. Otero/EAC/GOV on 09/29/2006 03:03 PM -----



"Hunt, Alexander T."  
<Alexander\_T.\_Hunt@omb.eop.gov>  
09/29/2006 02:08 PM

To lotero@eac.gov  
cc  
Subject RE: Voluntary Voting System Testing and Certification  
Program Manual

Nope. You have the correct next steps.

**From:** lotero@eac.gov [mailto:lotero@eac.gov]  
**Sent:** Friday, September 29, 2006 1:43 PM  
**To:** Hunt, Alexander T.  
**Subject:** Re: Voluntary Voting System Testing and Certification Program Manual

Thank you!!!!!! The next steps would be insert the OMB Control Number and expiration date into the document, as well as the calculation of the estimated time it will take the respondent to prepare and provide the information? Anything else we need to do at this point then for this particular ICR?

FYI: Today is the last day for the 60-day public comment period of the next ICR we will submit early next week for the 2006 Election Day Survey. We have only received 6 comments during that period, and we don't expect too many during the 30-day notice coming up.

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

"Hunt, Alexander T." <Alexander\_T.\_Hunt@omb.eop.gov>

09/29/2006 12:47 PM

To ggilmour@eac.gov  
cc bhancock@eac.gov, lotero@eac.gov

009324

Subject Voluntary Voting System Testing and Certification  
Program Manual

I approved the emergency request today. The OMB Control Number is 3265-0004, which expires 3/31/2007.

009825

Gavin S. Gilmour/EAC/GOV  
09/25/2006 04:57 PM

To Jeannie Layson/EAC/GOV, Bryan  
Whitener/EAC/GOV@EAC  
cc Brian Hancock/EAC/GOV@EAC, Juliet E.  
Hodgkins/EAC/GOV@EAC, Thomas R.  
Wilkey/EAC/GOV@EAC, Laiza N. Otero/EAC/GOV@EAC  
bcc  
Subject Federal Register Read Draft of the EAC Voting System  
Testing and Certification Program Manual

Jeannie and Bryan,

Here are the documents to be posted on the Web site and the Federal Register notice.

**Web Cite Posting:**

- A copy of the Manual for public view and comment:



Voting System Testing and Certification Program Manual FR DRAFT (Sept 25).doc

- Copies of the three (3) appendix for public view and comment.



Voluntary Anomaly Reporting Form 1.1.pdf Application for testing 1.1.pdf Manufacturer Reg App 3.0.pdf

- A copy of our Paper Work Reduction Act proposed information collection Supporting Statement for public view.



Supporting Statement.doc

- The public comment portal.
- A warning on the portal that comments on the manual's collection and recordkeeping requirements are not collected on the EAC Web site, but must be mailed and/or faxed to the OMB as referenced below by October 31, 2006:

*OMB Reviewer:* Alexander T. Hunt

Office of Management and Budget, Room 10235

New Executive Office Building

Washington, DC 20503, (202) 395-7316.

**Federal Register Notice.**

Here is the document for publication in the Federal Register. It must be published on the Monday, October 2. Thus, based upon our conversations it should be filed tomorrow...



Notice Cert Program Emergency.doc

Gavin S. Gilmour

009826

Deputy General Counsel  
United States Election Assistance Commission  
1225 New York Ave., NW, Ste 1100  
Washington, DC 20005  
(202) 566-3100

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009827



Laiza N. Otero/EAC/GOV  
10/12/2006 04:13 PM

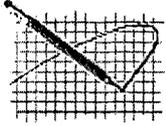
To Gavin S. Gilmour/EAC/GOV@EAC  
cc  
bcc  
Subject OMB

FYI:

I just spoke with Alex Hunt at OMB. He said to wait until the 30 days are over and then go ahead and publish the 60-day notice. We will be seeking an "Extension of a currently approved collection." The paperwork is the same, but it is much easier since we have most if not all of it done already.

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
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Fax (202) 566-3128

009828



Laiza N. Otero/EAC/GOV

11/27/2006 10:46 AM

To Gavin S. Gilmour/EAC/GOV@EAC

cc Brian Hancock/EAC/GOV@EAC

bcc

Subject OMB Control Number

Gavin,

Check the following document for how they placed the OMB control number - it's on the cover page and on the bottom they have the disclaimer - they also have the number on the forms within the document.

<http://www.doleta.gov/Performance/guidance/WIA/WIA-Quarterly-Report-Specifications-Expires-02282009.doc>

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
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Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

009829



Laiza N. Otero/EAC/GOV

11/27/2006 10:56 AM

To Gavin S. Gilmour/EAC/GOV@EAC

cc Brian Hancock/EAC/GOV@EAC

bcc

Subject OMB number placement per 5 CFR 1320.3

Here's more info - in particular subsection (f).

Laiza N. Otero  
Research Associate  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)



Fax (202) 566-3128 5\_C\_F\_R\_1320\_3.pdf

009830

**From:** Laiza N. Otero/EAC/GOV  
**To:** Brian Hancock/EAC/GOV@EAC

**Date:** Thursday, March 22, 2007 07:53PM  
**Subject:** Fw: Request for Extension of a previously approved collection with changes

---

FYI: (per my communications with OMB - read below) First thing Monday, we need to send out the second FR notice for the T&C Manual. I was informed that only Tom or the Commissioners may sign for an FR Notice - that's why we need to wait until Monday. I will draft it and send it to you; then we need to meet to go over the other documentation to make sure it's all there for the OMB package. Thank you!

