



U. S. Election Assistance Commission

FY 2015 Summary of Performance and Financial Information

February 2016

For the EAC to assist the effective administration of Federal elections

Purpose of the Report

The Fiscal Year (FY) 2015 Summary of Performance and Financial Information represents the U.S. Election Assistance Commission's (EAC's) effort to provide a balanced analytical assessment, with both positive and negative information, of key program and financial performance.

VISION, MISSION, MANDATES AND ORGANIZATIONAL STRUCTURE

In October 2002, Congress passed the Help America Vote Act (HAVA) of 2002. The law recognized the need for States to invest in their election infrastructure and set out comprehensive programs of funding, voluntary guidance, and research. To foster those programs and to promote and enhance voting for United States citizens, HAVA established the Election Assistance Commission.

The vision for the EAC is to be a service agency and the go-to resource on election information, best practices, data, technology, technical advice and assistance for election administrators, officials, and voters across America. The mission is for the EAC to assist the effective administration of Federal elections.

The EAC is an independent, bipartisan agency. Four full-time Commissioners, appointed by the President and confirmed by the U.S. Senate, and three Federal advisory committees -- the Standards Board, Board of Advisors, and Technical Guidelines Development Committee -- guide the EAC. At the present time, there are three Commissioners leading the agency.

The 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;
- Issue, periodically review and modify, as necessary, Voluntary Voting System Guidelines (VVSG);
- Accredite voting system test laboratories and certify voting equipment;
- Conduct periodic studies of election administration issues as determined by the Commission;
- Establish best practices and guidelines on election administration for State and local election officials;
- Maintain the national voter registration form developed in accordance with the National Voter Registration Act (NVRA) of 1993; and
- Provide Congress with a biennial report to assess the impact of the NVRA.

The goals and organizational structure of the agency are built around these mandates:

1. Communicate timely and accurate information on the effective administration of elections for Federal office and on the operations and services offered by the EAC.
2. Deliver and manage Federal funds effectively.
3. 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. Build public confidence in elections by testing and certifying voting systems to improve system security, operation, and accessibility.

The Standards Board and the Board of Advisors provide advice and guidance to the EAC on Voluntary Voting System Guidelines (VVSG) and other election administration issues. In addition, the Technical Guidelines Development Committee (TGDC) assists the EAC in the preparation of the VVSG. The VVSG sets the standards against which voting systems are tested. The Director of the National Institute of Standards and Technology (NIST) of the U.S. Department of Commerce serves as the Chair of the TGDC and provides technical support to the Committee. Additionally, HAVA specifies that NIST provide recommendations to the EAC regarding voting system test laboratories.

SUMMARY PERFORMANCE INFORMATION

The following table presents key strategic objectives reflected in the EAC’s FY 2015 program performance data. More detailed performance information is presented, and variances discussed, in the FY 2015 Annual Performance Report along with the FY 2017 Congressional Justification.

EAC FY 2015 Performance Summary

Indicator	FY 2011 Actual	FY 2012 Actual	FY 2013 Actual	FY 2014 Actual	FY 2015 Planned	FY 2015 Actual
<i>Operate the EAC clearinghouse effectively.</i>						
Post up-to-date, accurate, relevant and consistent information on the website, using state-of-the-art technologies within 24 hours of receipt.	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	Post 100% of data in 24 hours	100% of data posted in 24 hours
<i>Convey the results of the EAC’s operations and accomplishments.</i>						
Regularly issue blog posts, press releases, newsletters, email alerts to subscribers, and notifications to stakeholders and staff on the EAC’s activities and election administration issues.	28 press releases, 50 newsletters, 52 weekly staff updates; initiated blog and twitter accounts	4 press releases, 42 newsletters, 52 weekly staff updates, 3 ongoing blogs on election topics on FAQs and time-sensitive data	67 blog posts in lieu of press releases, 29 newsletters, 29 emails to subscribers, 52 weekly staff updates	58 blog posts in lieu of press releases, 21 newsletters, 36 emails to subscribers, 52 weekly staff updates	30 blog posts, 5 press releases, 12 newsletters, 30 emails to subscribers, 52 weekly staff updates	34 blog posts, 5 press releases, 16 newsletters, 33 emails to subscribers, 52 weekly staff updates
<i>Effectively monitor Federal financial assistance administered by the EAC.</i>						
Resolve 100 percent of audit findings within established time frames.	No overdue management decisions	85% audit resolution	100% audit resolution	88% audit resolution (7 out of 8 audits)	100% audit resolution	60% audit resolution (3 out of 5 audits)

