

APPENDIX A

THE U.S. ELECTION ASSISTANCE COMMISSION

FISCAL YEAR 2013

INTERIM ANNUAL PERFORMANCE REPORT

March 10, 2014

U. S. Election Assistance Commission
Fiscal Year 2013 Annual Performance Report

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Overview

In December 2013, the U.S. Election Assistance Commission (EAC) presented a fiscal year (FY) 2013 Agency Financial Report (AFR). The report described EAC's financial results over the past year as it pursued its mission to assist the effective administration of Federal elections. The report highlights efforts to strengthen internal controls and financial management activities. EAC presented summarized performance data in the AFR, and provides as much detailed data as possible in the following Interim Annual Performance Report for FY 2013 in conjunction with the FY 2015 Interim Congressional Justification. This is the sixth year EAC has undergone a financial statement audit pursuant to the Accountability of Tax Dollar Act of 2002.

Managing for results and producing an Annual Performance Report requires valid, reliable and high-quality performance measures and data. In the program areas during FY 2013, EAC made progress in achieving the goals described in its Strategic Plan, which is based on the mandates of the Help America Vote Act (HAVA) of 2002:

Strategic Plan Goals and Organizational Structure Alignment

EAC adopted its first-five year Strategic Plan 2009-2014 in March 2009. The plan was reviewed by the Office of Management and Budget, and presented to EAC's Board of Advisors and Standards Board for comment. EAC's five strategic goals are:

1. Communicate

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

2. Fund and Oversee

Deliver and manage Federal funds effectively.

3. Study, Guide and Assist

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

4. Test and Certify

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

5. Manage

Achieve organizational and management excellence.

EAC's program offices are aligned with each of the goals in the Plan. Communications; Inspector General and Grants Management; Research, Policy and Programs; and Testing and Certification. Goal 5 encompasses costs needed to support the programs such as HAVA-mandated positions, staff needed to comply with federal laws such as the Federal Information Management Security Act; rent, information technology and financial management services.

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Allocation of Costs to Programs

Costs specifically identified with each of these programs such as assigned personnel costs and specific program contract costs are allocated to the program directly. Other general agency overhead are allocated to the programs based on staffing levels of the programs. This methodology is outlined in EAC's Cost Allocation Model and is reviewed each year by staff and financial statement auditors to ensure the accurate allocation of expenses to each program.

Performance Data Collection and Validation

Managing for results and producing an Annual Performance Plan requires valid, reliable and high-quality performance measures and data. EAC is committed to the continuous improvement of its performance and financial management data. To this end, EAC verifies mandatory source documentation, and documentation of calculation methodology for performance indicators to provide reasonable assurance that the reported programmatic performance data is relevant and reliable.

Performance Indicators

EAC Strategic Plan objectives in the following sections describe the results needed to accomplish the five Strategic Goals. Outcomes measure the effect program outputs have on their stakeholders. Outputs are quantifiable targets that directly measure the results of a program. A program may have multiple outputs but each output is associated with one program. Performance measures are quantifiable and documentable representations of a capacity, process or outcome that is relevant to the assessment of performance.

Goal One – Communicate

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

Outcome: The 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.

	FY 2013 Communications Enacted Budget
Direct Costs	\$366,095
Indirect Costs	345,730
Total, Communicate	\$711,825

Goal 1's aim of communication of timely and accurate information is the responsibility of the Communications and Clearinghouse division.

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Areas of Responsibility

The Communications and Clearinghouse Division is responsible for external communications and the tools and platforms used to provide information to election officials and the general public. Areas of responsibility include:

- EAC Website and Clearinghouse
- Social media
- Media inquires
- External communications
- Congressional relations
- The Freedom of Information Act
- National Archives and Records Act
- Editorial support: press releases, speeches, and Congressional testimony

The agency's website, www.eac.gov, is the primary communications tool. EAC.gov contains thousands of documents and information about voting systems, press releases, informational videos, research, data and program-related information. It also features on-demand webcasts and related information from public meetings, hearings and roundtables.

EAC's award-winning website features a user-driven notification system, allowing visitors to customize how they receive information. Users can customize their online experience by signing up for automatic e-mail alerts on a variety of election topics and events, including public meetings, advisory board meetings, reports, policies and agency news. These alerts can be received in real time on a daily or weekly basis.

