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The Help America Vote Act and Election Administration: Overview and Issues

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Summary

The deadlocked November 2000 presidential election focused national attention on previously obscure details of election administration. Even before the U.S. Supreme Court had resolved the election in December, numerous bills to address the failings of the election system were introduced in Congress and state legislatures. The response at the federal level was the Help America Vote Act (HAVA; P.L. 107-252), enacted in 2002. HAVA created the Election Assistance Commission (EAC), established a set of election administration requirements, and provided federal funding, but did not supplant state and local control over election administration. Several issues have arisen or persisted in the years since HAVA was enacted. This report provides background information about HAVA and its provisions, the EAC, funding for the agency and for state programs to improve elections, and a number of enduring election administration issues.

With respect to the EAC, some observers have criticized it for being too obtrusive, or for being slow, ineffectual, or even unnecessary. Others believe that the agency is an important resource for improving the administration of elections and has been hampered by budgetary constraints and difficulties in the nomination process for commissioners. In terms of election administration, HAVA promoted the use of electronic voting systems to facilitate voting by persons with disabilities, which subsequently raised concerns about security and reliability and led many states to require voter-verifiable paper ballot records. Similarly, HAVA's voter-identification provisions did not resolve the controversy over whether more stringent requirements are needed to prevent voter fraud, or whether such requirements are more likely to disenfranchise legitimate voters. Finally, while HAVA's voter-registration requirement may have improved that process, some have argued for more automated systems in the years since the requirement took effect.

Altogether, more than \$3.5 billion of HAVA funds were appropriated through FY2013: about \$3.28 billion in election reform payments to states, \$128 million for the EAC and its programs, and \$130 million in accessibility payments to states, administered by the Department of Health and Human Services. Numerous bills to amend HAVA have been considered in Congress, but none have been enacted. H.R. 3463 was passed in the House in December 2011 and would have eliminated the EAC, transferred its responsibilities to the Federal Election Commission (FEC), and terminated the program that provides taxpayer financing of presidential election campaigns. No further action occurred on the bill.

Thus far in the 113th Congress, two bills (H.R. 260 and H.R. 1994) have been introduced to eliminate the EAC and two (H.R. 12 and H.R. 2017) have been introduced that would extend authorization of the agency for five years. Other legislation introduced on election administration issues includes omnibus bills that would make numerous changes to voting procedures, such as H.R. 12 and S. 123; bills to reduce long voter lines on election day, such as H.R. 50, H.R. 97, H.R. 289, S. 58, and S. 85; a bill, H.R. 280, to require same-day voter registration; a bill, H.R. 281, to prohibit state and local officials from requiring a photo identification to vote; a bill, H.R. 376, to establish a right to vote by mail; a bill, H.R. 653, to establish an EAC pilot program to provide funds for initiatives to provide voter registration information to 12th graders; a bill, H.R. 936, to prohibit straight-party voting; a bill, H.R. 1018, to apply various federal voting laws to the territories and Puerto Rico; a bill, H.R. 1280, to increase the penalty for voter registration fraud; a bill, H.R. 1641, to establish weekend voting; a bill, S. 302, to make voting by an illegal alien an aggravated felony and deportable offense; and bills that would institute changes for uniformed services and overseas citizen voting, such as H.R. 1655, H.R. 2168, H.R. 3576, and S. 1728.

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The Help America Vote Act

Even before the 2000 presidential election had been resolved by the U.S. Supreme Court in December of that year, more than a dozen bills to reform the election process had been introduced in the Congress. Legislative activity continued when the 107th Congress convened the following month, along with the release of various independent reports and studies on election reform. In December 2001, the House passed H.R. 3295, the Help America Vote Act. The Senate passed S. 565, the Martin Luther King, Jr. Equal Protection of Voting Rights Act, in early 2002, after adopting 40 amendments. Following conference negotiations, the compromise bill, the Help America Vote Act of 2002 (HAVA, P.L. 107-252) was enacted in October.

HAVA imposed a number of requirements on the states with respect to election administration, provided payments to the states to meet the new requirements, created a new independent agency, made changes to improve military and overseas voting, and authorized other election reform activities. Among its major provisions, HAVA did the following:

- created the Election Assistance Commission (EAC), an independent, bipartisan agency to carry out grant programs, provide for testing and certification of voting systems, study election issues, and assist election officials by issuing guidelines and other guidance for voting systems and implementation of the act's requirements;
- established a number of payment and grant programs to
 - help states meet the law's requirements,
 - replace punchcard and lever voting machines and make general election improvements,
 - promote accessibility in the electoral process,
 - promote student participation, and
 - support research and pilot programs;
- established requirements in the states to
 - provide a provisional ballot to a voter who is not on the registration list or whose registration is in question;
 - post a sample ballot and voter information at polling places on election day;
 - impose an identification standard for first-time voters who register by mail;
 - provide for voter error correction on voting systems used in federal elections;
 - provide for manual auditing of the voting system, alternative-language accessibility, and at least one machine per voting place that can provide disability access, and
 - create and maintain a computerized, verified statewide voter registration list;
- required the EAC to develop voting system guidelines for computer hardware and software for voluntary use by the states, and voluntary guidance to assist states in meeting HAVA requirements;
- left methods of implementation to the states and prohibited rulemaking by the EAC, leaving enforcement to the U.S. Attorney General while requiring states to establish grievance procedures; and
- amended the Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA) to make improvements to voting procedures for members of the military and overseas citizens.

Although many bills have been introduced to amend HAVA since it became law, only a minor change has been enacted. The National Defense Authorization Act for 2010 made numerous amendments to UOCAVA and also amended HAVA to authorize appropriations to achieve compliance on the new military and overseas voting requirements. In general, local election officials (LEOs) have supported HAVA and its provisions, although some, such as the provisional ballot requirement, were initially controversial.¹

Voting Systems and Election Administration

While initial reactions after the 2000 election had tended to focus on technological fixes such as eliminating punchcard and lever voting machines, a consensus emerged subsequently that the issues, and the solutions needed, were more complex and often involved trade-offs among diverse goals. HAVA reflects those developments—it funded replacement of punchcard and lever systems but also broader improvements in election administration. But the act also stimulated controversy about issues ranging from the security of electronic voting systems to the role and even the continued existence of the EAC itself.