L.

----- Forwarded by Laiza N. Otero/EAC/GOV on 03/22/2007 03:47 PM -----

**"Hunt, Alexander T."**  
**<Alexander\_T.\_Hunt@omb.eop.gov>**

Tolotero@eac.gov  
cc

03/22/2007 03:38 PM

Subject: RE: Request for Extension of a previously approved collection with changes

Yes. As long as you submit the 3-year extension request before the end of the month, OMB's approval will remain in effect while the request is pending.

Thanks.

---

**From:** lotero@eac.gov [<mailto:lotero@eac.gov>]  
**Sent:** Thursday, March 22, 2007 11:49 AM  
**To:** Hunt, Alexander T.  
**Subject:** Request for Extension of a previously approved collection with changes

Dear Mr. Hunt,

I am writing to inform you that we will be submitting next week a request for an extension with revisions of a previously approved collection (Title: EAC Voting System Testing and Certification Manual, OMB Control Number 3265-0004, expiration 3/31/2007). This

009831

collection had been approved under the emergency approval process on 9/29/2006. The 60-day Federal Register notice is set to conclude on March 24th, at which time we will proceed with the second 30-day FR notice and the submission of the ICR package to you via ROCIS. So as not to disrupt the program, may we continue to use the current number while you review our submission?

If you have any questions, please, do not hesitate to contact me at your earliest convenience. As always, thank you for your time and assistance in this process; it is greatly appreciated.

Sincerely,

Laiza N. Otero  
Election Research Specialist  
U.S. Election Assistance Commission  
1225 New York Avenue, Suite 1100  
Washington, DC 20005  
Tel. (202) 566-3100 (main office)  
Tel. (202) 566-2209 (direct)  
Fax (202) 566-3128

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009832

NOTICE OF OFFICE OF MANAGEMENT AND BUDGET ACTION

Date 09/29/2006

U.S. Election Assistance Commission

FOR CERTIFYING OFFICIAL: Juliet Thompson-Hodgkins  
FOR CLEARANCE OFFICER: Laiza Otero

In accordance with the Paperwork Reduction Act, OMB has taken action on your request received 09/22/2006

ACTION REQUESTED: New collection (Request for a new OMB Control Number)

TYPE OF REVIEW REQUESTED: Emergency

ICR REFERENCE NUMBER: 200609-3265-002

TITLE: U.S. Election Assistance Commission Voluntary Voting System Testing and Certification Program Manual

LIST OF INFORMATION COLLECTIONS: See next page

OMB ACTION: Approved without change

OMB CONTROL NUMBER: 3265-0004

The agency is required to display the OMB Control Number and inform respondents of its legal significance in accordance with 5 CFR 1320.5(b).

EXPIRATION DATE: 03/31/2007

DISCONTINUE DATE:

BURDEN:	RESPONSES	HOURS	COSTS
Previous	0	0	0
New	96	117	4,850
Difference			
Change due to New Statute	0	0	0
Change due to Agency Discretion	96	117	4,850
Change due to Agency Adjustment	0	0	0
Change Due to Potential Violation of the PRA	0	0	0

TERMS OF CLEARANCE:

OMB Authorizing Official:

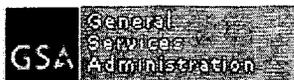
John F. Morrall III  
Acting Deputy Administrator,  
Office Of Information And Regulatory Affairs

009837

List of ICs

IC Title	Form No.	Form Name	CFR Citation
Collection of Voting System Manufacturer Information	EAC 001C	Manufacturer Registration Application	
Collection of Information and Record Keeping for Certified Voting System	EAC 002C	Application for Voting System Testing	
Field Anomaly Reporting	EAC 003C	Voting System Anomaly Reporting Form	

009838



RegInfo.gov

Where to find Federal Regulatory Information



Home Unified Agenda and Regulatory Plan EO 12866 Regulatory Review Information Collection Review  
 Information Collection Review Advanced Search XML R

Display additional information by clicking on the following:  All  Brief and OIRA conclusion  
 Abstract/Justification  Legal Statutes  Rulemaking  FR Notices/Comments  IC List  Burden  Misc.   
[View Information Collection \(IC\) List](#) [View Supporting Statement and Other Documents](#)

Please note that the OMB number and expiration date may not have been determined when this Information Collection Request associated Information Collection forms were submitted to OMB. The approved OMB number and expiration date may be found on the Notice of Action link below.

