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BACKGROUND

In October 2002, Congress, with the leadership and overwhelming bipartisan support of the members of the U.S. House of Representatives’ Committee on House Administration, passed the Help America Vote Act (HAVA). The passage of HAVA represented an unprecedented effort by Congress to enhance the administration of Federal elections through funding, guidance, and policies.

HAVA was not contemplated as a short-term or partial solution to the issues and problems with the administration of Federal elections that came to the forefront during the 2000 elections. The law recognized the need to invest in our election infrastructure and set out a comprehensive program of funding, guidance, and ongoing research that spans the course of many years.

Funding State Improvements to Elections

Congress initially appropriated approximately $3 billion for payments to states during Fiscal Years 2003 and 2004. These funds were authorized under three separate sections of HAVA. Section 101 funds could be used to improve the administration of elections for Federal office. Section 102 funds could be used to replace punch-card and lever-action voting systems. Section 251 funds could be used to (1) improve voting systems, (2) establish and implement statewide voter registration databases, (3) implement provisional voting, (4) provide information to the voting public in the polling place, and (5) otherwise improve the administration of elections for Federal office. Congress appropriated an additional $215 million of Section 251 funds in Fiscal Year 2008 ($115 million) and Fiscal Year 2009 ($100 million). Generally, the funds are available to states until expended.

Standards for Voting Systems

A major provision of HAVA established minimum requirements for voting systems used in Federal elections. Each voting system must:

- Permit the voter to verify the selections made prior to casting the ballot;
- Permit the voter to change a selection prior to casting the ballot;
Notify the voter when an overvote (making more than the permissible number of selections in a single contest) occurs;

Notify the voter of the ramifications of an overvote;

Produce a permanent paper record that can be used in a recount or audit of an election;

Provide accessibility to disabled voters;

Provide foreign language accessibility in jurisdictions covered by Section 203 of the Voting Rights Act; and

Meet the error rate standard established in the 2002 Voting System Standards.

**Election Assistance Commission**

To foster election assistance programs and to promote and enhance voting for United States citizens, HAVA established the Election Assistance Commission (EAC). EAC is an independent, bipartisan commission. Four full-time commissioners, appointed by the President and confirmed by the U.S. Senate, guide the EAC. Through the agency, the Federal government assumed a larger role in the administration of Federal elections. Specifically, EAC is statutorily required to:

Create a clearinghouse of information for election officials and the public;

Distribute and monitor HAVA funds to states for election administration improvements;

Conduct periodic studies of election administration issues;

Establish best practices and guidelines on election administration for state and local election officials;

Issue, and periodically review and modify, as necessary, voluntary voting system guidelines;

Accredit voting system test labs, and test and certify voting equipment;
Develop requirements for voter registration form design for states;

Develop a standardized report for use by states to report on the absentee ballots transmitted to and received from absent uniformed services voters and overseas voters; and

Provide Congress with a biennial report to assess the impact of the National Voter Registration Act (NVRA).

HAVA also set up the Standards Board and the Board of Advisors to counsel EAC. In addition, the law established the Technical Guidelines Development Committee (TGDC) to assist EAC in the preparation of the voluntary voting system guidelines (VVSG).

EAC has 40 full-time employees, including the four commissioners and their four special assistants. EAC is located in Washington, D.C., is managed by an Executive Director, and is organized (Appendix 1) to provide responsive service to its stakeholders (Appendix 2). Its budget for internal operations in Fiscal Year 2008 was $13,280,000.

**Guiding Principles**

EAC is committed to:

- Bipartisan collaboration to serve the best interests of the American voters;
- Transparency in its work;
- Professionalism, excellence, and adherence to the highest level of performance standards for EAC staff and contractors;
- Accountability and integrity in the management and conduct of all EAC activities and programs;
- Careful stewardship of taxpayer dollars and overall fiscal responsibility;
- Timely performance of its duties;
- Performance and public service without regard to race, sex, religion, national origin, age, physical or mental disability; sexual orientation, gender identity and expression, or political affiliation in everything it does; and
Thorough and efficient distribution of appropriate election administration information it gathers.