Voting Systems

Currently, most jurisdictions use one of two kinds of voting system:

- *optical scan*, in which voters mark choices on paper ballots by hand or machine and the ballots are read by an electronic counting device, or
- *direct recording electronic (DRE) systems*, in which voters mark choices via a computer interface and the voting machine records them directly to an electronic memory.

There is no consensus on whether any one technology is best. For example, DRE systems can provide high usability for voters and efficiency for vote counting, but many believe that they pose a greater security risk than optical scan systems. Use of both kinds of systems increased after the enactment of HAVA, and they are now used by 90% of voters. States have different practices and requirements. HAVA does not require any particular voting system, but it sets requirements that influence what systems election officials choose. Under HAVA, systems used in federal elections must provide for error correction by voters, manual auditing, accessibility, alternative languages, and error-rate standards. Systems must also maintain voter privacy and ballot confidentiality, and states must adopt uniform standards for what constitutes a vote on each system.

Voting technologies are provided to election administrators by private-sector companies. Variations in state and local requirements, the episodic nature of elections, the largely fixed customer base, and uncertain funding for improvements make the market unusually fragmented, uncertain, and resistant to innovation. Market consolidation since 2002 has led to a decrease in the number of vendors, and in 2008 the top four vendors controlled about 70% of the market. Further consolidation in 2010 led to the dissolution of the second-largest vendor, Premier Election Systems. The attempted acquisition of Premier's assets and customers by Election Systems & Software (ES&S), the company with the largest market share, raised antitrust concerns that led the Department of Justice to require a partial divestiture by ES&S.² Dominion Voting, a Canadian

¹ For more information about the views of LEOs, see CRS Report R41667, *How Local Election Officials View Election Reform: Results of Three National Surveys*, by Eric A. Fischer and Kevin J. Coleman.

² Department of Justice, "Justice Department Requires Key Divestiture in Election Systems & Software/Premier (continued...)"

firm, acquired the divested resources, and later acquired what was then the third largest U.S. vendor, Sequoia Voting Systems.

While the entrance of Dominion into the U.S. market caused little debate, other attempted acquisitions and mergers involving foreign-owned companies have been more controversial, with concerns raised about foreign influence in U.S. elections. An earlier attempt involving Sequoia and a company with some ties to Venezuela was withdrawn following public outcry³ and the 2012 acquisition by a Spanish enterprise of a Florida company that provides some election-related software also caused controversy.⁴

Electronic Voting Machine Controversy

HAVA's requirement for accessible voting systems (at least one per polling place) and other factors drove some states to adopt DREs, but controversy exists about the security of those systems. Some experts and advocates believe that the problem is serious enough to require that all voting systems produce paper ballots that can be verified by voters and that will serve as the official record of the votes for any recount. Others believe that other safeguards can make DREs sufficiently safe from tampering, that use of printed paper ballots would create too many problems, and that the controversy risks drawing attention away from the demonstrated utility of DREs in addressing problems of access to and usability of voting systems. HAVA requires a paper audit trail for the voting system, but not paper ballots. However, many states have instituted paper-ballot-trail requirements.

Several bills introduced in recent Congresses would have addressed this issue. Most would have required a specific design standard for paper ballots rather than setting a performance standard that can be met in different ways, which was the approach taken by HAVA with respect to voting system requirements. Proponents of paper ballots argue that a legislated design standard is the only way to ensure that voting systems exhibit the desired level of verifiability and security. Opponents argue that such a design standard freezes technology and stifles innovation, thereby precluding the development and implementation of technologies with superior levels of verifiability and security than is possible with current technology.⁵

Federal Funding

A central issue has been the role of the federal government in addressing concerns about voting systems, particularly with respect to funding and standards. HAVA authorized \$3.86 billion in funding for programs to replace equipment, improve election administration, improve accessibility, recruit pollworkers, and perform research and pilot studies. The amount

(...continued)

Election Solutions Merger," Press Release, March 8, 2010, <http://www.justice.gov/opa/pr/2010/March/10-at-235.html>.

³ Tim Golden, "U.S. Investigates Voting Machines' Venezuela Ties," *The New York Times*, October 29, 2006, <http://www.nytimes.com/2006/10/29/washington/29ballot.html?pagewanted=all>; Zachary A. Goldfarb, "Voting Machine Firm Denies Chavez Ties," *The Washington Post*, October 31, 2006, <http://www.washingtonpost.com/wp-dyn/content/article/2006/10/30/AR2006103001224.html>; John McCormick, "Cook County's Voting Machine Supplier for Sale," *Chicago Tribune*, December 22, 2006, http://articles.chicagotribune.com/2006-12-22/news/0612220233_1_sequoia-and-smartmatic-foreign-ownership-voting-equipment.

⁴ Anthony Martin, "Digging Deeper into the 2012 Vote Count Controversy," *Examiner.com*, April 12, 2012, <http://www.examiner.com/article/digging-deeper-into-the-2012-vote-count-controversy>.

⁵ See CRS Report RL33190, *The Direct Recording Electronic Voting Machine (DRE) Controversy: FAQs and Misperceptions*.

appropriated by Congress thus far is \$3.54 billion. However, a proportion of the payments to states reportedly remain unexpended, and as a result, the most recent Administration budget requests have not included any additional funding for that program.

Election Assistance Commission

Before HAVA, federal activities relating to election administration were performed by the Office of Election Administration (OEA) of the Federal Election Commission (FEC). Other than the voluntary voting system standards, OEA performed clearinghouse functions and some administrative activities under the National Voter Registration Act (P.L. 103-31). HAVA replaced the OEA with the Election Assistance Commission (EAC, <http://www.eac.gov>), an independent, bipartisan federal agency. The act also established two boards, with broad-based state and local membership. The Standards Board was designed to have 55 state election officials and 55 local election officials. The Board of Advisors was designed to have 37 members representing various associations, such as the National Governors Association and National Association of State Election Directors, as well as the Justice Department, the Federal Voting Assistance Program at the Department of Defense, and a number of science and technology professionals recommended by U.S. House and Senate leadership. HAVA also established the Technical Guidelines Development Committee, chaired by the Director of the National Institute of Standards and Technology (NIST), to address aspects of voting system standards and certification. The statute also provides for technical support and participation by NIST (see <http://vote.nist.gov/>).