## View ICR - OIRA Conclusion

OMB Control No: 3265-0004

ICR Reference No: 200609-3265-002

Status: Active

Previous ICR Reference No:

Agency/Subagency:

Agency Tracking No:

Title: U.S. Election Assistance Commission Voluntary Voting System Testing and Certification Program Manual

Type of Information Collection: New collection (Request for a new OMB Control Number)

Type of Review Request: Emergency

Approval Requested By: 11/30/2006

OIRA Conclusion Action: Approved without change

Conclusion Date: 09/29/2006

[Retrieve Notice of Action \(NOA\)](#)

Date Received in OIRA: 09/22/2006

## Terms of Clearance:

	Inventory as of this Action	Requested	Previously Approved
Expiration Date	03/31/2007	6 Months From Approved	
Responses	96	96	0
Time Burden (Hours)	117	117	0
Cost Burden (Dollars)	4,850	4,850	0

**Abstract:** HAVA requires that the EAC certify and decertify voting systems (42 U.S.C. §15371). Section 231(a)(1) of HAVA specifically requires the EAC to "... provide for the certification, de-certification and re-certification of voting system hardware and software to accredited laboratories." The EAC will perform this mandated function through the use of its Voting System Testing and Certification Program. Voting systems certified by the EAC will be used by citizens to cast votes in Federal Elections. Therefore, it is paramount that the program operate in a reliable and affective manner. In order to certify a voting system, it is necessary for the EAC to (1) require voting system manufacturers to submit information about their organization and the voting systems they submit for testing and certification; (2) require voting system manufacturers to retain voting system technical and test records; and (3) to provide a mechanism for election officials to report events which may effect a system's certification.

**Emergency Justification:** HAVA requires that the EAC certify and decertify voting systems (42 U.S.C. §15371). Section 231(a)(1) specifically requires the EAC to "... provide for the certification, de-certification and re-certification of voting system hardware and software to accredited laboratories." The EAC will perform this mandated function through the use of its Voting System Testing and Certification Program. Voting systems certified by the EAC will be used by citizens to cast votes in Federal Elections. Therefore, it is paramount that the program operate in a reliable and affective manner. In order to certify a voting system, it is necessary for the EAC to (1) require voting system manufacturers to submit information about their organization and the voting systems they submit for testing and certification; (2) require voting system manufacturers to retain voting system technical and test records; and (3) to provide a mechanism for election officials and the public to report events which may effect a voting system's certification. The EAC is requesting an emergency review of the collection referenced below. In compliance with the requirement of section 3506(c)(2)(A) of the Paperwork Reduction Act of 1995 submitted to the Office of Management and Budget (OMB) the following requirements for emergency review. The EAC is requesting emergency review because the collection of this information is needed before the expiration of the normal time limits under OMB's 5 CFR Part 1320(a)(2)(ii). The information collection at issue is necessary in order to provide for the certification of voting system

688600

by the Help America Vote Act of 2002 (42 U.S.C. §15371). The EAC cannot reasonably comply with the normal clearance procedure failure to implement this program in an expedited fashion is reasonably likely to result in a public harm, as stated in 5 CFR 1320.1. Approval of this emergency collection is essential in order to comply with Help America Vote Act of 2002 (42 U.S.C. §15371). Hence, that the EAC certify and decertify voting systems. This mandate represents the first time the Federal government will provide for the testing and certification of voting systems, nationwide. In response to this HAVA requirement, the EAC is developing the Voting System Testing and Certification Program. This program requires the collection and retention of information by voting system manufacturers. Until national voting system certification was conducted by a private membership organization, the National Association of State Election Officials (NASED). NASED certified voting systems for over a decade, using standards issued by the Federal government. The organization certification efforts on July 10, 2006. While the EAC and NASED have worked together to provide for the certification of emergency modifications necessary to properly field voting systems for the 2006 General Election, there is presently no mechanism in place to certify new systems or to process modifications for the 2008 Federal elections. Given the fact that (1) it can take years to develop, test, sell, and field a new or modified voting system; and (2) a large volume of voting systems (new, existing and modified) are expected to be submitted to the EAC upon initiation of the new Certification Program, it is imperative that the EAC's Voting System Testing and Certification Program begin on the earliest possible date. The 2008 Federal elections are less than 2 years away. Ensuring that certified voting systems are available for the 2008 Election Cycle is essential to the public welfare.

**Authorizing Statute(s):** US Code: 42 USC 15371 Name of Law: Help America Vote Act of 2002

**Citations for New Statutory Requirements:** None

#### Associated Rulemaking Information

<b>RIN:</b>	<b>Stage of Rulemaking:</b>	<b>Federal Register Citation:</b>	<b>Date:</b>
	Not associated with rulemaking		

#### Federal Register Notices & Comments

**Did the Agency receive public comments on this ICR?** No

#### Number of Information Collection (IC) in this ICR: 3

IC Title	Form No.	Form Name
<u>Collection of Information and Record Keeping for Certified Voting System</u>	EAC 002C	<u>Application for Voting System Testing</u>
<u>Field Anomaly Reporting</u>	EAC 003C	<u>Voting System Anomaly Reporting Form</u>
<u>Collection of Voting System Manufacturer Information</u>	EAC 001C	<u>Manufacturer Registration Application</u>

#### ICR Summary of Burden

	Total Approved	Previously Approved	Change Due to New Statute	Change Due to Agency Discretion	Change Due to Adjustment in Estimate	Change Potential
Annual Number of Responses	96	0	0	96	0	0
Annual Time Burden (Hours)	117	0	0	117	0	0
Annual Cost Burden (Dollars)	4,850	0	0	4,850	0	0

**Burden increases because of Program Change due to Agency Discretion:** Yes

**Burden Increase Due to:** Miscellaneous Actions

**Burden decreases because of Program Change due to Agency Discretion:** No

**Burden Reduction Due to:**

009840

**Short Statement:** This is the first time this information collection, or the program upon which it is based, has been performed by the government.