The Planning Process

To meet the challenge of supporting the states and local governments in implementing HAVA reforms, EAC developed a strategic plan that provides the framework for how it will use its resources effectively. The plan lays out an approach to create a receptive and productive agency fully capable of the unique leadership role it has been given as a national clearinghouse, a manager of Federal financial assistance, a certifier of voting systems, and a resource for election officials throughout the country regarding the administration of Federal elections.

The plan was a valuable opportunity for the agency to work together as a team to consider a collective, strategic outlook. With the help of the Commissioners, a vision and mission were reconfirmed. EAC’s senior management team then identified the critical issues facing EAC in the coming years and determined how best to meet them. The plan is intended to be the foundation from which to address issues that arise during Fiscal Years 2009 through 2014. The senior management team identified five strategic goals, which are described in detail in this document and summarized in Appendix 3.
VISION AND MISSION

Vision
Lead election reform that reaffirms the right to vote and to have all eligible votes counted accurately.

Mission
Assist the effective administration of Federal elections.
GOALS AND OBJECTIVES

GOAL 1: COMMUNICATE
Communicate timely and accurate information on the effective administration of elections for Federal office and on the operations and services offered by EAC.

Increased interest in elections, new Federal funding, the rapid pace of change in election administration and Congressional direction has led EAC to operate a national clearinghouse of election information. EAC obtains election information through in-house research and chartered studies and from other credible sources. EAC presents this information to the election community, the public, the media, and EAC employees principally through its website. Also, EAC seeks to be responsive to valid inquiries about its programs and operations.

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

Objective 1: Operate the EAC clearinghouse effectively.

Means and strategies for accomplishing objective:

(a) Set EAC policy for a web-based clearinghouse that will (i) establish the physical description of the clearinghouse and (ii) describe the contents to be presented to the public.

(b) Launch a public information initiative about the contents and uses of the EAC clearinghouse.

(c) Maintain current and relevant information on the EAC website.

(d) Conduct regular information audits of all EAC divisions to update the clearinghouse and website.

Performance Measure

(1) Issue clearinghouse policy within 6 months.
(2) Establish a separate location on the EAC website in 2010 to present and manage all clearinghouse information.

(3) Post applicable information on the web-based clearinghouse within 24 business hours of receipt.

(4) Distribute at least one email update per month to stakeholders about the web-based clearinghouse.

**Objective 2: Respond to outside requests about EAC timely and accurately.**

Means and strategies for accomplishing objective:

(a) Establish and implement policies and procedures for tracking requests, gathering information from EAC, responding to requests, verifying and documenting responses, and updating information for stakeholders.

(b) Coordinate briefings between Members of Congress and Congressional staffers by Commissioners and EAC staff.

(c) Maintain and make available to EAC staff a database of media and Congressional inquiries and responses.

(d) Maintain an electronic Freedom of Information Act (FOIA) reading room.

(e) Provide FOIA training to EAC staff to improve response rates.

**Performance Measure**

(1) Issue policies and procedures to process requests from outside the agency by September 2009.

(2) Distribute media and Congressional inquiry and response log to EAC staff on a daily basis.

(3) Respond to FOIA requests in accordance with requirements.

(4) Respond to 75 percent of non-FOIA requests within 72 hours.
Objective 3: Convey the results of EAC operations and accomplishments.

Means and strategies for accomplishing objective:

(a) Identify technologies and other communication opportunities that will ensure rapid delivery of information to a wide variety of stakeholders.

(b) Actively promote the EAC electronic newsletter to include and educate all EAC stakeholders.

(c) Inform Members of Congress and Congressional staffers about EAC initiatives and programs in general and in their districts.

(d) Edit EAC materials and deliverables to ensure their accuracy and consistency.

(e) Produce speeches and talking points for Commissioners and EAC staff that accurately capture EAC activities and output.

(f) Create an atmosphere of creativity and customer service.

Performance Measure

(1) Provide weekly updates about EAC activities and election administration issues to EAC employees.

(2) Produce an annual FOIA report to chronicle requests and responses.

(3) Issue quarterly press releases summarizing EAC activities.

(4) Provide regular briefings regarding EAC activities to Congressional staffers.