The EAC carries out grant programs, provides for testing and certification of voting systems, studies election issues, and issues voluntary guidelines for voting systems and guidance for the requirements in the act. The EAC has no rule-making authority (except for limited authority under the National Voter Registration Act of 1993, the “motor-voter” law) and does not enforce HAVA requirements. The act established two enforcement processes: the U.S. Attorney General may bring civil action with respect to HAVA requirements, and states, as a condition for receipt of funds, were required to establish administrative grievance procedures to handle complaints from individuals.

Efforts to Eliminate the EAC

At the time HAVA was being debated in Congress, there was some dispute about whether it should be a permanent agency. Some supporters contended that a permanent agency was necessary to ensure the fairness and integrity of federal elections, whereas opponents were concerned about a permanent federal role in what was historically a responsibility of state and local governments. The outcome of the debate was that HAVA authorized appropriations for the EAC for FY2003 through FY2005, but did not contain a sunset provision for the agency. Bills have been introduced both to reauthorize the EAC and to eliminate it, but none has been enacted. Since FY2005, the agency has continued to receive funding each year through the appropriations process, pursuant to its enabling authorization. The agency has not had any commissioners since December 2011, when the last of the four commissioners resigned. It has been without an Executive Director since November 2011. Agency staff continue to work on tasks that do not require input from commissioners, such as testing, certifying, and decertifying voting equipment. Work that requires a quorum of at least three commissioners includes determining new EAC policies, holding public hearings, issuing new advisory opinions, accrediting voting system testing laboratories, and making changes to the voluntary voting system guidelines that the EAC issues. The President sent nominations to the Senate for the two vacant Democratic seats on the

EAC on June 7, 2013,⁶ and the Senate Committee on Rules and Administration held a hearing on the nominations on December 11, 2013.⁷ Filling Republican vacancies would require recommendations to the President from party leaders. The Committee had previously held a hearing on the same two Democratic nominees and one Republican nominee in 2011, but no further action occurred in the 112th Congress.⁸

Table I. Commissioners of the EAC Since Its Establishment

Commissioners	Years of Service
DeForest B. Soaries, Jr.	2003-2005
Ray Martinez, III	2003-2006
Paul S. DeGregorio	2003-2007
Gracia M. Hillman	2003-2010
Donetta L. Davidson	2005-2011
Rosemary E. Rodriguez	2007-2009
Caroline C. Hunter	2007-2008
Gineen Bresso	2008-2011

Source: Election Assistance Commission, at http://www.eac.gov/about_the_eac/former_commissioners.aspx.

One of the agency’s prominent critics has been the National Association of Secretaries of State (NASS). In most states, the secretary of state is the chief election official. NASS first called for elimination of the EAC in a 2005 resolution encouraging Congress “not to reauthorize or fund the EAC after the conclusion of the 2006 federal general election.”⁹ The association reaffirmed the resolution at its July 20, 2010, summer conference.¹⁰ Local election officials appear to be more supportive. Three surveys of local election officials taken in 2004, 2006, and 2008 all found that a majority of officials believed that the creation of the EAC was an advantage than believed it a disadvantage.¹¹

With respect to legislation regarding the EAC, in the 112th Congress, H.R. 3463 was passed in the House on December 1, 2011, on a 235-190 vote. The bill called for the termination of the EAC and would have transferred its functions to the Federal Election Commission (FEC), but it would not have affected the functions carried out under HAVA by NIST. No further action on the legislation followed. In the 113th Congress, the Committee on House Administration approved

⁶ The White House press release may be found at <http://www.whitehouse.gov/the-press-office/2013/06/07/presidential-nominations-sent-senate-0>.

⁷ The hearing may be found at http://www.rules.senate.gov/public/index.cfm?p=CommitteeHearings&ContentRecord_id=1f355e3b-3b70-4f72-95cc-bed1cae1f46e&ContentType_id=14f995b9-dfa5-407a-9d35-56cc7152a7ed&Group_id=1983a2a8-4fc3-4062-a50e-7997351c154b

⁸ The hearing may be found at http://www.rules.senate.gov/public/index.cfm?p=CommitteeHearings&ContentRecord_id=81d15dac-e004-436b-bb54-2ab3aa933417&ContentType_id=14f995b9-dfa5-407a-9d35-56cc7152a7ed&Group_id=1983a2a8-4fc3-4062-a50e-7997351c154b&YearDisplay=2011.

⁹ The resolution may be found at http://electiondefensealliance.org/NASS_resolution_EAC.

¹⁰ The resolution may be found at http://www.nass.org/index.php?option=com_content&view=article&id=87&Itemid=528.

¹¹ CRS Report R41667, *How Local Election Officials View Election Reform: Results of Three National Surveys*, by Eric A. Fischer and Kevin J. Coleman. The surveys were taken subsequent to the 2004, 2006, and 2008 elections. On average half of the officials found the EAC an advantage and one in six a disadvantage. The remainder were neutral.

H.R. 1994 on a voice vote on June 4, 2013, and reported the bill on December 12, 2013.¹² The bill would eliminate the EAC and transfer certain election administration functions to the FEC. In addition, two bills that would reauthorize the EAC were introduced: H.R. 12 and H.R. 2017. (For a more detailed discussion of legislation concerning the EAC, see the “Legislative Action” section of this report.)

Standards and Requirements

In the 1980s, the FEC developed voluntary standards for computer-based voting systems. Most states have now adopted those standards, which were updated in 2002. HAVA codifies the development and regular updating of those standards, which it calls voluntary guidelines. The EAC issued draft guidelines for public comment in June 2005. The final version took effect in December 2007. A new, completely rewritten draft version was first released for public review in October 2007.¹³ However, it has yet to be adopted, and no action can be taken on it by the EAC in the absence of a quorum of commissioners.