FY 2013 Accomplishments

The Communications and Clearinghouse Division began Fiscal Year 2013 with a focused effort on providing information and best practices to election officials and voters in the remaining weeks prior to the 2012 November election. EAC maintained the goal of building a community of knowledge and expertise that could save election officials time and money in preparation for the 2014 federal election cycle.

EAC.gov Resources

- The Election Official Exchange: an online resource built by EAC to help local election officials connect and leverage their collective knowledge by sharing best practices and knowledge. By participating in the Exchange, any U.S. election official can call on a colleague for advice about virtually any administrative task they face, from testing voting equipment and training poll workers to creating an audit trail and conducting a recount.
- Events finder: a comprehensive presentation of all EAC public events, including meetings, hearings and roundtable discussions.
- Webcasts: public events are offered live. On demand webcasts are available within 24 hours. The meeting agenda accompanies the webcast, and the viewer can select topics of interest. All meeting materials are also available to the public.

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- Customized program updates: a listserv for EAC's newsletter and automatic program updates. Users are notified daily or weekly when new documents are posted based on their delivery preferences.

Social Media and Stakeholder Updates

- Blog posts provided periodic election updates and highlight program activities including: EAC resources; election updates; voting system testing updates to track progress made on EAC voting system certification; information on absentee and early voting; hurricane contingency plans; state election info; post election info; roundtables, workshop and symposium; public comments on test lab program manual and 2014 EAVS/UOCAVA Survey; and Engineering Change Order (ECO) database for State users to better handle our test matrix of VVSG requirements; and ongoing blog posts covering election related topics to answer frequently asked questions and provide critical or time sensitive information to stakeholders and the media;
- Used @EACgov on Twitter to rapidly deliver information and updates to stakeholders and the public about the voting system certification program, EAC activities and election information, communicate with election officials, and build a community of expertise;
- Maintained #BReady2012 and #FOV13, the Twitter hashtags where election officials and the public can gather and discuss preparation for Federal elections. The number of EAC Twitter followers grew from 970 to 1602 from October 2012 through September 2013;
- Hosted online The Election Official Exchange, a platform to help local election officials connect and leverage their collective knowledge by sharing and exchanging best practices and information expertise; and
- Provided program activity updates where the public can customize the kind of information and the frequency that it is delivered via EAC's newsletter and automatic program updates.
- EAC delivered information and updates to election officials and stakeholders about: (1) 2012 survey report data on the ability of civilian, military and overseas citizens to successfully cast a ballot; (2) voting system certification program; and (3) remaining HAVA funds available to states.
- As requests were received from election officials, EAC continued to add more links to state & local election social media sites.

Post 2012 Election: The Roundtable Series of Public Discussions

In Fiscal Year 2013, EAC hosted two public roundtable discussions which followed the series of prior EAC roundtables about topics and initiatives in preparation for 2012 federal election cycle. In January, EAC hosted a post election roundtable to assess the 2012 election and review shared best practices for addressing some of the challenges presented during the election cycle. A second roundtable was held in May to discuss the results of grant funded work and how recent innovations in accessibility research may be applied to the future of election administration and voting systems. Both roundtables were webcast live and featured a live Twitterfall. Questions and comments were taken from the public through the webcasts. Participants included election officials and subject experts who provided real world solutions to the issues facing election officials and voters as we prepare for the 2012 elections. EAC distributed press advisories to

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national media daybooks and contacts, and to the home state/local media outlets representing roundtable participants. EAC also publicized and promoted participation in two EAC / NIST events: a workshop on accessible voting technology, with approximately 70 participants; and a symposium on the future of voting systems, attended by about 75 participants.