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**Annual Cost to Federal Government:** \$902,000

**Does this IC contain surveys, censuses, or employ statistical methods?** No

**Is the Supporting Statement intended to be a Privacy Impact Assessment required by the E-Government Act of 2002?** No

**Agency Contact:** Laiza Otero 202-566-2209 lotero@eac.gov

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On behalf of this Federal agency, I certify that the collection of information encompassed by this request complies with 5 CFR 132 related provisions of 5 CFR 1320.8(b)(3).

The following is a summary of the topics, regarding the proposed collection of information, that the certification covers:

- (a) It is necessary for the proper performance of agency functions;
- (b) It avoids unnecessary duplication;
- (c) It reduces burden on small entities;
- (d) It uses plain, coherent, and unambiguous language that is understandable to respondents;
- (e) Its implementation will be consistent and compatible with current reporting and recordkeeping practices;
- (f) It indicates the retention periods for recordkeeping requirements;
- (g) It informs respondents of the information called for under 5 CFR 1320.8 (b)(3) about:
  - (i) Why the information is being collected;
  - (ii) Use of information;
  - (iii) Burden estimate;
  - (iv) Nature of response (voluntary, required for a benefit, or mandatory);
  - (v) Nature and extent of confidentiality; and
  - (vi) Need to display currently valid OMB control number;
- (h) It was developed by an office that has planned and allocated resources for the efficient and effective management of the information to be collected.
- (i) It uses effective and efficient statistical survey methodology (if applicable); and
- (j) It makes appropriate use of information technology.

If you are unable to certify compliance with any of these provisions, identify the item by leaving the box unchecked and explain the Supporting Statement.

**Certification Date:** 09/22/2006

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009841



Print Form

Submit by Email

# Application for Voting System Testing

1. Manufacturer Name:

2. Manufacturer Code:

3. Version of Standards to be Used for Testing:

4. Voting System Name:

5. System Model/Version Number:

6. EAC Accredited VSTL:

7. Requested EAC Certification number:

8. Brief Description of System or system modification:

Signature:

Date:

009842

# Instructions

This form provides manufacturers with the means to apply for a certification of a voting system. Completion of a voting system application is a required step in the EAC Voting System Certification Program. This form is prescribed by Section 4.3 of the Manual. For more information on registration requirements please see Section 4.3.

This form is generally self-explanatory, however the numbers and the instructions below correspond to the numbered sections of the form.

**1. Manufacturer Name:** Full legal name of the manufacturer.

**2. Manufacturer Code:** The three letter identification code provided by the EAC upon manufacturer registration.

**3. Version of Standards to be Used for Testing:** Select the version of the EAC approved voting system standards to which the candidate system or modification is to be tested and certified.

**4-5** Provide information as requested.

**6. EAC Accredited VSTL:** Provide the name of the EAC accredited voting system test laboratory which will perform testing on the candidate system.

**7. Requested EAC Certification Number:** Provide the certification number to be carried by the candidate system following certification. This number must begin with the three letter manufacturer identification code and be unique only to the specific candidate voting system. The number may be alpha-numeric and contain no more than 20 characters.

**8. Brief Description of the System or System Modification:** Describe the system, carefully listing all components submitted for certification.

This information is required for the EAC to provide for the certification of voting systems as required by 42 U.S.C. Section 15371. This information will be used solely to administer the EAC Testing and Certification Program. This program is voluntary, however, individuals who wish to participate must meet the requirements of the Program. This information will be made public consistent with the requirements of the Freedom of Information Act, the Trade Secrets Act, and any other applicable Federal law or regulation. Public reporting burden for this collection of information is estimated to average about XX hours for completion of this form. This estimate includes the time for reviewing the instructions, gathering information and completing the form. Send comments regarding this burden estimate to the Testing and Certification Program Director, Election Assistance Commission, 1225 New York Avenue, N.W., Suite 1100, Washington, DC 20005. Notwithstanding any other provision of law, no person is required to respond to, nor shall any person be subject to a penalty for failure to respond to, or comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

009843

# Application for Voting System Testing (For EAC Use only)

Application Number:

Application Received      Date/Time

Lead Technical Reviewer

Test Plan       Received      Date/Time

Accepted       Not Accepted

If Not Accepted, provide attachment for file containing explanation.

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Test Report       Received      Date/Time

Estimated Date for Completion of Report Review:

Approved       Not Approved

If Not Approved, provide attachment for file containing explanation.

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System Certificatio Date:

System Certification Number:

009844



# Voting System Anomaly Reporting Form

For VOLUNTARY reporting of Voting System Anomalies

## A. Election Official:

1. Name, Title, Jurisdiction

2. Phone Number

3. Email

4. Reported to Manufacturer?

YES

NO

## B. Product Description:

5. Manufacturer Name

6. Type of Voting System

DRE

Ballot Marking Device

Optical Scan

Other

7. System Model

8. Hardware & Software version

9. Unit Serial Number

10. EAC Certification Number

## C. Description of Anomaly or Event:

11. Date of Occurrence

Polling Place Name or Location

12. Election Type

Primary

General

Special

13. Was this your first election using this system?

YES

NO

14. Description of Anomaly

# Instructions

This form provides for the reporting of voting system anomalies by election officials. This form is part of the EAC Quality Monitoring Program. The use of this form is voluntary. Information regarding its use can be found in Section 8.7 of the Manual.