HAVA also establishes federal requirements for voting systems, registration, provisional ballots, and other aspects of election administration. It leaves the methods of implementation to the states but requires the EAC to issue voluntary guidance.¹⁴

Voter Identification

The Help America Vote Act requires that certain voters who had registered by mail present a form of identification from a list specified in the act. States vary greatly in what identification they require voters to present, ranging from nothing beyond the federal requirement to photographic identification for all voters. A number of states enacted laws in recent years to require photo ID to vote, which resulted in a series of state court challenges and rulings.¹⁵ In the 109th Congress, the House passed legislation to require photo identification and proof of citizenship when voting in federal elections, but no further action followed. The U.S. Supreme Court has upheld an Indiana statute requiring photo identification for voting.¹⁶ The degree of restrictiveness and kinds of identification accepted have been controversial in some cases, with debate focusing on the degree to which voter fraud is a significant issue that such ID requirements can address, and the proper balance between protecting against such fraud and minimizing the risk that otherwise qualified voters would be disenfranchised by the requirements.

Voter Registration

With the passage of HAVA, Congress attempted to address voter registration problems by requiring computerization and integration of voter registration systems and placing primary responsibility at the state level of government. That requirement went into effect in January 2006. The absence of a clear national standard for the HAVA-required statewide systems has led to

¹² The report is available at [http://www.congress.gov/cgi-lis/cpquery/R?cp113:FLD010:@1\(hr293\)](http://www.congress.gov/cgi-lis/cpquery/R?cp113:FLD010:@1(hr293)).

¹³ See CRS Report RS21156, *Federal Voting Systems Standards and Guidelines: Congressional Deliberations*; and CRS Report RL33146, *Federal Voluntary Voting System Guidelines: Summary and Analysis of Issues*.

¹⁴ See CRS Report RL32685, *Election Reform: The Help America Vote Act and Issues for Congress*.

¹⁵ See CRS Report R42806, *Photo ID Requirements for Voting: Background and Legal Issues*, by Kevin J. Coleman, Eric A. Fischer, and L. Paige Whitaker.

¹⁶ See CRS Report RS22882, *The Constitutionality of Requiring Photo Identification for Voting: An Analysis of Crawford v. Marion County Election Board*, by L. Paige Whitaker.

uncertainties about how states should develop them and even whether states will be able to meet the requirements. Given the problems some states have had, the increase in new-voter registration in recent elections, and recent closely contested presidential elections, issues associated with voter registration systems have become more prominent. Among them are questions about the integrity and accuracy of the statewide systems, the validity of new registrations, concerns about various kinds of fraud and abuse, and the impacts of attempts to challenge the validity of voters' registrations at polling places.

Voting by Members of the Uniformed Services and Overseas Voters

Members of the uniformed services and U.S. citizens who live abroad are eligible to register and vote absentee in federal elections under the Uniformed and Overseas Citizens Absentee Voting Act (UOCAVA, P.L. 99-410) of 1986. The law is administered by the Secretary of Defense, who delegates that responsibility to the director of the Federal Voting Assistance Program at the Department of Defense (DOD). The law was amended following the 2000 Presidential election because of controversy surrounding ballots received in Florida from uniformed services and overseas voters. Both the National Defense Authorization Act for FY2002 (P.L. 107-107) and the Help America Vote Act (P.L. 107-252) included various provisions concerning uniformed services and overseas voting. Minor revisions to the law were made again in 2005 and 2007. In the 111th Congress, a major overhaul of UOCAVA was approved when the President signed the National Defense Authorization Act for FY2010 (P.L. 111-84) on October 28. It included an amendment (S.Amdt. 1764) that contained the provisions of S. 1415, the Military and Overseas Voter Empowerment Act. Most of the provisions of the MOVE Act were in effect for the 2010 election.¹⁷ For a discussion of current legislation related to uniformed services and overseas voting, see the “Legislative Action” section of this report.

Funding Under the Help America Vote Act

States and territories were eligible to receive \$2.3 billion in federal requirements payments under HAVA, once each jurisdiction had published a “state plan” in the *Federal Register*, followed by a 45-day public comment period and the filing of a certification with the EAC. The state plans were published on March 24, 2004. The \$2.3 billion included funds appropriated in FY2003 and FY2004, which could not be allocated until establishment of the EAC and publication of the state plans. The EAC distributed all of that funding to states by December 2005; no additional funding for requirements payments was appropriated until FY2008, when \$115 million was appropriated. An additional \$100 million was appropriated for FY2009. Payments have been distributed to states and territories to meet the new HAVA requirements and can be used for general election administration improvements once the requirements have been met.

HAVA established the following payment and grant programs (see **Table 2** for authorized and appropriated amounts).

- *Election Administration Improvements*. Provided expedited, one-time formula payments for general election administration improvements to states that applied,

¹⁷ See CRS Report RS20764, *The Uniformed and Overseas Citizens Absentee Voting Act: Overview and Issues*, by Kevin J. Coleman.

with a \$5 million minimum combined payment per state for this and the replacement program (see next paragraph). Administered by General Services Administration (GSA). (§101.)

- *Replacement of Punchcard and Lever Machine Systems.* Provided expedited, one-time formula payments to replace punchcard systems and lever machines in qualifying states, with a \$5 million minimum combined payment per state for this and the improvements program, summarized above. Administered by GSA. (§102.)
- *Payments to Meet Election Requirements.* Provides annual formula payments to states to meet the act's requirements. Requires a 5% match and submission of a state plan. Administered by the Election Assistance Commission (EAC) created in the act. (§§251-258.)
- *Payments to Assure Accessibility.* Provides payments to states to make polling places accessible to persons with disabilities. Requires application. Administered by Department of Health and Human Services (HHS). (§§265-265.)
- *Payments for Protection and Advocacy Systems.* Provides payments to state protection and advocacy systems to ensure electoral participation by persons with disabilities. Requires application. Administered by HHS. (§§291-292.)
- *Grants for Research and Pilot Programs.* Provides grants for research to improve voting technology (§§271-273) and for pilot programs to test new voting technology (§§281-283). Requires application. Administered by EAC.
- *Student Programs.* Establishes three programs, one to recruit college students as pollworkers (§§501-503), one to recruit high school students (§601), and one to provide grants for the National Student and Parent Mock Election (§§295-296).

