March 31, 2003

# Human Capital

## DoD Compliance With the Uniformed and Overseas Citizens Absentee Voting Act
(D-2003-072)

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**Acronyms**

| | |
|---|---|
| CONUS | Continental United States |
| FPCA | Federal Post Card Application |
| FVAP | Federal Voting Assistance Program |
| FWAB | Federal Write-In Absentee Ballot |
| IG DoD | Inspector General of the Department of Defense |
| USD(P&R) | Under Secretary of Defense for Personnel and Readiness |
| UVAO | Unit Voting Assistance Officer |

INSPECTOR GENERAL
DEPARTMENT OF DEFENSE
400 ARMY NAVY DRIVE
ARLINGTON, VIRGINIA 22202-4704

March 31, 2003

MEMORANDUM FOR UNDER SECRETARY OF DEFENSE FOR PERSONNEL AND READINESS
ASSISTANT SECRETARY OF THE AIR FORCE (FINANCIAL MANAGEMENT AND COMPTROLLER)
DIRECTOR, ADMINISTRATION AND MANAGEMENT
NAVAL INSPECTOR GENERAL
AUDITOR GENERAL, DEPARTMENT OF THE ARMY

SUBJECT: Report on DoD Compliance With the Uniformed and Overseas Citizens Absentee Voting Act (Report No. D-2003-072)

We are providing this report for review and comment. The Army did not respond to the draft report. The Principal Deputy Under Secretary of Defense for Personnel and Readiness, the Navy, the Air Force, and the Marine Corps responded to the draft report. We considered their comments when preparing the final report.

DoD Directive 7650.3 requires that all recommendations be resolved promptly. Comments from the Principal Deputy Under Secretary of Defense for Personnel and Readiness are fully responsive to Recommendation 1. and no further comments are required. We request that the Services provide additional comments as indicated in Table 7 (page 26) of this report by May 30, 2003.

If possible, please send management comments in electronic format (Adobe Acrobat file only) to Audnorfolk@dodig.osd.mil. Copies of the management comments must contain the actual signature of the authorizing official. We cannot accept the / Signed / symbol in place of the actual signature. If you arrange to send classified comments electronically, they must be sent over the Secret Internet Protocol Router Network (SIPRNET).

We appreciate the courtesies extended to the staff. Questions should be directed to Mr. Michael A. Joseph or Mr. Timothy J. Tonkovic at (757) 872-4801. See Appendix J for the report distribution. The team members are listed inside the back cover.

David K. Steensma

David K. Steensma
Deputy Assistant Inspector General
for Auditing

## Office of the Inspector General of the Department of Defense

**Report No. D-2003-072** **March 31, 2003**
(Project No. D2002LF-0151)

# DoD Compliance With the Uniformed and Overseas Citizens Absentee Voting Act

## Executive Summary

**Who Should Read This Report and Why?** This report should be read by DoD civilian and military personnel who are responsible for the administration, oversight, and implementation of the Uniformed and Overseas Citizens Absentee Voting Act (the Act) and voting assistance programs in DoD.

This report discusses DoD and Service compliance with the Act and implementation of regulations regarding the Federal Voting Assistance Program in DoD. It also provides the assessments from the Inspectors General of each Service on the effectiveness and compliance of their Services' voting assistance programs.

**Background.** Section 1566, title 10, United States Code (added by Public Law 107-107, "National Defense Authorization Act for Fiscal Year 2002," December 28, 2001) requires the Inspector General of the Department of Defense to annually assess each Service's compliance with the Act, DoD regulations regarding the Act and the Federal Voting Assistance Program, and other requirements of law regarding voting by members of the Armed Forces. Additionally, section 1566 requires the Inspectors General of each Service to conduct annual effectiveness and compliance reviews of their voting assistance programs.

The Office of the Under Secretary of Defense for Personnel and Readiness is responsible for the policy oversight functions of the DoD voting assistance program. The Director of Administration and Management, Office of the Secretary of Defense, carries out the Federal Voting Assistance Program responsibilities for the Secretary of Defense. The goals of the Federal Voting Assistance Program are to inform and educate absentee voters of their right to vote, to foster voting participation, and to protect the integrity of the voting process. As of September 2002, there were about 265,000 active duty personnel and 185,000 of their dependents (age 18 and over) located overseas. There were also about 1.1 million active duty personnel and 586,000 dependents in the continental United States and its territories who were potential absentee voters. DoD faces the same challenges as the entire United States in its attempt to increase voting participation, particularly among the younger population of eligible voters. DoD challenges are magnified because of the worldwide dispersion of active duty personnel.