(5) Produce the annual report of EAC activities to Congress by January 1 of each year for the preceding year ending September 30.

(6) Issue at least 12 EAC newsletters per year.
Program Evaluation
To evaluate the program:

★ Establish a feedback mechanism to gain public input on effectiveness and relevance of web-based clearinghouse.

★ Conduct monthly information audits on web-based clearinghouse to ensure content is accurate and updated.

GOAL 2: FUND AND OVERSEE
Deliver and manage Federal funds effectively.

For the first time, the Federal government is funding improvements to the voting process. EAC is responsible for the distribution and oversight of approximately $3.2 billion in payments to states and for other grant programs to improve Federal elections and gather election data. Historically, States have used most of the funding for the purchase of new voting equipment that meets the standards in HAVA and for establishing a computerized statewide voter registration list. States may also use the funds to educate voters about voting procedures, rights, and technology; to train election officials, poll workers, and election volunteers; to improve the accessibility and quantity of polling places; and otherwise to improve the administration of elections for Federal office. EAC is responsible for the administration of these funds.

Outcome
States and other recipients promptly and accurately receive Federal funds administered by EAC and use the funds appropriately to improve the administration of elections for Federal office.

Objective 1: Accurately and timely disburse Federal financial assistance administered by EAC.

Means and strategies for accomplishing objective:

(a) Develop a program handbook covering each Federal financial assistance program administered by the EAC.

(b) Thoroughly review all competitive grant applications to select appropriate recipients.
(c) Thoroughly review requests for payments and state plans to help ensure recipients use funds for appropriate purposes.

(d) Timely publish state plans and amendments to state plans in the *Federal Register*.

(e) Timely disburse funds on the basis of requests for reimbursement, certifications, and/or amendments to state plans.

(f) Recoup and redistribute unspent Section 102 funds.

**Performance Measure**

(1) Publish program handbook in Fiscal Year 2009.

(2) Award grants within established timeframes.

(3) Submit state plans for publication in the *Federal Register* within 30 days of receipt of the plan.

(4) Submit payment requests to General Services Administration (GSA) with 10 days of receipt of acceptable requests/certifications.

(5) Recoup and redistribute unspent Section 102 funds by February 2011.

**Objective 2: Effectively monitor Federal financial assistance administered by EAC.**

Means and strategies for accomplishing objective:

(a) Include in the program handbook reporting requirements and monitoring procedures.

(b) Review in a timely manner all financial and narrative reports submitted.

(c) Follow up on anomalies in reports or on non-reporting entities.

(d) Prepare a timely annual report to the Congress on states’ use of HAVA funds.
(e) Review audit reports to identify recipient internal control weaknesses and questionable uses of Federal funds administered by the EAC.

(f) Conduct site visits of recipients for whom EAC has found significant problems in financial and/or narrative reports and/or in audit reports.

(g) Negotiate in a timely manner indirect cost rates with state election agencies.

Performance Measures

(1) Review financial and performance reports and notify recipients of reporting anomalies or failure to file within 30 days of knowledge of such conditions, in writing in all cases and by telephone as time permits, to offer assistance and answer questions.

(2) Resolve 100 percent of audit findings within established time frames.

(3) Conduct site visits to at least three high priority grantees each year.

(4) Negotiate indirect cost rates within 30 days of receipt of acceptable indirect cost proposals.

(5) Issue the annual report to Congress on the expenditure of HAVA funds by July 15 of each year.

**Objective 3:** Provide technical assistance and guidance on the management of Federal financial assistance administered by EAC to reduce the risk of inappropriate use of funds and accounting errors.

Means and strategies for accomplishing objective:

(a) Include in the program handbook guidance/references on use of funds, allowable costs, and managing funds.

(b) Offer workshops and training sessions on management, use, and reporting of Federal financial assistance administered by EAC.
Performance Measures

(1) Submit to the Commissioners all recommended policy and guidance concerning the administration of Federal financial assistance administered by EAC within established time frames.

(2) Offer at least one workshop per year.

(3) Respond to all inquiries by recipients about the use and administration of funds in accordance with EAC requirements in a timely manner.