Appropriations

FY2003

The FY2003 omnibus appropriations bill (H.J.Res. 2, H.Rept. 108-10, P.L. 108-7), signed into law on February 20, 2003, contained \$1.5 billion for election reform programs authorized by HAVA, including \$650 million combined for the election administration improvement and voting system replacement payments to be administered by GSA (with no specific allocation designated for either program and a maximum of \$500,000 for administrative costs). GSA disbursed all of these funds to states in June 2003. All states and territories received payments for election administration improvements, based on a formula using each state's voting-age population, and payments to replace punch card and lever voting systems were made to all states that applied. Also included was \$830 million for requirements payments (with a maximum of 0.1% to be paid to any territory), and \$20 million for other programs—\$13 million for accessibility payments, \$2 million for protection and advocacy programs, \$1.5 million each for the college and high school programs, and \$2 million for the EAC. P.L. 108-7 also included a \$15 million appropriation to GSA for one-time payments to certain states that had obtained optical scan or electronic voting systems prior to the November 2000 election.

FY2004

The President's budget request for FY2004 included \$500 million, one-half the amount authorized, to fund EAC requirements payments and administration. No funds were specifically

requested for the other programs described above. The final omnibus appropriations bill, H.R. 2673, signed into law on January 23, 2004 (P.L. 108-199), contained just over \$1.5 billion for election reform, including \$1.0 billion for requirements payments, \$500 million for election reform programs, \$10 million for accessibility payments, \$5 million for protection and advocacy systems, and \$1.2 million for the EAC.

FY2005

For FY2005, the President's budget request included \$65 million for election reform, of which \$40 million was additional funding for requirements payments and \$10 million was for EAC administrative expenses. The request also included \$5 million for protection and advocacy programs and \$10 million for accessibility payments. The omnibus appropriations bill for FY2005, H.R. 4818, was signed into law on December 8, 2004, and included \$14 million for the EAC, of which \$2.8 million was to be transferred to NIST, and \$15 million for disability voting access, with \$5 million of that amount to apply to protection and advocacy systems. Also included was \$200,000 for the student parent mock election program and \$200,000 for the Help America Vote College Program.

FY2006

The President's FY2006 budget request included \$17.6 million for the EAC (of which \$2.8 million is for NIST), as well as \$5 million for protection and advocacy programs and \$9.9 million for accessibility payments administered by HHS. The final appropriation (P.L. 109-115) contained \$14.2 million, including \$2.8 million for NIST, with \$13.5 million and \$8.6 million, respectively, for the HHS programs, and \$250,000 "encouraged" to be spent on the Help America Vote College Program.

FY2007

The FY2007 request included \$16.9 million for the EAC (\$5 million for NIST), \$4.83 million for protection and advocacy programs, and \$10.89 million for accessibility payments administered by HHS. The 109th Congress adjourned without enacting an appropriations measure, providing instead temporary funding until February 15, 2007, via a continuing resolution (H.J.Res. 102). Continued funding through September 30 for FY2007 was subsequently provided via another continuing resolution, H.J.Res. 20, which was signed by the President on February 15 (P.L. 110-5). It provided \$16.24 million for the EAC, of which \$4.95 million was for NIST, \$4.83 million for protection and advocacy programs, and \$10.89 million for disability access.

FY2008

The FY2008 request included \$15.5 million for the EAC (\$3.25 million for NIST), and \$4.83 million for protection and advocacy programs and \$10.89 million for accessibility payments administered by HHS. From the start of FY2008 until December 31, 2007, continued funding for the EAC was provided by a series of continuing resolutions. Ultimately, FY2008 funding was provided by the Consolidated Appropriations Act for 2008, enacted on December 16, 2007 (P.L. 110-161). It provided \$16.53 million for the EAC, of which \$3.25 million is for NIST, and \$200,000 is for the student and parent mock election program. It also provided \$115 million for requirements payments, \$10 million for data collection grants to selected states, \$4.83 million for protection and advocacy programs, and \$12.37 million for disability access.

FY2009

The FY2009 request included \$16.68 million for the EAC (with \$4 million for NIST), as well as \$5.26 million for protection and advocacy programs and \$12.15 million for accessibility payments administered by HHS. The FY2009 appropriations were provided initially in a continuing resolution (P.L. 110-329), which provided the same funding levels as FY2008, and then in an omnibus bill (P.L. 111-8) that was passed on March 11, 2009. The omnibus provided \$18 million for the EAC, with \$4 million of that to be transferred to NIST, \$750,000 for the College Program, and \$300,000 for the high school mock election program. It also provided funding for requirements payments to the states in the amount of \$100 million, with an additional \$5 million for grants for research on voting technology improvements and \$1 million for a pilot program for grants to states and localities to test voting systems before and after elections. Finally, the omnibus provided \$12.2 million for disability access and \$5.3 million for protection and advocacy programs.

FY2010

For FY2010, the President's budget request included \$16.5 million for the Election Assistance Commission (EAC) and \$106 million for election reform payments to states, with \$5.26 million for protection and advocacy programs and \$12.15 million for accessibility payments administered by HHS, as in FY2009. The House and Senate bills (H.R. 3170, S. 1432) would have provided about the same amount for the EAC. The House bill would have provided nearly the same amount for election payments, while the Senate bill called for \$52 million in election payments. The Consolidated Appropriations Act, 2010 (P.L. 111-117) that was signed into law on December 16, 2009, includes \$18.0 million for the EAC, of which \$3.5 million is to be transferred to NIST, \$750,000 is for the Help America Vote College Program, and \$300,000 is for a competitive grant program to support student and parent mock elections. It also includes \$75 million for election reform programs, with \$70 million of that amount for requirements payments, \$3 million for research grants to improve voting technology with respect to disability access, and \$2 million for grants to states and localities for voting system logic and accuracy testing. Also, the omnibus provided \$12.15 million for disability access and \$5.26 million for protection and advocacy programs.