**Results.** The Federal Voting Assistance Program Office developed guidance and resources for effective and compliant DoD implementation of the Act; however, the effectiveness of the Services' programs varied at the locations visited. The Federal Voting Assistance Program Office provided a variety of comprehensive and useful resources for uniformed absentee voters and the Services' voting assistance programs. Additionally, the Federal Voting Assistance Program Office provided training and

guidance to a worldwide network of Service voting assistance officers and continues to focus attention on issues related to the standardization and simplification of the absentee ballot process. Because of the delayed issuance of DoD Directive 1000.4, "Federal Voting Assistance Program," June 3, 2002, the Services did not have time to implement the Directive requirements before the November 2002 election. The Under Secretary of Defense for Personnel and Readiness needs to continue to oversee the Services' voting assistance program guidance.

Although each Service had a plan for implementing the voting assistance program, the effectiveness of the Services' programs varied for the November 2002 election at the 10 locations we visited. In our opinion, the Service voting assistance programs were partially effective at six locations and ineffective at four locations. Problems we identified for the November 2000 election continued to exist for the November 2002 election, such as:

- Unit Voting Assistance Officers and uniformed absentee voters lack training,
- absentee voters were not aware of voting assistance resources and Unit Voting Assistance Officers, and
- the span of control of Unit Voting Assistance Officers was too large.

The continued existence of the problems indicates that improvements to Service voting assistance programs are needed. The Services can improve their programs by including all of the requirements in DoD Directive 1000.4 in their implementing guidance. The Services should also increase command emphasis at all levels and improve oversight of program implementation. See the Finding section of the report for the detailed recommendations.

**Management Comments and Evaluation Response.** The Principal Deputy Under Secretary of Defense for Personnel and Readiness concurred with the recommendations and stated that his office and the Director of the Federal Voting Assistance Program will oversee the Service voting assistance program guidance. The Army did not provide comments on the draft report. The Navy, the Air Force, and the Marine Corps generally concurred with the recommendation to revise their guidance to include the requirements of DoD Directive 1000.4. However, the Navy did not agree to revise its guidance to include the DoD Directive 1000.4 requirement to establish a maximum number of voters that can be served by a Unit Voting Assistance Officer. Additionally, the Marine Corps did not agree to revise its guidance to include the DoD Directive 1000.4 requirement for in-hand delivery of the Federal Post Card Application.

The Navy agreed to provide command emphasis and program oversight of its voting assistance program. The Air Force and the Marine Corps did not provide comments on the command emphasis and program oversight recommendations. See the Finding section for a discussion of management comments and the Management Comments section of the report for the complete text of the comments.

The Principal Deputy Under Secretary comments were fully responsive and additional comments are not required. We request that the Navy reconsider its position concerning the maximum number of voters that can be served by a Unit Voting Assistance Officer. We also request that the Marine Corps reconsider its position on the requirement for in-hand delivery of the Federal Post Card Application. Finally, we request that the Services provide comments on the final report recommendations by May 30, 2003, as indicated in Table 7 (page 26).

**Service Inspectors General Reports.** The Army Inspector General reported that the Army's voting assistance program at all levels is lacking in command emphasis, detailed staff planning, effective compliance with policy guidelines, and training. Execution of the Army's program is inconsistent and ineffectual (Appendix E). The Deputy Naval Inspector General reported that the Navy voting assistance program is in substantial compliance with DoD guidance. The program is performing well; however, there is room for improvement (Appendix F). The Air Force Inspector General reported that overall compliance with DoD Directive 1000.4, the Act, and Air Force regulations was satisfactory (Appendix G). The Marine Corps Inspector General reported that the Marine Corps has an effective voting assistance program and, with the exception of reported discrepancies, complies with DoD Directive 1000.4 and the Act (Appendix H).