This form is self-explanatory.

This information is required for the EAC to provide for the certification of voting systems as required by 42 U.S.C. Section 15371. This information will be used solely to administer the EAC Testing and Certification Program. This program is voluntary, however, individuals who wish to participate must meet the requirements of the Program. This information will be made public consistent with the requirements of the Freedom of Information Act, the Trade Secrets Act, and any other applicable Federal law or regulation. Public reporting burden for this collection of information is estimated to average about XX hours for completion of this form. This estimate includes the time for reviewing the instructions, gathering information and completing the form. Send comments regarding this burden estimate to the Testing and Certification Program Director, Election Assistance Commission, 1225 New York Avenue, N.W., Suite 1100, Washington, DC 20005. Notwithstanding any other provision of law, no person is required to respond to, nor shall any person be subject to a penalty for failure to respond to, or comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.



# Manufacturer Registration Application

## 1. Manufacturer Information

Legal Name of Business:

Address of Business:

City:  State  Zip Code:

Organization Type:  Corporation  Partnership  Sole Proprietorship  Other

Names of Officers and/or Board of Directors and/or any and all Partners :

Name of Individual or Entity with Controlling Ownership in the Manufacturer:

## 2. Management Representative

First Name:  Title:

Last Name:  Middle Initial:

Address:

City:  State

Zip Code:  Email:

Phone Number:  FAX Number:

## 3. Technical Representative

First Name:  Title:

Last Name:  Middle Initial:

Address:

City:  State

Zip Code:  Email:

Phone Number:  FAX Number:

**4. Briefly describe your quality system ( i.e. ISO 9001). Provide your written policies supporting this description as a part of this application :**

**5. Briefly describe your internal requirements for managing change control/version control for both hardware/firmware and software . Provide your written policies supporting this description as a part of this application :**

**6. Please list the Name, Street Address, City, State/Province, Country, Postal Code, and Telephone Number for all facilities used by your company to manufacture your voting system product :**

## 7. Manufacturer Certification Agreement:

To maintain a voting system certification under the Election Assistance Commission (EAC) program, the manufacturer must agree to:

1. Represent a voting system as certified only when it is authorized by the EAC and consistent with the procedures and requirements of the Testing and Certification Program Manual (the Manual).
2. Produce and permanently affix an EAC certification label to all production units of the certified system.
3. Notify the EAC of changes to any system previously certified by the EAC pursuant to the requirements of the Manual.
4. Permit an EAC representative to verify manufacturer quality control by coordinating with EAC efforts to test and review fielded voting systems consistent with Section 8.6 of the Manual.
5. Permit an EAC representative to verify manufacturer quality control by conducting periodic inspections of manufacturing facilities consistent with Chapter 8 of the Manual.
6. Cooperate with any EAC inquiries and investigations into a certified systems compliance with voting system standards or the procedural requirements of the Manual.
7. Report to the Program Director any known malfunction of a voting system holding a current EAC Certification. A malfunction is defined as a failure of the voting system, not caused by operator or administrative error, which causes the system to fail or otherwise not operate as designed.
8. Certify that the manufacturer is not bared or otherwise prohibited by statute regulation or ruling from doing business in the United States.
9. Adhere to all procedural requirements of the Manual.

Signature:

Title:

Date:

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### EAC Use Only

Manufacturers  
Designation:

Notes:

009849

# Instructions:

This form provides for the registration of voting system manufacturers. Registration is the initial required step in the EAC Voting System Certification Program . This form is prescribed by Section 2.4 of the Manual. For more information on registration requirements please see Section 2.4 of the Manual.

This form is generally self-explanatory however the numbers and the instructions below correspond to the numbered sections of the form.

## 1. Manufacturer Information.

**Names of Officers and/or Board of Directors and/or any and all Partners:** Ensure that all individuals are identified by name, and title .

**Name of Individual or Entity with Controlling Ownership in the Manufacturer:** Ensure that the controlling individual is properly named and an address is provided.

## 2. Management Representative.

Please provide the name and information requested for the designated Manufacturer Representative pursuant to Section 2.3 of the Manual.

## 3. Technical Representative.

Please provide the name and information requested for the designated Technical Representative pursuant to Section 2.3 of the Manual.

## 4, 5 and 6

Provide the information listed and attach to your submission the written documentation required by Section 2.3.1 of the Manual.

## 7. Manufacturer Certification Agreement

Manufacturers are required to take or abstain from certain actions consistent with the certification program. Your concurrence to these requirements is signified by affixing the signature of the manufacturer representative.

This information is required for the EAC to provide for the certification of voting systems as required by 42 U.S.C. Section 15371. This information will be used solely to administer the EAC Testing and Certification Program. This program is voluntary, however, individuals who wish to participate must meet the requirements of the Program. This information will be made public consistent with the requirements of the Freedom of Information Act, the Trade Secrets Act, and any other applicable Federal law or regulation. Public reporting burden for this collection of information is estimated to average about XX hours for completion of this form. This estimate includes the time for reviewing the instructions, gathering information and completing the form. Send comments regarding this burden estimate to the Testing and Certification Program Director, Election Assistance Commission, 1225 New York Avenue, N.W., Suite 1100, Washington, DC 20005. Notwithstanding any other provision of law, no person is required to respond to, nor shall any person be subject to a penalty for failure to respond to, or comply with, a collection of information subject to the requirements of the Paperwork Reduction Act, unless that collection of information displays a currently valid OMB Control Number.