FY2011

For FY2011, the President's budget request included \$16.8 million for the EAC, of which \$3.25 million is to be transferred to NIST. It also included \$5.26 million for protection and advocacy programs and \$12.15 million for accessibility payments administered by HHS. It included EAC "election reform grants" among programs to be terminated, and therefore provided no funding for requirements payments, research and pilot program grants, the college program, and mock elections. As justification, it pointed out that about \$1 billion in EAC payments to states remained unspent, and claimed that states had accrued \$763 million in interest on previously appropriated payments. The EAC, in contrast, listed accrued interest through 2008 as totaling \$279 million. The cause of this discrepancy is not clear. Funding for federal agencies, including the EAC, was provided at FY2010 levels according to a series of seven continuing resolutions between September 30, 2010, and April 15, 2011. On that date, a continuing resolution was enacted to fund the federal government for the rest of the fiscal year. H.R. 1473, the Department of Defense and Full-Year Continuing Appropriations Act, 2011, provided \$16.3 million for the EAC, of which \$3.25 million is to be transferred to NIST. It provides no new funding for election reform programs.

FY2012

For FY2012, the President's budget request included \$13.7 million for the EAC, of which \$3.25 million was to be transferred to NIST, resulting in a 23% reduction in operating funds for the EAC from the FY2011 request and a 28% reduction from the FY2010 appropriation. The budget request also included no funding for the HAVA-authorized protection and advocacy programs and accessibility payments administered by HHS. P.L. 112-74 provided \$11.5 million for the EAC, of which \$2.75 million was for NIST and \$1.25 million was for the Office of the Inspector General.

FY2013

For FY2013, the President's budget request included \$11.5 million for the EAC, of which \$2.75 million was to be transferred to NIST and \$1.3 million was for the Office of the Inspector General. Funding was provided under a continuing resolution, P.L. 112-175, until March 2013, when it was superseded by P.L. 113-6, the Consolidated and Further Continuing Appropriations Act, 2013. Under the President's sequester order, appropriations under the law were reduced for all federal agencies, although the specific amounts of the reductions are not known. The House and Senate reports for FY2014 appropriations for Financial Services and General Government both note that the FY2013 appropriation for the EAC was \$11.5 million before the sequester reduction.

FY2014

For FY2014, the President's budget request includes \$11.0 million for the EAC, with \$2.75 million of that amount to be transferred to NIST for its work on testing guidelines for voting system hardware and software. The House Committee on Appropriations recommended eliminating the EAC and provides no funding for the agency; the Senate Committee on Appropriations would have provided \$11.0 million for the EAC, with \$2.75 million to be transferred to NIST. The Consolidated Appropriations Act of 2014 (H.R. 3547) provides \$10.0 million for the EAC, including \$1.9 million for NIST.

Table 2. Help America Vote Act (HAVA) Funding
(\$ millions)

Budget Item	HAVA Auth. ^a	Appropriations												Total	
		2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014		
Payments to States															
Election Administration Improvement	325														
		650 ^c													650
Punchcard/Lever Machine Replacement	325														
HAVA Requirements	3,000	830	1,498				115	100	70						2,613
One-Time Payment ^d		15													15
<i>Total Payments^e</i>	<i>3,650</i>	<i>1,495</i>	<i>1,498</i>				<i>115</i>	<i>100</i>	<i>70</i>						<i>3,278</i>
Election Assistance Commission (EAC)															
General ^f	30.00	2.00	2.00	10.71	11.29	11.29	23.08 ^g	14.00	13.41	13.02	7.50	7.50	8.10		122.20
NIST				2.78	2.77	4.95	3.25	4.00	3.50	3.24	2.75	2.75	1.90		31.89
College Program	5.00 ^h	1.50	0.75	0.20	0.00 ⁱ			0.80	0.75	n/a	n/a	n/a			4.00
High School Program	5.00 ^h	1.50	0.75												2.25
Mock Election	0.20 ^h		0.20	0.20			0.20	0.30	0.30	n/a	n/a	n/a			1.20
Research	20.00							5.00	3.00						5.00
Pilot Programs	10.00							1.00	2.00						1.00
Inspector General											1.25	1.25			2.50
<i>Total EAC</i>	<i>70.20</i>									<i>16.27</i>	<i>11.50</i>	<i>11.50</i>	<i>10.00</i>		<i>175.04</i>
		<i>5.00</i>	<i>3.70</i>	<i>13.88</i>	<i>14.06</i>	<i>16.24</i>	<i>26.53</i>	<i>25.10</i>	<i>22.96</i>						
Health and Human Services (HHS)															
Accessibility	100.00	13.00	10.00	10.00	10.90	10.90	12.40	12.20	12.15	n/a	n/a	n/a	n/a		91.55

Budget Item	HAVA Auth. ^a	Appropriations												Total
		2003	2004	2005	2006	2007	2008	2009	2010	2011	2012	2013	2014	
Protection and Advocacy	40.00 ^h	2.00	5.00	4.96	4.83	4.83	5.35	5.30	5.26	n/a	5.24	n/a	n/a	37.52
<i>Total HHS</i>	<i>140.00</i>	<i>15.00</i>	<i>15.00</i>	<i>14.96</i>	<i>15.73</i>	<i>15.73</i>	<i>17.75</i>	<i>17.50</i>	<i>17.41</i>	<i>n/a</i>	<i>n/a</i>	<i>n/a</i>	<i>n/a</i>	<i>129.08</i>
Total HAVA	3,860	1,515	1,517	29	30	32	159	143	110	16	15	10	10	3,582

Source: CRS, from HAVA and relevant appropriations acts.

Notes: All figures are in millions of current (nominal) dollars of budget authority as authorized or appropriated and are rounded where necessary. Figures for FY2005 and FY2006 include rescissions. n/a means that specific information was not available for that fiscal year. The EAC was authorized in HAVA for FY2003-FY2005 and has been reauthorized through the appropriations process on a year-to-year basis since then.

- a. Authorization amounts in HAVA.
- b. Amounts do not include sequester reductions (see text).
- c. Appropriated amount did not specify the distribution of funds between the two budget items.
- d. For payments to states that had obtained optical scan or DRE voting systems prior to the November 2000 election. The funds were appropriated in the General Government and Appropriations Act of 2003, whereas payments to states authorized under HAVA were appropriated in the Miscellaneous Appropriations Act of 2003; both acts were included as divisions of the FY2003 omnibus appropriations act, P.L. 108-7.
- e. The total payment appropriated includes the one-time payment in FY2003 and is therefore \$15 million greater than the total appropriated from funds authorized by HAVA. See note c.
- f. Figures in this row are funds remaining in EAC line items after amounts for other specific items (such as NIST) are subtracted.
- g. This includes \$10 million for grants of \$2 million each to five states to improve the collection of election data.
- h. Listed amounts plus sums necessary for subsequent years beyond the initial authorization period.
- i. Congress appropriated no funds for this in FY2006 but “encouraged” the EAC to spend \$250,000 on it.