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## Background

This evaluation was required by section 1566, title 10, United States Code (added by Public Law 107-107, "National Defense Authorization Act for Fiscal Year 2002," December 28, 2001). Section 1566, title 10, United States Code (10 U.S.C. 1566) states:

> (c) ANNUAL EFFECTIVENESS AND COMPLIANCE REVIEWS.—(1) The Inspector General of each of the Army, Navy, Air Force, and Marine Corps shall conduct—
>
> > (A) an annual review of the effectiveness of voting assistance programs; and
> > (B) an annual review of the compliance with voting assistance programs of that armed force.
>
> (2) Upon the completion of each annual review under paragraph (1), each Inspector General specified in that paragraph shall submit to the Inspector General of the Department of Defense a report on the results of each such review. Such report shall be submitted in time each year to be reflected in the report of the Inspector General of the Department of Defense under paragraph (3).
>
> (3) Not later than March 31 each year, the Inspector General of the Department of Defense shall submit to Congress a report on—
>
> > (A) the effectiveness during the preceding calendar year of voting assistance programs; and
> > (B) the level of compliance during the preceding calendar year with voting assistance programs of each of the Army, Navy, Air Force, and Marine Corps.
>
> (d) INSPECTOR GENERAL ASSESSMENTS.—(1) The Inspector General of the Department of Defense shall periodically conduct at Department of Defense installations unannounced assessments of the compliance at those installations with—
>
> > (A) the requirements of the Uniformed and Overseas Citizens Absentee Voting Act (42 U.S.C. 1973ff et seq.);
> > (B) Department of Defense regulations regarding that Act and the Federal Voting Assistance Program carried out under that Act; and,
> > (C) other requirements of law regarding voting by members of the armed forces.
>
> (2) The Inspector General shall conduct an assessment under paragraph (1) at not less than 10 Department of Defense installations each calendar year. . . .

**Inspector General of the Department of Defense Assessment.** To assess the effectiveness of the DoD voting assistance program, representatives from the Inspector General of the Department of Defense (IG DoD) developed and

administered questionnaires that focused on an individual's awareness and perceptions of the absentee ballot process and voting resources, the effectiveness of Unit Voting Assistance Officers (UVAOs), and the adequacy of Federal Voting Assistance Program (FVAP) Office training and materials. The questionnaires were similar to those used during our 2001 evaluation of overseas absentee ballot handling in DoD. The questionnaires are in Appendix B and Appendix C.

The questionnaires were administered to 942 uniformed absentee voters and 110 UVAOs at the 10 locations (including one ship) listed in Appendix D. After completion of the survey questions, the respondents participated in group discussions and were asked questions related to their experiences with absentee voting.

As of September 2002, there were about 265,000 active duty personnel and about 185,000 dependents (age 18 and over) of active duty personnel located overseas. There were also about 1.1 million active duty personnel and 586,000 dependents (age 18 and over) in the continental United States (CONUS) and its territories who were potential absentee voters.

**Uniformed and Overseas Citizens Absentee Voting Act.** The Act establishes Federal, State, and territory requirements to allow certain groups of citizens to register and vote absentee in elections for Federal offices. Absentee voters are absent from the place of legal residence where they are otherwise qualified to vote. U.S. citizens covered by the Act are "absent uniformed services voters" and "overseas voters."

This report includes coverage of DoD uniformed absentee voters. We have used the term "uniformed absentee voters" to include a member of the Army, the Navy, the Air Force, or the Marine Corps on active duty who, by reason of such active duty, is absent from the place of legal residence where the member is otherwise qualified to vote. We have also included in that term the spouse and dependents of those active duty members who, by reason of the active duty of the member, are absent from the place of legal residence where they are otherwise qualified to vote. The evaluation did not cover other Uniformed Service members, such as merchant marines, who are also covered by the Act.

The Act requires States to permit uniformed absentee voters to use absentee registration procedures and to vote by absentee ballot in Federal elections. The Act also states that the President shall designate the head of an Executive department to have primary responsibility for Federal functions of the Act.

On June 8, 1988, the President issued Executive Order 12642, "Designation of the Secretary of Defense as the Presidential Designee." Under the Executive Order, the Secretary of Defense has primary responsibility for implementing the requirements of the Act. Under the Act, FVAP Office responsibilities include working with State and local election officials to implement the Act; prescribing an official post card form to be used by absentee voters for registering to vote and for requesting an absentee ballot; distributing material on State absentee voting procedures; and after Presidential elections, reporting on the effectiveness of the voting assistance effort. Many States and territories have enacted laws allowing

citizens covered by the Act to register and vote absentee in State and local elections.

## DoD and Service Policies and Procedures

**Revised Federal Voting Assistance Program Guidance.** On June 22, 2001, the IG DoD issued Report No. D-2001-145, "Overseas Absentee Ballot Handling in DoD." The report covered areas needing improvement and states that DoD should ensure more effective oversight of its voting assistance program and improve the implementation and understanding of Service voting assistance programs at all levels. The report recommended specific revisions to DoD policy to help ensure that uniformed absentee voters are provided adequate voting assistance.