- **Informing Change: A Review of Events and Issues of the 2012 Elections Cycle** (January 9, 2013). Reviewed shared best practices for addressing some of the challenges presented during the 2012 election cycle. EAC heard from state and local election officials, poll workers and end users, advocates, leading academics, researchers and observers of the election process. Participants shared ideas and strategies for improving the administration of elections in the U.S. Objective: to identify which aspects of the process may be improved in order to begin developing best practices that can be used in the next election. CSPAN covered via webcast. On demand webcasts are available of EAC's yearlong series of discussions on major topics to prepare for the Presidential Election.
- **Transforming Election Administration, Voting System Accessibility, and the Certification Process** (May 9, 2013). Discussed the results of grant funded work and how recent innovations in accessibility research may be applied to the future of election administration and voting systems. The May 9 roundtable continued discussions from the Future of Voting Systems Symposium and the Accessible Voting Technology workshop.
- **EAC/NIST Accessible Voting Technology Research Workshop** (April 1-2, 2013). EAC and NIST hosted a workshop to discuss current and future research in accessible voting technology, and the transition of this research to industry. Topics included: Innovative assistive applications and techniques; New approaches to accessibility in voting; Accessibility research benchmarks and results; Transitioning research to industry; New and existing devices that provide accessible access to elements of the voting process; and Challenges in accessible voting.
- **EAC/NIST Future of Voting Systems Symposium** (February 26-28, 2013). EAC and NIST hosted a symposium to explore emerging trends in voting system technology with the election community at large. Topics included: Why some jurisdictions are exploring building their own voting systems; Trends in voting system technology acquisition and deployment plans; How election officials, manufactures, young voters, and academics view the future of voting system technologies; Alternative standard development processes for voting systems; and Alternative methods for voting system testing and certification at the Federal and State level.

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Performance Indicator	Type of Indicator	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Planned	FY 2015 Planned
<i>Operate the EAC clearinghouse effectively.</i>						
Issue Clearinghouse policy within 6 months.	Output	In final draft	Final adoption contingent on Commission quorum			
Post applicable information on the website within 24 hours of receipt.	Output	100% of data posted in 24 hours	100% of data posted in 24 hours	100% of data posted in 24 hours	100% of data posted in 24 hours	100% of data posted in 24 hours
Establish a separate location on the EAC website in 2010 to present and manage all clearinghouse information.			Pending approval of Clearinghouse policy			
Distribute at least one email update per month to stakeholders about the web-based Clearinghouse.	Output	50 newsletters; 13 updates	12 updates distributed	12 updates distributed	12 updates distributed	29 updates distributed
<i>Respond to outside requests about EAC timely and accurately.</i>						
Issue policies and procedures to process requests from outside the agency by September 2009.	Output	In final draft	Final adoption contingent on quorum			
Distribute media and Congressional inquiry and response log to EAC staff on a daily basis.	Output	Inquiries distributed on receipt, logs sent daily	Inquiries distributed on receipt, logs sent daily	Inquiries distributed on receipt, logs sent daily	Inquiries distributed on receipt, logs sent daily	Inquiries distributed on receipt, logs sent daily or in monthly reports
Respond to FOIA requests in accordance with requirements.	Output	Responses in 20 business days	Respond in 20 business days	Respond in 20 business days	Respond in 20 business days	Respond in 20 business days
Respond to 75 percent of non-FOIA requests within 72 [business] hours. [Excludes requests with Congressional deadlines.]	Output	100% response rate in 72 hours	100% response rate in 72 hours	100% response rate in 72 hours	100% response rate in 72 hours	100% response rate in 72 hours
<i>Convey the results of EAC operations and accomplishments.</i>						
Provide weekly updates about EAC activities and election administration issues to EAC employees.	Output	52 updates/100%	52 updates	52 updates	52 updates	52 updates
Produce an annual FOIA report to chronicle requests and responses.	Output	Final report on time 1/31/11	Final report on 1/31/12	Final report on 1/31/13	Final report on 1/31/14	Final report on 1/31/15
Issue quarterly press releases summarizing EAC activities.	Output	28 press releases	4 press releases	4 press releases	4 press releases	67 blog posts in lieu of press releases
Provide regular briefings regarding EAC activities to Congressional staffers.	Output	2 formal briefings	2 formal briefings	2 formal briefings	2 formal briefings	2 formal briefings
Produce the annual report of EAC activities to Congress by January 31 of each year for the preceding year ending September 30.	Output	Report disseminated 1/31/11	Report disseminated 1/31/12	Report disseminated 1/31/13	Report disseminated 1/31/14	Report disseminated 1/31/15
Issue at least 12 EAC newsletters per year.	Output	50 newsletters	12	12	12	29 newsletters

Goal Two – Fund and Oversee

Strategic Plan Goal 2: Deliver and manage Federal funds effectively.