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**SUPPORTING STATEMENT**  
**U.S. Election Assistance Commission**  
**Voting System Testing and Certification Program**

**A. JUSTIFICATION**

**1. Explain the circumstances that make the collection of information necessary.**

HAVA requires that the EAC certify and decertify voting systems (42 U.S.C. §15371). Section 231(a)(1) of HAVA specifically requires the EAC to "... provide for the certification, de-certification and re-certification of voting system hardware and software by accredited laboratories." The EAC will perform this mandated function through the use of its Voting System Testing and Certification Program. Voting systems certified by the EAC will be used by citizens to cast votes in Federal Elections. Therefore, it is paramount that the program operates in a reliable and affective manner. In order to certify a voting system, it is necessary for the EAC to (1) require voting system manufacturers to submit information about their organization and the voting systems they submit for testing and certification; (2) require voting system manufacturers to retain voting system technical and test records; and (3) to provide a mechanism for election officials and other members of the public to report events which may effect a voting system's certification.

The EAC is requesting an emergency review of the information collection referenced below. In compliance with the requirement of section 3506(c)(2)(A) of the Paperwork Reduction Act of 1995, we have submitted to the Office of Management and Budget (OMB) the following requirements for emergency review. The EAC is requesting an emergency review because the collection of this information is needed before the expiration of the normal time limits under OMB's regulations at 5 CFR Part 1320(a)(2)(ii). The information collection at issue is necessary in order to provide for the certification of voting systems as mandated by the Help America Vote Act of 2002 (42 U.S.C. §15371). The EAC cannot reasonably comply with the normal clearance procedures because failure to implement this program in an expedited fashion is reasonably likely to result in a public harm, as stated in 5 CFR 1320.13(a)(2)(i).

Approval of this emergency collection is essential in order to comply with Help America Vote Act of 2002 (42 U.S.C. §15371). HAVA requires that the EAC certify and decertify voting systems. This mandate represents the first time the Federal government will provide for the voluntary testing and certification of voting systems, nationwide. In response to this HAVA requirement, the EAC is developing the Voting System Testing and Certification Program. This program requires the collection and retention of information by voting system manufacturers.

Until recently, national voting system certification was conducted by a private membership organization, the National Association of State Election Directors (NASD). NASD certified voting systems for over a decade, using standards issued by the Federal government. The organization terminated its certification efforts on July 10, 2006. While the EAC and NASD have worked together to provide for the certification of emergency modifications necessary to properly field voting systems for the 2006 General Election, there is presently no mechanism in place to test and certify new systems or to process modifications for the 2008 Federal elections. Given the fact that (1) it can take years to develop, test, certify, sell,

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and field a new or modified voting systems; and (2) a large volume of voting systems (new, existing and modified) are expected to be submitted to the EAC upon initiation of the new Certification Program, it is imperative that the EAC's Voting System Testing and Certification Program begin on the earliest possible date. The 2008 Federal elections are less than 2 years away. Ensuring that certified voting systems are available for the 2008 Election Cycle is essential to the public welfare.

**2. Explain how, by whom, how frequently, and for what purpose the information will be used. If the information collected will be disseminated to the public or used to support information that will be disseminated to the public, then explain how the collection complies with all applicable Information Quality Guidelines.**

The information collected under the EAC Voting System Testing and Certification Program will be used solely by EAC personnel to determine whether a voting system meets voluntary Federal voting system standards. Ultimately, EAC determination regarding whether a voting system is certified will be published. However, the information provided to the EAC to support a grant of certification will be made public subject to the requirements of the Freedom of Information Act and the Trade Secrets Act. A detailed guide regarding the publication of information collected for this program is found in Chapter 10 of the EAC's Voting System Testing and Certification Manual. A copy of the manual has been provided.

**3. Describe whether, and to what extent, the collection of information involves the use of automated, electronic, mechanical, or other technological techniques or other forms of information technology.**

The EAC will provide for the secure collection of information using its website. Submission will be accepted using a secure, automated, form-fillable web application. Information will also be accepted via e-mail from identified parties. The EAC is committed to making the submission of information to the agency as secure, efficient, and easy as possible through the use of technology. Ultimately, given the technical sophistication of the group from which we are collecting information, the limited nature of the collection and the small number of participants, electronic filing is an ideal methodology.

**4. Describe efforts to identify duplication.**

The Voting System Testing and Certification Program is new to the EAC. It is the first Federal program of its type. As such, the information we seek has not been collected and is not available from other Federal agencies. As for collection within the program itself, the amount of information sought in Paper Work Reduction Act collections is not significant. This fact, itself, reduces the potential for duplication. Further, in developing the program, the EAC was focused on efficiency. The EAC will assign each participant an identification number. This number can be used to pull all information submitted by the participant and, thus, prevent them from having to provide previously provided information in new contexts or collection efforts.

**5. If the collection of information involves small businesses or other small entities, describe**

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**the methods used to minimize burden.**

This collection of information does not have a significant economic effect on a substantial number of small entities; however, some small businesses or other small entities are among potential respondents. The EAC has made efforts to limit the information requested and burden on all participants. The information sought is limited to that information necessary to certify and maintain a certification for voting systems.