The former Assistant Secretary of Defense (Force Management Policy), now the Principal Deputy Under Secretary of Defense for Personnel and Readiness, agreed to revise DoD Directive 1000.4, "Federal Voting Assistance Program (FVAP)," by September 30, 2001. Because the revision of DoD Directive 1000.4 was not issued until June 3, 2002, the Services did not have time to implement the new Directive before the November 2002 election.

**DoD Policies and Procedures.** DoD Directive 1000.4, "Federal Voting Assistance Program (FVAP)," June 3, 2002, states that the Under Secretary of Defense for Personnel and Readiness (USD[P&R]) shall have policy oversight functions of the FVAP and that the Director, Washington Headquarters Services, under the Director of Administration and Management, shall manage, coordinate, and perform the responsibilities assigned to the Secretary of Defense as the Presidential designee. DoD Directive 1000.4 applies to the Office of the Secretary of Defense, the Military Departments (including the Coast Guard by agreement with the Department of Transportation), the Joint Staff, the combatant commands, the IG DoD, the Defense agencies, DoD field activities, and all other organizational entities within the Department of Defense. DoD Directive 1000.4 also applies to the commissioned corps of the Public Health Service and the National Oceanic and Atmospheric Administration.

In addition to DoD Directive 1000.4, Deputy Secretary of Defense memorandum, "Federal Voting Assistance Program—2002-2003," March 26, 2002, announced the "DoD Voting Action Plan for 2002-2003" (DoD Voting Plan). The DoD Voting Plan addresses implementation of the Act and dissemination of information, guidance, and tasks related to the voting assistance program. Specifically, the DoD Voting Plan requires command support at all levels for the FVAP, the designation of UVAOs at all levels of command, the in-hand delivery of the Federal Post Card Applications (FPCAs), and for the Inspectors General of the Services to include the voting assistance program as an item for specific review at every organizational level. The DoD Voting Plan also requires the Services to develop comprehensive command-wide voting awareness and assistance programs and voting action plans for the 2002-2003 elections.

**Army Guidance.** Army Regulation 608-20, "Voting by Personnel of the Armed Forces," August 15, 1981, establishes policy, responsibilities, and procedures for

Army implementation of the FVAP. The Regulation provides basic voting information needed by Armed Forces personnel, civilians officially attached with the Armed Forces overseas, and their dependents. Although the Army Regulation had not been updated since 1981, an Army Adjutant General memorandum, "Instructions for Conducting the 2002-2003 Army Voting Assistance Program," June 13, 2002, includes instructions for implementing the FVAP and for maximizing opportunities to encourage every eligible voter to register and vote. The memorandum establishes and assigns specific responsibilities to commanders of major Army commands, installation commanders, and unit commanders down to company and detachment levels. The Army Adjutant General memorandum is the voting action plan required by the DoD Voting Plan.

**Navy Guidance.** The Chief of Naval Operations Instruction (OPNAVINST) 1742.1, "Navy Voting Assistance Program," August 14, 2002, establishes policy and assigns responsibilities for the Navy voting assistance program. The Instruction states that the Navy voting assistance program shall be administered to ensure that eligible voters receive information about registration procedures and voter materials pertaining to scheduled elections. The Navy Instruction assigns voter responsibilities to every level of command. In addition to the Instruction, Bureau of Naval Personnel Notice 1742, "CY-2002 Navy Voting Assistance Program," March 25, 2002, announced the Navy voting assistance plan. The goals of the plan are to provide eligible voters with information on the Navy voting assistance program and to achieve 100 percent registration of eligible Navy voters.

**Air Force Guidance.** Air Force Instruction 36-3107, "Voting Assistance Program," May 31, 1994, implements the Act and informs personnel about voting opportunities, including absentee voting. The Air Force Instruction establishes specific voting assistance responsibilities at various levels of command from the major command down to the unit voting counselor. In addition to Air Force Instruction 36-3107, the "Air Force Voting Plan 2002-03," undated, was issued with a goal of providing assistance for all elections, emphasizing the period prior to the November 5, 2002, general election. The plan reiterates specific responsibilities for Air Force headquarters, commanders of major commands and installations, installation personnel directors, and voting assistance officers at each level of command.