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

FY 2013 Grants Management and Office of the Inspector General Enacted Budgets	
Grants Management	\$ 415,831
OIG	1,184,617
Indirect Costs	1,382,920
Total, Fund and Oversee	\$2,983,368

Goal 2’s aim of delivering and managing Federal funds effectively is the responsibility of the Grants Management division and the Office of the Inspector General (OIG). The goal will be achieved via three strategic objectives described in the performance measure chart at the end of this section.

Areas of Responsibility

The Grants Management Division:

- Provides technical assistance to the States on administering Federal funds;
- Awards and monitors discretionary grant programs including: Help America Vote College Program, Help America Vote Mock Election Program, Military Heroes Initiative, Voting System Pre-Election Logic and Accuracy Testing and Post-Election Audit Initiative and Accessible Voting Technology Initiative;
- Processes and disburses payments to States and discretionary grant recipients;
- Tracks the submission of and reviews the content of financial and performance reports submitted by States and discretionary grant recipients;
- Reviews audit reports and works with fund recipients on recommendations to resolve audit findings applicable to EAC programs;
- Reviews amended State Plan submissions; and
- Drafts advisory opinions for Commission approval and issuance.

FY 2013 Accomplishments

- Disbursed requirements payment grants to States certifying compliance from the FY 2008 through FY 2011 awards;
- Closed the 9 College Poll Worker and the 4 Mock Election grants awarded in FY 2010;
- Continued to monitor and provide technical assistance to three-year award 2010 College Poll Worker grantees to help them carry out successful programs;

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- Continued to monitor and work with the three-year award 2010 Mock Election Program grantees;
- Monitored and provided technical assistance for the Voting System Pre-Election Logic and Accuracy Testing & Post-Election Audit Initiative grants, and the Accessible Voting Technology Initiative grants. In FY 2012, the latter projects focused on making pre-election information accessible to voters and using a specialized system in the field for elections;
- Closed all open OIG audits of state HAVA funds; and
- Provided technical assistance to grant recipients as they are responsible for establishing and maintain internal controls that will reasonably ensure compliance with federal laws, regulations, and the provisions of the authorizing legislations and grant agreements for the applicable grant programs.

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Performance Indicator		Type of Indicator	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Planned	FY 2015 Planned
<i>Accurately and timely disburse Federal financial assistance administered by EAC.</i>							
	Award grants within established timeframes.	Output	All Disability and 1 st round of L&A; 100% of RPs	N/A (lack of Commission-er quorum for L&A)		100% of appropriated funds	100% of appropriated funds
	Submit State plans for publication in the <i>Federal Register</i> within 30 days of receipt of the plan.	Output	100%	100%	100%	100%	100%
	Submit payment requests to GSA [BPD] within 10 days of receipt of acceptable requests/certifications.	Output	100%	100%	99%	100%	100%
<i>Effectively monitor Federal financial assistance administered by EAC.</i>							
	Review financial and performance reports and notify recipients of reporting anomalies or failures to file w/in 30 days of knowledge of conditions in writing in all cases and by phone as time permits to offer assistance & answer questions.	Output	100%	Met goal by deadline	Met goal by deadline	Meet goal by deadline	Meet goal by deadline
	Resolve 100 percent of audit findings within established time frames.	Output	No overdue mgt. decisions as of 9/30/2010	85% audit resolution	100% audit resolution	100% audit resolution	100% audit resolution
	Conduct site visits to at least three high priority grantees each year.	Output	2 site visits	2 site visits	0 site visits	3 site visits	3 site visits
	Negotiate indirect cost rates within 30 days of receipt of acceptable indirect cost proposals.	Output	Submitted requests for rate negotiation to HHS on receipt	Proposals submitted to HHS on receipt	Proposals submitted to HHS on receipt	Proposals submitted to HHS on receipt	Proposals submitted to HHS on receipt
	Issue the annual report to Congress on the expenditure of HAVA funds by July 15 each year.	Output	Report issued with CBJ/APR			Report to be submitted w/CBJ after 9/30 FFRs	Report to be submitted w/ CBJ after 9/30 FFRs
<i>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.</i>							
	Submit to the Commissioners all recommended policy and guidance concerning the administration of Federal financial assistance administered by EAC within established time frames.	Output	Submitted 1 AO before quorum was lost	N/A		100%	100%
	Offer at least one workshop per year.	Output	1 webinar, 2 presentations	1 webinar	Provided technical assistance on a one-on-one basis	1 webinar	1 webinar
	Respond to all inquiries by recipients about the use and administration of funds in accordance with EAC requirements in a timely manner.	Output	24 hour turn-around for phone & email response time 85%	90%	100%	100%	100%