Program Evaluation

To evaluate the program:

★ Assess the results of:

- Audits (by the EAC Office of Inspector General and by state auditors) of recipient expenditure of Federal financial assistance administered by EAC,
- EAC oversight including monitoring visits and desk audits, and
- EAC reviews of recipient annual financial reports.

★ Implement additional controls over EAC administration of Federal financial assistance, as appropriate, on the basis of the assessments.

GOAL 3: STUDY, GUIDE, AND ASSIST

Identify and develop information on areas of pressing concern regarding the administration of elections for Federal office, issue recommended improvements, guidance, translations, and best practices as required by HAVA, and carry out responsibilities under the National Voter Registration Act (NVRA).

HAVA mandates that EAC conduct research on current election administration issues with the aim of promoting methods of voting and administering elections which will be the most “convenient, accessible, and easy to use;” “will yield the most accurate, secure, and expeditious system for voting and tabulating election results;”
“will be nondiscriminatory;” and “will be efficient and cost-effective.” In addition, HAVA requires that EAC produce guidelines and best practices for state use in implementing HAVA. HAVA also transfers from the Federal Election Commission to the EAC the responsibility for creating regulations governing the national mail voter registration application and for reporting to Congress on the impact of NVRA on elections for Federal office.

**Outcome**

The election community and other key stakeholders improve the administration of elections for Federal office on the basis of pertinent, impartial, timely, and high-quality information, recommendations, guides, and other tools on election and voting issues. In addition, eligible citizens use the national mail voter registration application to register to vote, register with a political party, or report a change of name, address, or other information.

**Objective 1: Complete research on relevant issues that improve the administration of elections for Federal office and expeditiously report on critical election administration subjects and data.**

Means and strategies for accomplishing objective:

(a) Analyze unfinished research mandated by HAVA, and develop and prioritize an inventory of ideas for potential new projects internally and on the basis of input from stakeholders.

(b) Establish, based on the inventory, annual research plans for completing research projects by EAC and by contractors in order of priority. Present plan to Board of Advisors and Standards Board for information and comments only. Obtain Commissioners’ approval for the plan and inform Congress of any mandated research that no longer appears relevant in the current election administration environment.

(c) Develop timelines, schedules, and deliverables to ensure timely completion of approved annual research plans.

(d) Recommend improvements and offer technical assistance and training to the election community on the basis of completed research.
Performance Measures

(1) Complete an inventory of potential research projects in Fiscal Year 2010.

(2) Start 100 percent of planned and funded projects each year.

(3) Meet milestones for the completion of research projects in accordance with schedules and deliverables each year.

(4) Disseminate all completed research project reports to stakeholders.

(5) Establish, in Fiscal Year 2010, a baseline for measuring stakeholder use of EAC research and educational products to improve the administration of elections for Federal office. In subsequent years, increase the percentage of stakeholder use of EAC research products.

Objective 2: Identify and collect required and useful data on election administration practices, voting methods, and demographics; and make recommendations for improving the quality of practices, methods, and data.

Means and strategies for accomplishing objective:

(a) Identify data required by law to be collected and data needed by Congress, election officials, and other stakeholders.

(b) Interact with state and local election data collection agencies and election associations to exchange information on data collection practices and identify ways to ensure data quality.

(c) Amend EAC’s Election Day Survey to include the collection of data on new and emerging election administration topics and on changes in required and desirable data elements.

(d) Issue reports to Congress presenting data required by the Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA), NVRA, HAVA, and the EAC Election Day Survey and recommend improvements to the data collection process.
Performance Measure

(1) Establish a baseline in Fiscal Year 2009 on the accuracy and completeness of data reported by states in response to EAC surveys. Increase the accuracy and completeness of reported data in each of the succeeding years.

(2) Include recommendations to improve election data collection and data provided to Congress in the biennial report on the Election Day Survey.

(3) Issue required reports to Congress by statutory deadlines.

Objective 3: Issue guidance and administer programs that provide timely and useful information to election officials and voters.

Means and strategies for accomplishing objective:

(a) Provide guidance to states concerning the proper implementation of HAVA Title III, Uniform and Non-discriminatory Election Technology and Administration Requirements.