Legislative Action

112th Congress

Three bills were introduced in the 112th Congress to eliminate the EAC. The EAC was authorized for FY2003-FY2005. H.R. 235 would have terminated the EAC and its authority to make requirements payments to the states and would have rescinded unobligated requirements payments. No amounts could have been expended after enactment, except to terminate ongoing projects and activities that used requirements payments or those necessary to terminate commission activities and projects. H.R. 672 would have terminated the EAC, transferred to the National Institute of Standards and Technology the functions for voting system testing and certification, and transferred various other functions of the agency to the Federal Election Commission. (An amendment to eliminate the EAC was offered, but not adopted, in the 111th Congress: S.Amdt. 4764 to the Airport and Airway Extension Act of 2010, Part III (H.R. 4853)).

The Subcommittee on Elections of the Committee on House Administration held a hearing on April 14, 2011 on H.R. 672. The full committee marked up the bill on May 25, when it approved an amendment in the nature of a substitute, and passed the bill on a voice vote. The bill was reported on June 2 (H.Rept. 112-100) and scheduled for a floor vote. The House took up H.R. 672 on June 21 under suspension of the rules. On June 22, a vote on the motion to suspend the rules and pass the bill failed on a strict party-line vote of 235 to 187, with nine not voting. The measure needed a two-thirds majority for passage. (Also see discussion of H.R. 3463 below.)

H.R. 1937 was introduced on May 23. In contrast to H.R. 235 and H.R. 672, it would have extended authorization for the EAC through FY2016 and provided the EAC a status similar to that of the FEC with respect to the Paperwork Reduction Act. It would also have required states to participate in the election-administration surveys conducted by the EAC after every federal election, and required a series of surveys on access to polling places by voters with disabilities. It would have created an EAC revolving fund to make payments to accredited laboratories for testing of voting systems, and would have made additional modifications to the EAC's certification program. It would also have required the EAC to perform a study on ways to reduce election administration costs, and the Government Accountability Office to analyze ways of improving EAC administrative operations.

Representative Harper introduced H.R. 3463 on November 17, 2011, a nearly identical bill to H.R. 672, that would have eliminated the EAC, but which also included a provision to terminate taxpayer financing of presidential election campaigns. The bill was referred to the Committee on House Administration and the Committee on Ways and Means. The bill was taken up by the House on December 1 under a closed rule and passed on a 235 to 190 vote.

113th Congress

In the 113th Congress, two bills have been introduced to eliminate the EAC and two have been introduced to reauthorize the agency. Representative Harper introduced both bills to eliminate the EAC: H.R. 260 (January 15, 2013) and H.R. 1994 (May 15, 2013). H.R. 260 would terminate the program that provides taxpayer financing of presidential elections, terminate the EAC and its Standards Board and Board of Advisors, transfer election administration functions to the FEC, and establish a Guidelines Review Board to review voluntary voting system guidelines. H.R. 1994 would terminate the EAC, its Standards Board, and Board of Advisors, and transfer its election administration functions to the FEC; it was passed by the committee on a voice vote on

June 4, 2013. H.R. 12 and H.R. 2017 would reauthorize the EAC for FY2013-FY2017 and FY2014-FY2018, respectively.

On election administration issues, H.R. 12 and S. 123, which are identical, include numerous provisions that would

- require online and same day voter registration;
- promote access to voter registration and voting for the disabled;
- amend the criminal code to include prohibitions of certain activities that interfere with voting;
- prohibit states from denying the vote because of a criminal conviction unless the individual is serving a sentence for a felony conviction;
- amend HAVA to require a permanent paper record for voting systems;
- require the Director of the National Science Foundation (NSF) to make grants to study, test, and develop voting equipment to enhance accessibility of paper ballot voting for the disabled, voters with limited English proficiency, and those with difficulties in literacy;
- prescribe requirements for poll tapes, early and absentee ballots, provisional ballots;
- prescribe requirements and prohibitions for laboratories testing voting system hardware and software;
- require the Director of the NSF to make grants for research on election-dedicated voting system software;
- require each state to conduct random precinct audits of voter-verified paper ballots except where the winning candidate had no opponent or received 80% or more of the vote;
- require the Election Auditor of a state to submit audit results to the EAC for publication as soon as practicable;
- prohibit certification of election results until audits are complete;
- amend HAVA to include requirements for counting provisional ballots and to require each state to allow early voting and facilitate vote by mail;
- amend the Servicemembers Relief Act to guarantee voting residency to family members of absent military personnel;
- amend UOCAVA with respect to reports on pre-election ballot availability and transmission of ballots, to revise the 45-day ballot transmission rule, and to permit the use of a single absentee ballot application for subsequent elections;
- provide leave for a federal employee to serve as a poll worker;
- direct the EAC to make grants for state poll worker recruitment and training and to develop materials for a model poll worker training program;
- amend HAVA to provide for an option to file a complaint with the Attorney General for a violation of the law's requirements or pursue a private right of action for enforcement;
- amend the Federal Election Campaign Act of 1971 to prohibit a chief state election official from actively participating in a federal political campaign unless he, she, or a family member is a candidate;

- amend the National Voter Registration Act to treat universities as voter registration agencies;
- amend HAVA to establish notification requirements for voters affected by polling place changes;
- direct the Attorney General to establish a state-based system to respond to questions and complaints from voter registrants and voters, to establish a toll-free telephone service connected to the response system, and to appoint a Voter Hotline Task Force;
- apply the requirements of National Voter Registration Act (NVRA) and HAVA to the Northern Mariana Islands; and
- amend HAVA to reauthorize the EAC and repeal its exemption from certain government contracting requirements.

Other bills would aim to reduce long voter lines on Election Day, such as H.R. 50, H.R. 289, and S. 58.