Goal Three – Study, Guide and Assist

Strategic Plan Goal 3: Identify and develop information on areas of pressing concern regarding the administration of elections for Federal office and issue recommended improvements, guidance, translations, and best practices as required by HAVA, and carry out responsibilities under the National Voter Registration Act.

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

	FY 2013 Study, Guide and Assist Enacted Budget
Direct Costs	\$548,178
Indirect Costs	819,479
Total, Study, Guide, Assist	\$1,367,657

Goal 3 is administered by the Research, Policy and Programs division. Goal 3 consists of four strategic objectives: 1) complete research on issues that improve the administration of elections for Federal office and expeditiously report on those subjects and election data as deemed relevant by the Commission; 2) identify and collect required and useful data on election administration practices and on voting methods and demographics, and make recommendations for improving the quality of practices, methods, and data; 3) issue guides, translations and other tools that are timely and useful; and 4) update and maintain a national mail voter registration application and submit a report on the impact of the NVRA to the Congress as required by the NVRA.

Areas of Responsibility

The Research, Policy and Programs (RPP) Division:

- Conducts research on election administration topics as mandated by Congress and at the discretion of the Commission;
- Administers the biennial Election Administration and Voting Survey;
- Administers the National Mail Voter Registration Form as prescribed by the National Voter Registration Act of 1993 (NVRA), also known as “Motor Voter;”
- Administers the Election Management Guidelines and Quick Start Guides Program to help election officials promote secure, efficient, accurate, and accessible elections by providing information on topics such as Ballot Design, Polling Place Management, Voting Accessibility, Communicating with the Public, Contingency Planning, Managing

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Change in an Election Office, Media and Public Relations, and Developing an Audit Trail for the verification of votes;

- Manages the Language Accessibility Program to provide informational materials on the Federal election process and glossaries of election terminology in languages English and six other languages, translates the National Mail Voter Registration Form into ten languages other than English; and
- Provides materials to voters and election administration officials to facilitate their successful participation in Federal elections such as registering to vote.

Research and reporting is mandated by HAVA on topics such as the impact of the National Voter Registration Act of 1993 and on the Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA) for military and overseas voters' participation in federal elections; the feasibility and advisability of establishing free absentee ballot return postage; recounts and contests; the feasibility of alternative voting methods such as electronic voting; the voting experiences of first-time voters who register to vote by mail; administering elections in urban and rural areas; and the feasibility and advisability of identifying voters by Social Security Number.

FY 2013 Accomplishments

Research:

- Published, delivered to Congress and posted to EAC's website, all reports and data related to the 2012 Election Administration and Voting Survey (EAVS) including: the Statutory Overview; the NVRA report; the UOCAVA report and; the general EAVS report.
- Successfully administered and completed a national survey and final draft report on findings from a HAVA-mandated (241b15) study on voting and administering elections in urban and rural areas.
- Successfully completed an agreement between EAC and FVAP for creating a combined 2014 EAVS.
- Completed the first of two Federal Register public comment periods on the 2014 EAVS that will include 12 additional FVAP questions.

Policy:

- Responded to and processed requests from Arizona, Georgia, Washington State, Kansas, Wisconsin and Florida to modify their state-specific instructions on the national mail voter registration application form (Federal form).
- Updates to these states' instructions were posted in English and other required languages on the EAC website.