(b) Develop and administer the EAC Language Accessibility Program to assist election officials in meeting the needs of language minority proficiency voters.

(c) Develop methods for making voting more accessible to Native Americans and Alaska Natives with the Language Accessibility Program.


(e) Create interactive versions of the various Glossaries of Key Election Terminology on the EAC website.

(f) Coordinate with the Department of Justice Voting Section to provide EAC language resources to jurisdictions required to meet the language minority requirements in Sections 203 and 4(f)4 of the Voting Rights Act.
(g) Develop and administer the Election Management Guidelines program to provide technical assistance and training to election officials.

Performance Measures

(1) Complete guidance regarding HAVA Section 301 by January 2012.

(2) Complete guidance regarding HAVA Section 302 by August 2010.

(3) Complete guidance regarding HAVA Section 303 by June 2011.


(5) Translate the “Voters Guide to Federal Elections” to any additional languages determined to be covered under minority language provisions of the Voting Rights Act on the basis of the 2010 Census.

(6) Complete initial materials for addressing the needs of Native Americans and Alaska Natives by October 2010.

(7) Complete interactive glossaries by March 2010.

(8) Establish a baseline for measuring stakeholder use of EAC teaching materials by the end of Fiscal Year 2010. In subsequent years, increase the percentage of stakeholder use of EAC teaching materials.

Objective 4: Enact regulations governing the national mail voter registration application, collection of voter registration and related data, and reporting to the Congress as required by NVRA.

Means and strategies for accomplishing objective:

(a) Start the rulemaking process, as outlined by the Administrative Procedures Act, to create regulations that will update the national mail voter registration application and describe the data to be collected for the biennial report to Congress.
(b) Implement interim procedures to improve and maintain the national mail voter registration application and to govern state requests for changes to the application.

(c) Provide guidance to states concerning the proper implementation of NVRA.

(d) Determine the feasibility of making the national mail voter registration application available in all languages covered under the Voting Rights Act.

Performance Measures

(1) Begin NVRA rulemaking process and adopt interim procedures by January 2010.

(2) Complete NVRA rulemaking process and issue guidance by October 2012 and make new regulations effective immediately following the Federal general election of 2012.

(3) Issue the biennial report on the impact of NVRA by June 30 of each odd-numbered year.

(4) Complete a feasibility study of making the national mail voter registration application available in all languages covered by the Voting Rights Act by June 2010.

Program Evaluation

To evaluate the program:

★ Develop an assessment tool to monitor election community acceptance of EAC recommendations and guides.

GOAL 4: TEST AND CERTIFY

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

EAC’s first step in instituting a Testing and Certification Program was to work with its advisory committees and the National Institute of Standards and Technology (NIST) to develop the Voluntary Voting System Guidelines (VVSG) against which voting systems will be
evaluated. EAC completed the first iteration of the VVSG in 2005, and will regularly review and update the VVSG. In addition, EAC works with NIST to accredit laboratories to test voting equipment. After a thorough review of the testing of equipment and software conducted by accredited laboratories, EAC will certify, decertify, or recertify voting systems, as appropriate.

**Outcome**

Voting equipment operates more reliably and securely and is more accessible to voters with disabilities. States use the EAC Testing and Certification Program to ensure voting systems meet standards.

**Objective 1:** Develop and update the VVSG.

Means and strategies for accomplishing objective:

(a) Develop an updated VVSG that adequately address accuracy and reliability of voting systems and that are cost effective.

(b) Develop, with the assistance of NIST, and maintain testable, objective, and repeatable voluntary voting system test suites and (or) test methods.

(c) Submit an updated draft of the 2005 VVSG, based on recommendations from the Technical Guidelines Development Committee (TGDC), to the *Federal Register* for public comment and hold public meetings with stakeholders on the proposed guidelines.

(d) Consider comments on the draft TGDC version of the VVSG and prepare an EAC draft VVSG. Publish the EAC draft in the *Federal Register* for public comment.

(e) Update the guidelines and present them at a public meeting for a vote of the Commissioners after consideration of comments.

**Performance Measure**

(1) Produce updates to the VVSG in Fiscal Years 2010 and 2013.