<i>Provide technical assistance and guidance on the management of Federal financial assistance administered by the EAC to reduce the risk of inappropriate use of funds and accounting errors.</i>						
Submit all recommended policy and guidance concerning the administration of Federal financial assistance administered by the EAC to the Commissioners within established time frames.	Submitted 1 Advisory Opinion before quorum was lost	N/A	N/A	N/A	100%	100% -- 10 Advisory Opinions and a policy expediting responses to routine use of funds adopted
<i>Collect and release data on certain election administration practices, on various voting methods and on various voting practices that are useful and required by HAVA.</i>						
Issue required reports (data on the Uniformed and Overseas Citizens Absentee Voting Act, and impact of the National Voter Registration Act) to Congress by statutory deadlines, and the biennial report on the Election Administration and Voting Survey.	3 reports submitted 6/30/2011	N/A	3 reports submitted 6/30/2013	N/A	Submit 1 consolidated report by 6/30/2015	1 consolidated report submitted 6/30/2015
<i>Administer programs and release information which provides timely and useful guidance for election officials and voters.</i>						
Produce and distribute Quick Tip Guides (concise tips on a wide range of election topics with links to best practices in the administration of Federal elections) and Guidebooks.	Conducted 3 teleconferences with the EAC College Poll Worker and Mock Election grantees to solicit feedback for updating the <i>Guidebook for Recruiting College Poll Workers</i>	Developed a guide, "Voting Tips To Enhance Your Voting Experience," and distributed 30,000 copies to the 55 State (50 States, American Samoa, District of Columbia, Guam, Puerto Rico, U.S. Virgin Islands) election offices	Created and widely distributed, "Voter Tips" cards; conducted 9 webinars for election officials on <i>Best Practices in Election Management</i> . Data gathered used for new Quick Tips	Published 4 new downloadable Quick Tips; wrote and posted fliers: "10 Tips to Enhance Your Voting Experience," and "14 Facts About Voting in Federal Elections" (in 7 languages)	Issue and distribute new Quick Tip Guides	Issued 13 new Quick Tip Guides in a toolkit, distributed 300 sets to State election administrators

<i>Develop and update the Voluntary Voting System Guidelines.</i>						
Produce updates to the Voluntary Voting System Guidelines (VVSG).	Performed ongoing work with NIST to complete a revision to VVSG 1.1	Received a revised version of VVSG 1.1 from NIST, incorporated NIST comments and responses to new Requests For Interpretation (RFIs) into the guidelines; posted the second draft version for Public Comment	Received public comments on the second draft revision to VVSG 1.1, worked with NIST to resolve comments and prepare VVSG 1.1 revised draft for final formatting	Pending adoption	Adopt VVSG 1.1	Adopted VVSG 1.1; initiated development of the next generation VVSG document; created a working group plan with TGDC and NIST, focusing on subjects
<i>Administer the testing, certification, decertification, and recertification of voting system hardware and software by accredited laboratories.</i>						
Test and certify voting systems.	Certified 1 full system, and 1 system modification; performed testing for 11 voting systems and system modifications	Certified 4 voting systems and published a certification timeline for a fifth system; conducted testing campaigns for 4 systems	Certified 3 voting systems; conducted test campaigns for 7 systems	Certified 6 voting systems; worked on test campaigns for 5 systems	Test and certify voting systems	Certified 6 voting systems; managed test campaigns for 3 systems
<i>Implement a high performance organization--improve performance, strengthen internal controls, and maximize efficiencies.</i>						
Obtain an unmodified (“clean”) opinion on the annual agency financial statement audit.	Clean opinion received	Disclaimer opinion received	Disclaimer opinion received	Clean opinion received	Obtain a clean opinion	Unmodified (“clean”) opinion with no findings received
Implement 90 percent of the Office of the Inspector General financial statement and operational audit recommendations within agreed upon timeframes.	100% of FY 2010 financial recommendations implemented on time; 97.6% of operations audit recommendations made prior to FY10 resolved (2 of 82 outstanding)	97.6% of operational audit recommendations resolved	97.6% of operational audit recommendations resolved	97.6% of operational audit recommendations resolved	100%	97.6% of operational audit recommendations resolved