Programs:

- To prepare for the 2012 Federal election the division created and widely distributed--to the general public and to each of the 55 states and territories--Voter Tips cards and Voter's Guides to Elections;

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- Hosted several briefings for foreign delegations regarding the EAC, the U.S. Election system and voting process;
- Conducted nine webinars for election officials on Best Practices in Election Management. Topics included polling place and election-day management, contingency planning, voter registration and education and, poll worker recruitment training and retention. Each session--moderated by an election official-- featured two local election officials as speakers. Each session involved between 45-50 election officials representing states throughout the US and American Samoa.
- Developed a work plan for updating 4-5 EAC Quick Start Guides, concise tips on a wide range of election topics, in 2014.

Throughout the year RPP staff has also on a continuing basis:

- Clarified various data reported in the 2012 EAC Election Administration and Voting Survey along with other previous EAVS reports;
- Provided assistance (including assistance in Spanish) regarding the completion of the Federal NVRA form;
- Responded to requests to clarify certain technical aspects of election procedures and processes.

Performance Indicator	Type of Indicator	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Planned	FY2015 Planned
Complete research on relevant topics that improve the administration of elections for Federal office and expeditiously report on critical election administration subjects and data.						
Meet milestones for the completion of research projects in accordance with schedules and deliverables each year.	Output	100%	100%	100%	100%	100%
Disseminate all completed research project reports to stakeholders.	Output	100%	100%	100%	100%	100%
Include recommendations to improve election data collection and data provided to Congress in the biennial report on the Election Day Survey.	Output	Report submitted June 2011	NA	Report submitted June 2013	NA	Report submitted June 2015
Issue required reports [UOCAVA, NVRA, EAVS] to Congress by statutory deadlines.	Output	3	4	3		2
Administer programs that provide timely and useful information to election officials and voters						
Complete guidance regarding HAVA Section 301, 302, 303.	Output			Complete pending a quorum		
Establish a baseline for measuring stakeholder use of EAC teaching materials by the end of FY 2010. In subsequent years, increase the % of stakeholder use of EAC teaching materials.	Output	75%	85%	96%	96%	96%
Begin NVRA rulemaking process and adopt interim procedures by January 2010.	Output		Complete pending a quorum			

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Complete NVRA rulemaking process and issue guidance by October 2012 and make new regulations effective immediately following the Federal general election of 2012.	Output	No further action due to absence of quorum	Issue final regulations pending a quorum			
Issue the biennial report on the impact of NVRA by June 30 of each odd-numbered year.	Output	Completed on time 6/30/11		Completed on time 6/30/13		Complete on time 6/30/15

Goal Four – Test and Certify

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

Outcome: Voting equipment operates more reliably and securely and is more accessible to the disabled. States use the EAC testing and certification program to ensure voting systems meet standards.

	FY 2013 Testing and Certification Office Enacted Budget
Direct Costs	\$ 982,228
Indirect Costs	2,247,244
Total, Test & Certify	\$3,229,472

Goal 4 is administered by the Voting System Testing and Certification (T&C) division. The goal consists of three strategic objectives: 1) develop and update the voluntary voting system guidelines (VVSG); 2) provide for the accreditation of independent laboratories qualified to test voting systems to Federal standards, and for the revocation of accreditation as appropriate; and 3) administer the testing, certification, decertification, and recertification of voting system hardware and software by accredited laboratories.

Areas of Responsibility

Under the Help America Vote Act, EAC accredits voting system test laboratories and certifies voting equipment, marking the first time the Federal government has offered these services to the States. Participation by States in the program is voluntary. Staff works with NIST to evaluate and accredit voting system test laboratories and the management of the voting system certification process.

The Testing and Certification (T&C) Division:

- Assists States with voluntary certification of their systems;
- Supports local elections officials in the areas of acceptance testing and pre-election system verification;
- Promotes quality control in voting system manufacturing through the EAC quality monitoring program;

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- Provides procedures to the voting system manufacturers for the testing and certification of voting systems to specified Federal standards consistent with the requirements of HAVA Section 231.

EAC's voting system certification program establishes accountability through its Quality Monitoring Program which ensures, through various check points, that the voting systems used in the field are the same systems EAC has certified. For instance, under the program, EAC has the ability to conduct site visits to production facilities to determine whether systems produced are consistent with those that have received EAC certification. In addition, EAC collects reports from election officials regarding voting system anomalies. After reviewing the reports, EAC disseminates the information to election officials. Furthermore, upon invitation or with permission from election officials, the EAC conducts reviews of systems that are in use in the field.