**Objective 2:** Provide for the accreditation and revocation of accreditation of independent, non-federal laboratories qualified to test voting systems to Federal standards.
Means and strategies for accomplishing objective:

(a) Develop, implement, and maintain policies and procedures for the accreditation and revocation of accreditation of voting system test laboratories (VSTLs).

(b) Collaborate with NIST’s National Voluntary Laboratory Accreditation Program (NVLAP) to accredit laboratories and ensure compliance with accreditation requirements.

(c) Implement a monitoring program to ensure the integrity of laboratories that test voting systems for Federal certification.

Performance Measure

(1) Complete accreditation reviews for all laboratories recommended to EAC by NIST and for all emergency actions within 90 days.

(2) Test and document the results of the review of compliance with procedures by 100 percent of accredited laboratories every 2 years.

Objective 3: Administer the testing, certification, decertification, and recertification of voting system hardware and software by accredited laboratories.

Means and strategies for accomplishing objective:

(a) Develop, implement, and maintain policies and procedures for the testing, certification, decertification, and recertification of voting system hardware and software by accredited VSTLs.

(b) Implement the most recent VVSG into the EAC’s testing and certification program and all of its components.

(c) Monitor, in accordance with Chapter 8 of the Voting System Testing and Certification Program Manual, EAC-certified voting systems to ensure that the systems continue to meet the requirements of the Federal standards to which they were certified.

(d) Conduct field reviews in state and local jurisdictions of EAC-certified voting systems to ensure the fielded systems (i) match the system certified by the EAC and (ii) meet the
requirements of the Federal standards to which they were certified.

**Performance Measure**

(1) Test 100 percent of systems qualifying for testing each year.

(2) Conduct at least one review of a manufacturing facility of a registered manufacturer at least once every 4 years.

(3) Plan to conduct field reviews for at least 50 percent of jurisdictions that volunteer for reviews.

(4) Respond to requests for interpretations of voting system standards within 45 days (Measures may be modified after EAC determines average number of requests).

**Program Evaluation**

To evaluate the program:

- Assess comments to Federal Register publications, other requests for comments, and results of EAC oversight reviews of laboratory testing and election system compliance with standards.

**GOAL 5: MANAGE**

*Achieve organizational and management excellence.*

HAVA established EAC to help implement mandated improvements to Federal elections. To that end, EAC will employ a variety of plans, resources, skills, processes, and technologies to ensure effective and efficient agency management.

**Outcome**

EAC Commissioners and staff proficiently carry out EAC’s strategic objectives.

**Objective:** Implement a high performance organization

Means and strategies for accomplishing goal:
(a) Foster a leadership environment that inspires, motivates, and guides employees toward the strategic goals; coaches, mentors, develops, and challenges staff; provides training and knowledge transfer; and, models high standards of honesty, integrity, trust, and respect for all individuals.

(b) Establish an organizational structure, management systems, and decision-making processes that improve coordination and cooperation across EAC and that support the efficient accomplishment of goals and priorities.

(c) Clarify roles and responsibilities of Commissioners and staff.

(d) Attract and maintain an empowered, high-performing workforce that values internal and external customers, professionalism, initiative, creativity, self-development, and confidentiality.

(e) Strive for a diverse staff that includes individuals with disabilities through outreach, competitive compensation, professional development, pleasant work space, flexible work schedules, telework, and state-of-art equipment.

(f) In concert with stakeholders and staff, work to obtain sufficient funds, maximize use of the funds, and plan activities to accomplish the goals and objectives of EAC.

(g) Provide effective financial management tools and support to EAC programs.

(h) Provide effective legal support to promote the goals of the agency.

(i) Monitor EAC progress in meeting goals and objectives.

Performance Measure

(1) Obtain a clean audit opinion on agency financial statements for Fiscal Year 2010.

(2) Institute an internal integrated budget and financial management system in Fiscal Year 2010.