**6. Describe the consequences to the Federal program or policy activities if the collection is not conducted or is conducted less frequently.**

If the EAC does not collect this information, it will be unable to provide for the certification and decertification of voting system hardware and software in accordance with the Help America Voting Act of 2002. As no national body presently exists to perform this function, such a consequence could have a significant negative impact on the nation's election administration.

**7. Explain any special circumstances that require the collection to be conducted in a manner inconsistent with OMB guidelines.**

*(a) Requiring respondents to report information to the agency more often than quarterly.*

Not applicable in this collection.

*(b) Requiring respondents to prepare a written response to a collection of information in fewer than 30 days after receipt of it.*

Not applicable in this collection

*(c) Requiring respondents to submit more than an original and two copies of any document.*

Not applicable in this collection.

*(d) Requiring respondents to retain records, other than health, medical, government contract, grant-in-aid, or tax records, for more than 3 years.*

Not applicable in this collection.

*(e) In connection with a statistical survey, that is not designed to produce valid and reliable results that can be generalized to the universe of study.*

Not applicable in this collection.

*(f) Requiring the use of statistical data classification that has been reviewed and approved by OMB.*

009853

Not applicable in this collection.

*(g) That includes a pledge of confidentiality that is not supported by authority established in statute or regulation, that is not supported by disclosure and data security policies that are consistent with the pledge, or which unnecessarily impedes sharing of data with other agencies for compatible confidential use.*

This collection does not include a pledge of confidentiality not supported by statute or regulation.

*(h) requiring respondents to submit proprietary trade secrets or other confidential information unless the agency can demonstrate that it has instituted procedures to protect the information's confidentiality to the extent permitted by law.*

This collection does require the collection of proprietary or trade secret information protected by agency procedures. Proprietary technical information on voting systems is necessary to make a determination on certification. The EAC has set procedures and policy for the identification and protection of this information consistent with the requirements of the Freedom of Information Act and the Trade Secrets Act. These policies are laid out in Chapter 10 of the EAC Voting System Testing and Certification Manual. A copy of this manual has been provided.

**8. Provide a copy of the PRA Federal Register notice that solicited public comments on the information collection prior to this submission. Summarize the public comments received in response to that notice and describe the actions taken by the agency in response to those comments. Describe the efforts to consult with persons outside the agency to obtain their views on the availability of data, frequency of collection, the clarity of instructions and recordkeeping, disclosure, or reporting format (if any), and on the data elements to be recorded, disclosed, or reported.**

The EAC is requesting an emergency approval to collect this information. We are requesting a waiver of the 60-day and 30-day *Federal Register* notices required in 5 CFR 1320.13(d) in order to ensure that we comply the Help America Vote Act at meet the needs of the public. However, we intend to publish the program manual and IC forms for a period of 30 days starting on or about October 1, 2006. This will be done before any information collection begins on December 7, 2006.

We have contacted specific manufacturers of voting systems to gather information on the burdens imposed by this collection. We have also gathered them together to discuss the program as a whole and expect another (second) meeting with program participants before the collection of information commences.

**9. Explain any decisions to provide payments or gifts to respondents, other than remuneration of contractors or grantees.**

We will not provide any payment or gift to respondents in this collection.

**10. Describe any assurance of confidentiality provided to respondents and the basis for**

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**assurance in statute, regulation, or agency policy.**

No assurance of confidentiality has been provided to respondents. Information provided will be made public consistent with the requirements of the Freedom of Information Act and the Trade Secrets Act.

**11. Provide additional justification for any questions of a sensitive nature, such as sexual behavior and attitudes, religious beliefs, and other matters that are commonly considered private.**

The collection does not include sensitive or private questions.

**12. Provide an estimate in hours of the burden of the collection of information.**

- (a) Indicate the number of respondents, frequency of response, annual hour burden, and an explanation of how the burden was estimated. Generally, estimates should not include burden hours for customary and usual business practices.*
- (b) If this request for approval covers more than one form, provide separate hour burden estimates for each form and aggregate the hour burdens in Item 13 of OMB Form 83-I.*
- (c) Provide estimates of annualized cost to respondents for the hour burdens for collections of information, identifying and using appropriate wage rate. The cost of contracting out or paying outside parties for information collection activities should not be included here.*

The EAC will be collecting information on voting systems and their manufacturers. The agency will use three forms to collect this information (1) a manufacturer registration form, (2) a voting system certification application form and (3) a field anomaly reporting form. The program requires the submission and retention of other information regarding the manufacturer and its business practices, the technical aspects of its voting systems and the testing of its voting systems. However this information is not part of this burden analysis as its creation is part of the industry's customary and usual business practices. Moreover, much of the information is and was required by state and local governments, independent of, and prior to, any federal requirement proposed by this voluntary program. The estimated total annual hourly burden on the voting system manufacturing industry and election officials is 114 hours. The estimated annual cost burden to these parties is \$4,610.