More information about EAC's Voting System Certification and Testing Program is available in EAC's Frequently Asked Questions on eac.gov.

FY 2013 Accomplishments

In FY 2013 in the area of voting system certification, EAC:

- Certified three voting systems;
- Drafted and published six Requests for Interpretation (RFIs) to VVSG;
- Developed and implemented major updates to the EAC's Virtual Review Tool (VRT). EAC rolled out the addition of the ECO (Engineering Change Order) Database to the VRT tool to track change orders for all EAC certified voting systems. This tool was also made available to State Certification Authorities to assist them in reviewing change orders that may be presented for certification in their individual States.

There are currently four voting systems in active test campaigns.

In the area of VVSG and Test Suites, in FY 2013, EAC posted the second draft version of VVSG 1.1 on www.eac.gov for a 90 day Public Comment period. Subsequent comments regarding the comment period coinciding with the General election persuaded EAC to revise the Public Comment period to 130 days. Following the close of the comment period, EAC staff worked with NIST staff to address the comments and prepare the VVSG1.1 revised draft document for final formatting so it can await EAC Commission vote and approval once a quorum is reestablished.

Regarding laboratory accreditation in FY 2013, EAC performed one laboratory re-accreditation audit in Denver, Colorado;

Further, in FY 2013, Certification division staff, in conjunction with NIST, held the "Future of Voting Systems" Symposium at the NIST facility February 26-28, 2013 and attended meetings with NASED; Election Center; EVN, EAC technical reviewers; voting system manufacturers; the Presidential Commission on Election Administration; a voting system manufacturer for the

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kick-off overview meeting on a new system in Austin, TX; with State Certification officials in Harrisburg, Pennsylvania; USENIX - EVTWOTE on voting technology; and observed elections in Phoenix, AZ and Arlington County, VA.

Performance Indicator	Type of Indicator	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Planned	FY 2015 Planned
<i>Develop and update the VVSG.</i>						
Produce updates to the VVSG in Fiscal Years 2010 and 2013.	Output		Public Comment for VVSG Version 1.1 pending adoption			
<i>Provide for the accreditation and revocation of accreditation of independent, non-federal laboratories qualified to test voting systems to Federal standards.</i>						
Meet or exceed the review and response timeframes related to laboratory accreditation or re-accreditation submissions contained in the Certification Division SOP's and <i>Voting System Test Laboratory Program Manual</i> .	Output					95% complete in 90 days
Complete accreditation reviews for all laboratories recommended to EAC by NIST and for all emergency actions within 90 days.	Output	75% complete in 90 days	50% (1 of 2) complete in 90 days	95% complete in 90 days	95% complete in 90 days	
Test and document the results of the review of compliance with procedures by 100 percent of accredited laboratories every 2 years.	Output	100%	100%	100%	100%	100%
<i>Administer the testing, certification, decertification, and recertification of voting system hardware and software by accredited laboratories.</i>						
Meet or exceed a one business day response timeframe for requests for assistance with EAC certified voting system anomalies from State or local election officials.	Output					One business day response or less
Conduct at least one review of a manufacturing facility of a registered manufacturer at least once every 4 years.	Output		NA No new voting systems manufactured in 2012	Completed two reviews		
Plan to conduct field reviews for at least 50 percent of jurisdictions that volunteer for reviews.	Output	100% of jurisdictions	Reviewed 100% of jurisdictions requesting reviews	Reviewed 50% of jurisdictions	Review 50% of jurisdictions	Review 50% of jurisdictions
Respond to requests for interpretations of voting system standards within 45 days (measures may be modified after EAC determines average number of requests).	Output	48 days	53.5 day (75% in 30 days or less)	45 days	45 days	45 days

Goal Five Manage

Strategic Plan Goal 5 consists of one clear-cut objective: Implement a high performance organization.

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The three strategic objectives of Goal 5 are to improve performance, strengthen internal controls; and maximize efficiencies.

Key Performance Measures
<ul style="list-style-type: none">○ Implement 90 percent of the OIG audit recommendations within agreed upon timeframes.○ Meet annual performance measures.

The performance measure on implementing audit recommendations is tracked by EAC. To date, only two of the recommendations remain open pending a quorum of the Commission for final resolution.