(3) Implement 90 percent of OIG audit recommendations within agreed upon timeframes.
Program Evaluation
To evaluate the program:

- Implement an effective internal control assessment process that meets the requirements of Office of Management and Budget Circular A-123, Management’s Responsibility for Internal Controls. Promptly implement agreed upon recommendations contained in EAC’s annual audit of its Performance and Accountability Report.
EXTERNAL FACTORS THAT IMPACT ACCOMPLISHMENT OF THE GOALS AND OBJECTIVES

EAC has an opportunity to remain a leader in the election community and have positive name recognition outside of the Federal government. However, the agency’s ability to accomplish such ends is dependent upon a number of external factors that outside the agency’s control.

Acceptance by the Election Community
HAVA strictly limits EAC’s regulatory authority to that held by the Federal Election Commission (FEC) over NVRA. As such, a significant number of EAC’s research and guidance is voluntary. It is critical to have state and local election officials adopt and apply these voluntary principles if EAC’s efforts are to succeed.

Budget
Adequate funding for the maintenance of staff and support functions is essential for attainment of EAC goals and strategic objectives.

Legislative Changes
Statutory changes to either the agency’s enabling legislation or to other statutes that directly impact the agency could affect the EAC’s ability to meet its goals and strategic objectives.

Technology
Developments in rapidly changing technology could provide both new opportunities and new risks for EAC.
APPENDIX 1
ORGANIZATION CHART

COMMISSIONERS

Special Assistants

Executive Director

Advisory Boards & Committee

General Counsel
Communications & Clearinghouse
Meeting Coordinator

Chief Financial Officer

Budget
Accounting

Procurement
Grants

Voting System Certifications
CIO - Info. Technology

Chief Operating Officer

Elect. Admin. Research & Programs
Management Services

Human Resources

Human Resources

EAC Strategic Plan: FYs 2009 - 2014
APPENDIX 2

STAKEHOLDERS

**Government Entities with Oversight & Decision-Making Authority Regarding EAC**
- White House Staff
- Members of Congress
- Office of Management & Budget

**Groups Directly Affected by EAC Activities That Also Impact EAC Decision-Making**
- Chief Election Authorities in Each State
- Local Election Officials
- EAC Standards Board
- EAC Board of Advisors
- EAC Technical Guidelines Development Committee

**Other Government Entities with HAVA Implementation Responsibilities or Interest in HAVA**
- Federal Agencies
- Governors (Mayor in Washington, DC)
- State Legislatures (City Council in Washington, DC)

**Non-Government Groups Affected by HAVA Implementation**
- Professional Groups for Election Officials
- Professional Groups Representing State & Local Government
- Election Equipment & Services Vendors
- National Political Parties

**Other Groups Interested in EAC Activities & HAVA Implementation**
- U.S. Citizens here and abroad
- Voter Advocacy Groups
- Universities and Academics
- Think Tanks
- International Organizations/Interests
- State and Local Election Officials
# APPENDIX 3
## GOALS, OBJECTIVES, & MEASURES

**GOAL 1: COMMUNICATE - Communicate timely and accurate information on the effective administration of elections for Federal office and on the operations of EAC**

<table>
<thead>
<tr>
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<th>Measures</th>
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| 1. Operate the EAC clearinghouse effectively. | 1. Issue clearinghouse policy within 6 months.  
2. Establish a separate location on the EAC website in 2010 to present and manage all clearinghouse information.  
3. Post applicable information on the web-based clearinghouse within 24 business hours of receipt.  
4. Distribute at least one email update per month to stakeholder about the web-based clearinghouse. |
| 2. Respond to outside requests about EAC timely and accurately. | 1. Issue policies and procedures concerning request responses by September 2009.  
2. Distribute media and Congressional inquiry and response log to EAC staff on a daily basis.  
3. Respond to FOIA requests in accordance with requirements.  
4. Respond to 75 percent of non-FOIA requests within 72 hours |
| 3. Convey the results of EAC operations and accomplishments. | 1. Provide weekly updates about EAC activities and election administration issues to EAC employees.  
2. Produce an annual FOIA report to chronicle requests and responses.  
3. Issue quarterly press releases summarizing EAC activities.  
4. Provide regular briefings regarding EAC activities to Congressional staffers.  
5. Provide the annual report of EAC activities to Congress by January 1 of each year for the preceding year ending September 30  
6. Issue at least 12 EAC newsletters per year. |