H.R. 50 would require each state to implement an early voting period; provide for a sufficient number of voting systems, poll workers, and other resources to ensure fair and equitable waiting times for all voters; develop a contingency plan to provide additional resources at any polling place with a wait time that exceeds one hour; and require reports on the impact of the act's provisions.

H.R. 97 and S. 85 (identical) would direct the Attorney General to establish a grants program to enable states to invest in practices and technology to expedite polling place voting and simplify voter registration and to require grantees to establish performance measures and targets.

H.R. 289 would require each state to implement online voter registration, authorize initiatives to promote registration such as same day registration, and set forth requirements for maintenance, privacy, and security of registration lists; amend HAVA to require standards for minimum numbers of voting systems, poll workers, and resources for each voting site; require each state to submit a written plan to the EAC describing how it will ensure an equitable waiting time for all voters and a waiting time of less than an hour at any single polling place; establish a remedial state plan to provide for effective allocation of election resources where the EAC determines that a substantial number of voters waited more than 90 minutes to vote in a federal election; require emergency paper ballots in the event of unreasonable voting delays; and require early voting according to standards established by the EAC.

S. 58 would amend HAVA to require standards for minimum numbers of voting systems, poll workers, and resources for each voting site; would direct the Attorney General, in coordination with the EAC, to issue standards for the distribution of voting systems, workers, and resources to voting sites, taking in the number of disabled voters and those with limited English proficiency; would require that the standards provide for an equal waiting time for all voters, to the extent possible, and prevent a waiting time of over one hour at any polling place; and would require jurisdictions where a substantial number of voters waited more than 90 minutes to vote in a federal election to comply with a remedial plan to minimize waiting times.

Other election administration bills would require changes to the voting process regarding voter registration, photo identification, mail voting, and other areas as follows:

H.R. 280 would require states that register voters to make available same-day voter registration on Election Day and during early voting.

H.R. 281 would amend HAVA to prohibit a state or local election official from requiring a photo identification to vote or to require that a voter who lacks a photo ID to cast a provisional ballot and to prohibit such officials from requiring a photo ID as a condition of registering to vote in an election for federal office.

H.R. 376 would amend HAVA to prohibit a state from imposing additional conditions or requirements on a voter's eligibility to cast a vote in federal elections by mail, except with respect to deadlines for requesting and returning the ballot.

H.R. 653 would direct the EAC to carry out a pilot program to provide funds to local education agencies, in consultation with local election officials, for initiatives to provide 12th graders with voter registration information.

H.R. 936 would amend HAVA to prohibit a state from providing voters in federal elections with the opportunity to indicate the selection of a political party as a representation of the selection of an individual candidate, thereby prohibiting straight-party voting.

H.R. 1018 would amend the Federal Election Campaign Act to specifically apply it to American Samoa, the Northern Mariana Islands, Guam, or the U.S. Virgin Islands; amend the National Voter Registration Act (NVRA) to cover these territories and Puerto Rico; amend HAVA to cover the Northern Mariana Islands; and apply to such jurisdictions criminal penalties relating to voter intimidation, interference by government employees, and voting by aliens.

H.R. 1280 would amend NVRA to increase the penalties for criminal activities involving intimidation or fraud in connection with voter registration and voting, prohibit an individual involved in such activities from voting in future federal elections, and require the use of tagging and tracking services for voter registration cards and absentee ballots.

H.R. 1641 would amend the Revised Statutes to establish the first Saturday and Sunday after the first Friday in November as Election Day for federal elections.

S. 302 would amend the Immigration and Nationality Act to make voting in a federal election by an alien unlawfully in the U.S. an aggravated felony and deportable offense.

Legislation that would institute changes for uniformed services and overseas citizen voting includes H.R. 12 and S. 123 (the relevant provisions concern amending the Servicemembers Relief Act and UOCAVA and are described above), H.R. 1655, H.R. 2168, H.R. 3576, and S. 1728. H.R. 1655 would prohibit a state from certifying general election results until ballots from uniformed services voters had been counted. H.R. 2168 would require notification of the appropriate election official of a change of address for a service member who is deployed on active duty for more than 30 days or who has been redeployed, would repeal the waiver from the 45-day ballot availability deadline, would require express delivery for a failure to meet the deadline, would require establishing procedures to process military and overseas ballots in the event of a major disaster, and would prohibit a state from accepting a voter registration and absentee ballot application from an overseas voter because of early submission.

Finally, H.R. 3576 and S. 1728 are identical and would

- require states to submit a pre-election report on whether absentee ballots were sent by the 45-day deadline before an election;
- repeal the waiver from the 45-day ballot availability deadline, would require express delivery for a failure to meet the deadline;
- permit the use of a single absentee ballot application for subsequent elections;
- prohibit a state from accepting a voter registration and absentee ballot application from an overseas voter because of early submission;

- apply UOCAVA to the Northern Mariana Islands;
- require a biennial report on the performance of the Federal Voting Assistance Program, to be reviewed by the Comptroller General with a report to the oversight committees for election years 2014 through 2020;
- require providing active assistance to active duty members of the armed forces through an online system to facilitate voter registration, updating the voter registration record, and requesting an absentee ballot;
- repeal the voting demonstration project authorized by the National Defense Authorization Act for FY2002; and
- extend a guarantee of residency to family members of absent military personnel.

Concluding Observations

Several of the issues discussed herein are likely to continue to be relevant with respect to HAVA, particularly the status of the EAC and funding for programs to support election administration activities in the states. No funds for election administration programs have been provided to the states since FY2010; future appropriations seem unlikely until all previously appropriated HAVA funds have been expended. The EAC has not had any commissioners since 2011 and while agency work continues, tasks that require commissioner approval, such as adopting revisions to HAVA guidance and voting system guidelines, holding public hearings, and issuing new advisory opinions, cannot be performed. Legislation to either eliminate or reauthorize the EAC has been introduced in the past two Congresses. The EAC has been criticized by some for exceeding its authority, or for being slow, ineffectual, or even unnecessary. Others believe that the agency is a necessary federal resource for improving election administration and has been hampered by budgetary constraints and difficulties in the nomination process for commissioners.

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