On the metric regarding meeting annual performance measures, management is working to foster a culture of accountability among staff. The agency seeks to improve staff satisfaction ratings and achieve management excellence through continuous improvement of internal controls. Agency directors responsible for implementation of the EAC Strategic Plan goals report on their division metrics in the Agency Financial Report, the Annual Performance Report along with the Congressional Budget Justification, and on planned metrics in the OMB Budget Justification each September.

Staff completes assessable unit risk assessment questionnaires and individual letters of assurance, which are reviewed and rolled into the agency's Annual Statement of Assurance.

EAC will continue to focus on resolution of issues identified in audits, setting up sound systems, policies and procedures, working with managers on the relationship between budget and performance, maximizing use of staff and financial resources, and training EAC staff on financial management processes and their responsibilities.

During FY 2013, to maximize efficiencies, EAC prepared for a paperless work environment with inexpensive storage at the National Archives and Records Administration Federal Records Center and an October 2013 move to new office space, saving close to 75 percent on rent; continued its commitment in October 2010 to reduce staff; has reassigned functions internally and uses the services of other agencies to obtain efficiencies of scale; and utilizes four automated systems via interagency agreement.

Regarding annual performance measures, the agency was successful in improving the most recent staff satisfaction ratings on the 2012 annual employee survey. Agency directors responsible for implementation of the EAC Strategic Plan goals report on their division metrics in the Agency Financial Report in November, the Annual Performance Report along with the Congressional Budget Justification in February, and on planned metrics in the OMB Budget Justification each September.

For FYs 2009 through 2011, EAC received unqualified audited financial statement opinions with a full-time staff accountant. The auditors were unable to opine on the FYs 2012 and 2013

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financial statements. This was due primarily to transfer of financial services from one federal agency to another and lack of a full-time staff accountant for over one year.

During FY 2012, EAC was in a position where we had to take the risk of changing financial services to another federal agency as a condition for obtaining procurement services via memorandum of understanding with another federal agency. EAC's former procurement services provider was no longer able to provide support due to staffing constraints, and no other agency contacted was able to provide established procurement services for the same reason. The decisions to outsource procurement services and not hire a full-time staff accountant were made: 1) to increase efficiency by tapping into administrative services provided by other agencies; and 2) in response to long-standing criticism that EAC has too many administrative staff at the expense of program staff.

Efficiency increased with automation of travel, procurement and purchase card systems for the first time, but it became apparent that even though EAC is a micro-agency, a full-time staff accountant with knowledge of agency programs and operations is critical to our success. EAC hired a full-time staff accountant with a CPA and extensive federal accounting experience in FY 2013. An action plan to address audit findings and restore our previous level of agency controls was implemented, detailing procedures and training related to advances, accruals, and accounts receivable; and a review of accounting treatment for FY 2012 financial entries was completed. EAC plans on addressing issues identified by the auditors in the FY 2013 audit. The results are available on eac.gov in the EAC FY 2013 Agency Financial Report.

EAC will continue to focus on resolution of issues identified in audits, setting up sound systems and policies and procedures, maximizing use of staff and financial resources, and training EAC staff on financial management processes and their responsibilities.

Performance Indicator	Type of Indicator	Planned	FY 2009 Actual	FY 2010 Actual	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual
Strategic Objective							
<i>Implement a high performance organization</i>							
Obtain a clean opinion on agency financial statements by FY 2010	Outcome		Unqualified opinion received	Unqualified opinion received	Unqualified opinion received	Disclaimer opinion received	Disclaimer opinion received
Institute an internal integrated budget and financial management system in FY 2010			Established CFO department 2/2010				
Implement 90 percent of the OIG audit recommendations within agreed upon timeframes.	Outcome	90%	77% of outstanding operational recs. were resolved	100% of FY 2010 operational recs. implemented on time; 97.6% of operational audit recs. made prior to FY 2010 resolved (2 of 82 outstanding)	No overdue grants management decisions as of 9/30/2012; 2 of 82 operational audit recs outstanding pending a quorum	No overdue grants management decisions as of 9/30/2012; 2 of 82 operational audit recs outstanding	No overdue grants management decisions as of 9/30/2012; 2 of 82 operational audit recs outstanding

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