- **Manufacturer Registration Form:** The EAC estimates that there are approximately 13 potential respondents. This estimate reflects the number of known entities manufacturing and selling voting systems in the United States. This form is required to be submitted once for participation in the EAC's program. However, it is estimated that based upon organizational changes the form will be amended once every 4 years. Thus, submission is expected once every 4 years or .25 annually. Based upon discussions with industry, completion of this form is estimated to take approximately 3 hours. Therefore, the total estimated, annual, hourly burden for this form will be 9.75 hours (13 respondents X 3

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hours X .25 annual rate). Based on an hourly cost factor of \$80, the total cost to the industry of this information collection is \$780.

- Voting System Certification Application Form: The EAC estimates that there are approximately 13 potential respondents. This estimate reflects the number of known entities selling and manufacturing voting systems in the United States. This form is required to be submitted each time a voting system is submitted for EAC certification. The number of submissions will vary significantly between respondents and from year to year. Based upon the experience of the National Association of State Election Directors, a private organization that previously operated a similar program, the EAC estimates it will receive an average of 54 submissions per year. This averages over 4 submissions per potential respondents, annually. Based upon discussions with industry, completion of this form is estimated to take approximately .5 hours. Therefore, the total annual hourly burden for this form will be 27 hours. Based on an hourly cost factor of \$80, the total cost to the industry of this information collection is \$2,160.
- Field Anomaly Reporting Form. This form may be used by election officials (state employees), in a purely voluntary capacity, to report problems with certified voting systems. Respondents are election officials who have witnessed a voting system anomaly. This is a new Federal program. No historic data exists to quantify the number of respondents. There are approximately 8,100 election officials in the United States. Assuming an anomaly rate of 1% per election year, the EAC estimates the submission of 81 responses and respondents per election year. As Federal elections take place once every 2 years, the annual submission and respondent estimate is 41, annually. The EAC estimates that this form will take 2 hours to complete. Therefore, the total annual hourly burden for this form will be 82 hours a year. Based upon an average hourly cost factor of \$25 for election officials, the total estimated cost of such submissions is \$2,050.

**13. Provide an estimate of the total annual cost burden to the respondents or record-keepers resulting from the collection (excluding the value of the burden hours in #12 above).**

- (a) The cost estimate should be split into two components: (1) a total capital and start-up cost component (annualized over its expected useful life) and (2) a total operation and maintenance and purchase of services component. The estimates should take into account costs associated with generating, maintaining, and disclosing or providing the information [including filing fees paid]. Include descriptions of methods used to estimate major cost factors including system and technology acquisition, expected useful life of capital equipment, the discount rate(s), and the time period over which costs will be incurred. Capital and start up costs include, among other items, preparations for collecting information such as purchasing computers and software; monitoring, sampling, drilling and testing equipment; and record storage facilities.*
- (b) If cost estimates are expected to vary widely, agencies should present ranges of cost burden and explain the reasons for the variance. The cost of purchasing or contracting out information collection services should be a part of this cost burden estimate. In developing cost burden estimates, agencies may consult with a sample of respondents.*

*(fewer than 10), utilize the 60-day pre-OMB submission public comment process and use existing economic or regulatory impact analysis associated with the rulemaking containing the information collection, as appropriate.*

- (c) Generally, estimates should not include purchases of equipment or services, or portions thereof, made: (1) prior to October 1, 1995, (2) to achieve regulatory compliance with requirements not associated with the information collection, (3) for reasons other than to provide information or keep records for the government, or (4) as part of customary and usual business or private practices.*

The EAC has identified no “non-hour” cost burdens for this collection of information that are not part of the effected industry’s customary and usual business practices.

**14. Provide estimates of annualized cost to the Federal government.**

The estimated annual cost to the Federal Government is \$902,000. This estimate includes \$624,000 for technical experts to review and accept collections, \$180,000 for personnel to administer and manage collections, \$46,000 in training costs, \$42,000 for program printing and website management and \$10,000 for equipment and overhead.

- We estimate \$624,000 to provide for technical experts to review and accept collections. These experts have an average pay \$100 an hour. We expect to have six experts working half time (1040 Hrs a year).
- We estimate \$180,000 for personnel to administer and manage the collections. Two full time personnel will be assigned to this program. With an average cost (pay and benefits) of approximately \$90,000 a year.
- We estimate \$46,000 in training program costs. This includes travel costs, training program development costs and training personnel.
- We estimate \$42,000 for program printing and website development, maintenance and administration.
- We estimate \$10,000 for equipment costs and overhead.

**15. Explain the reasons for any program changes or adjustments reported in Items 13 or 14 of the OMB 83-I.**

This is the first time this information collection or the program upon which it is based has been performed by the Federal government.

**16. For collections whose results will be published, outline the plans for tabulation and publication.**

Not applicable to this collection.

**17. If seeking approval to not display the expiration date for OMB approval of the information collection, explain the reasons why display would be inappropriate.**

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Not applicable to this collection.

**18. Explain each exception to the certification statement identified in Item 19 of the OMB 83-I.**

To the extent that the topics apply to this collection of information, we are not making any exceptions to the “Certification for Paperwork Reduction Act Submissions.”

**B. COLLECTIONS OF INFORMATION EMPLOYING STATISTICAL METHODS**

*(This collection does not employ statistical methods)*



**United States  
Election Assistance  
Commission**

1225 New York Ave. N.W.  
Ste. 1100  
Washington, DC 20005

**Testing and Certification  
Program Manual  
2006**

**DRAFT**

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