FINANCIAL RESULTS

The following analysis is intended to provide information on the EAC’s financial results, position, and condition as portrayed in the financial statements and the notes to the statements. Changes in assets, liabilities, costs, revenues, obligations, and outlays are explained; comparisons are made between amounts in FY 2015 to FY 2014; and the relevance of balances

and amounts in the financial statements and notes are discussed. The changes provide context as to how the year's activities impacted the agency's financial position.

Budgetary Resources

Budgetary resources are the amounts made available and their status at the end of the fiscal year. The majority of the EAC's available budgetary resources are in the no year Election Reform Program appropriation. Budgetary resources include new Budget Authority from annual Salaries and Expenses appropriations, unpaid obligations, recoveries, offsetting collections, and unobligated balances.

For Fiscal Year (FY) 2015, the available budgetary resources were \$21.0 million, up from \$19.9 million in FY 2014. In both FY 2015 and FY 2014, the EAC's appropriations totaled \$10 million for Salaries and Expenses, including a \$1.9 million non-expenditure transfer to NIST.

Obligations Incurred decreased from \$6.5 million in FY 2014 to \$6.3 million in FY 2015. The decrease was due primarily to the disbursement of FYs 2009 to 2011 Requirements Payments. The Unobligated Balance – Apportioned amount increased from \$4.2 million in FY 2014 to \$5.1 million in FY 2015.

Financial Position

Assets: The EAC had \$22.8 million in total assets (Fund Balance with Treasury; Accounts Receivable; Property, Equipment, and Software; and Other Assets) as of September 30, 2015, down from \$25.9 million in FY 2014. The decrease is primarily the result of collection of an improper Requirements Payment of almost \$2.3 million.

Liabilities: The EAC had total liabilities (Accounts Payable, accrued salaries and benefits, and unfunded leave) of \$3.5 million as of September 30, 2014 and \$765,867 as of September 30, 2015.

Net Position: Net position (Unexpended Appropriations and Cumulative Results of Operations) decreased in FY 2015 to \$22.0 million from \$22.3 million in FY 2014. Unexpended Appropriations decreased primarily due to disbursement of Requirements Payments.

Results of Operations

The Total Net Cost of Operations (expenses in the Salaries and Expenses, and Election Reform Programs appropriations) for the EAC was \$7.7 million for Fiscal Year 2015, down from \$7.9 million in FY 2014.

MANAGEMENT CHALLENGES IDENTIFIED BY THE INSPECTOR GENERAL

The EAC's Inspector General reported on two categories of management challenges in 2015: performance management and accountability, and records management. The former consists of pending recommended Communications and Clearinghouse policy and procedures. A communications plan is underway.

Regarding records management, the EAC expects to submit records retention schedules for the offices of Communications; Research, Policy, and Programs (RPP); and Testing and Certification during FY 2016. The EAC's assigned Archivist from the National Archives and Records Administration determined, based on her review, that the vast majority of the EAC's records are within the General Records Schedule (GRS). As such, Human Resources, Chief Financial Officer, Grants, Commissioners/Executive Office, Chief Information Officer, General Counsel, Inspector General, and National Voter Registration Act records are completed. The EAC concurs with the status of the records for Communications, RPP, and Testing and Certification, and with the statement on the plan for organizing and archiving the EAC's emails.

Links to documents:

FY 2015 Agency Financial Report:

<http://www.eac.gov/assets/1/Documents/FY%202015%20EAC%20Agency%20Financial%20Report%20Nov%202013%202015%20Final-website.pdf>

FY 2015 Annual Performance Report:

<http://www.eac.gov/assets/1/Documents/Appendix%20APR%20FY%202015%20Feb%209%202016%20FINAL.pdf>

FY 2017 Congressional Budget Justification:

<http://www.eac.gov/assets//Documents/FY%202017%20CBJ%20Feb%209%202016%20FINAL.pdf>