**GOAL 2: FUND AND OVERSEE - Deliver and manage Federal funds effectively**

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2. Award grants within established timeframes.  
3. Submit state plans for publication in the Federal Register within 30 days of receipt.  
4. Submit payment requests to GSA within 10 days of receipt of acceptable request/certification.  
5. Recoup and redistribute unspent Section 102 funds by February 2011. |
| 2. Effectively monitor Federal financial assistance administered by EAC. | 1. Review financial and performance reports and notify recipients regarding reporting anomalies or failure to file within 30 days of knowledge of such conditions.  
2. Resolve 100 percent of audit findings within established timeframes.  
3. Conduct site visits to at least 3 high priority grantees each year.  
4. Negotiate indirect cost rates within 30 days of receipt of acceptable indirect cost proposals.  
5. Issue the annual report to Congress on the expenditure of HAVA funds by July 15 of each year. |
GOAL 3: STUDY, GUIDE, AND ASSIST - Identify and develop information on areas of pressing concern regarding the administration of elections for Federal office, issue recommended improvements, guidance, translations, and best practices as required by HAVA, and carry out responsibilities under the National Voter Registration Act.

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Measures</th>
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<tbody>
<tr>
<td>1. Complete research on relevant issues that improve the administration of elections for Federal office and expeditiously report on critical election administration subjects and election data.</td>
<td>1. Complete an inventory of potential research projects in Fiscal Year 2010. 2. Start 100 percent of planned and funded projects each year. 3. Meet milestones for the completion of contracted research projects in accordance with schedules and deliverables. 4. Disseminate all completed research project reports to stakeholders. 5. Establish, in Fiscal Year 2010, a baseline for measuring stakeholder use of EAC research products to improve the administration of elections for Federal office. In subsequent years, increase the percentage of stakeholder use of EAC research products.</td>
</tr>
<tr>
<td>2. Identify and collect required and useful data on election administration practices, voting methods, and demographics; and make recommendations for improving the quality of practices, methods, and data.</td>
<td>1. Establish a baseline in Fiscal Year 2009 on the accuracy and completeness of data reported by states in response to EAC surveys. Increase the accuracy and completeness of reported data in each of the succeeding years. 2. Include recommendations to improve election administration and data to Congress in the annual report on the Election Day Survey. 3. Issue required reports to Congress by statutory deadlines.</td>
</tr>
</tbody>
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### APPENDIX 3
GOALS, OBJECTIVES, AND MEASURES

#### GOAL 4: TEST AND CERTIFY - Build public confidence in elections by testing and certifying voting systems to improve system security, operation, and accessibility.

<table>
<thead>
<tr>
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<tbody>
<tr>
<td>1. Develop and update the VVSG.</td>
<td>1. Produce updates to the VVSG in Fiscal Years 2010 and 2013.</td>
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<tr>
<td>2. Provide for the accreditation and revocation of accreditation of independent, non-federal laboratories qualified to test voting systems to Federal standards</td>
<td>1. Complete accreditation reviews for all laboratories recommended to EAC by NIST and for all emergency actions within 90 days. 2. Test and document the results of the review of compliance with procedures by 100 percent of accredited laboratories every 2 years</td>
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<tr>
<td>3. Administer the testing, certification, decertification, and recertification of voting system hardware and software by accredited laboratories.</td>
<td>1. Test 100 percent of systems presented for testing each year. 2. Conduct at least one review of a manufacturing facility of a registered manufacturer at least once every 4 years. 3. Conduct field reviews for at least 50 percent of jurisdictions that volunteer for reviews. 4. Respond to requests for interpretations of voting system standards with 45 days.</td>
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#### GOAL 5: MANAGE - Achieve organizational and management excellence.

<table>
<thead>
<tr>
<th>Objectives</th>
<th>Measures</th>
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<tbody>
<tr>
<td>1. Implement a high performance organization</td>
<td>1. Obtain a clean audit opinion on agency financial statements for Fiscal Year 2010. 2. Institute an internal integrated budget and financial management system in Fiscal Year 2010. 3. Implement 90 percent of OIG audit recommendations within agreed upon timeframes.</td>
</tr>
</tbody>
</table>