**Marine Corps Guidance.** Marine Corps Order 1742.1A, "Voter Registration Program," May 14, 2002, provides guidance and assigns responsibilities for the implementation of the Marine Corps voter registration program to commanding officers at all echelons to assist Marines, their family members, and certain others in exercising their right to vote. Additionally, "United States Marine Corps Voting Action Plan 2002-2003" implements the Federal functions of the Act, disseminates information and guidance, and coordinates tasks related to the absentee voter registration program. The plan independently sets forth guidance and does not reference Marine Corps Order 1742.1A.

## Objectives

The primary objective of our evaluation was to assess the effectiveness of DoD voting assistance programs and their compliance with the Act. Specifically, we evaluated FVAP Office compliance with the Act and other requirements of law regarding voting by members of the Armed Forces. We also evaluated the Services' compliance with DoD guidance for implementing the Act. In addition, we reviewed the adequacy of management controls as they applied to the evaluation objective. See Appendix A for a discussion of the evaluation scope and methodology, the review of the management control program, and prior coverage.

## Limitations on Use of Report Data

The results of the questionnaires discussed in this report are generally summarized by uniformed absentee voters and by UVAOs. In some sections, we also presented the results of the questionnaires by Service.

The organizations we visited and the individual participants were not randomly selected; therefore, results cannot be statistically projected to the universe. The questionnaire results are descriptive and are not intended to be used for comparative purposes. Although the uniformed absentee voter and UVAO questionnaires used in this report are similar to the questionnaires used in our 2001 evaluation, the numerical results from the questionnaires in 2001 should not be compared with the results in this report.

The questionnaire and discussion group responses reflect the perceptions of uniformed absentee voters concerning the absentee ballot process. The accuracy of those perceptions cannot be validated.

# Compliance and Effectiveness of Absentee Voting Assistance Programs

The FVAP Office developed guidance and resources for effective and compliant DoD implementation of the Act. For the 2002 elections, the FVAP Office maintained and provided a variety of comprehensive and useful resources for uniformed absentee voters and the Services' voting assistance programs. Additionally, the FVAP Office provided training and guidance to a worldwide network of Service voting assistance officers. Further, the FVAP Office continues to focus on issues relating to standardization and simplification of the absentee ballot process, providing feedback to voters, and the increasing use of technology. Because of the delayed issuance of DoD Directive 1000.4, the Services did not have time to implement the Directive requirements before the November 2002 election. The USD(P&R) needs to continue to oversee the Services' voting assistance program guidance.

Although each Service had a plan for the implementation of its voting assistance program, the effectiveness of the Services' voting assistance programs varied for the November 2002 election at the 10 locations we visited. In our opinion, the Service voting assistance programs were partially effective at six locations and ineffective at four locations. Problems we identified for the November 2000 election continued to exist for the November 2002 election, such as:

- Unit Voting Assistance Officers and uniformed absentee voters lack training,
- absentee voters were not aware of voting assistance resources and Unit Voting Assistance Officers, and
- the span of control of Unit Voting Assistance Officers was too large.

The occurrence of problems similar to those we identified during the 2000 election indicates that improvements to Service voting assistance programs are needed. The deficiencies that existed for the November 2002 election occurred because the Services had not:

- included all requirements in the DoD guidance for their voting assistance programs; and
- provided sufficient command emphasis and oversight to ensure consistent implementation of voting assistance programs.

Frequent deployments, increased operational requirements, and worldwide operational commitments are compelling reasons for uniformed absentee voters to understand the multi-step process of absentee voting. It is imperative that those responsible for DoD absentee voting programs do everything they can to ensure uniformed absentee voters are given the

knowledge and tools necessary to exercise their constitutional right to vote.

## Challenges Encountered by Uniformed Absentee Voters

The absentee voting process can be inherently difficult compared with voting in the jurisdiction where one is registered. Uniformed absentee voters face a multi-step process in order to comply with State and local voting requirements. The challenges encountered by uniformed absentee voters include obtaining voting information in a timely manner, registering and obtaining an absentee ballot, and understanding State absentee voting procedures. As we did for our evaluation of the November 2000 election, we asked uniformed absentee voters about problems they encountered during the November 2002 election and any reasons they might have had for not voting.

**Problems Encountered During the November 2002 Election.** About half of the questionnaire respondents reported that they had at least one problem during the November 2002 election. The problems mentioned most often, in descending order, were:

- insufficient information on the candidates or their election issues;
- no way to know whether the FPCA was received;
- voting procedures were complicated;
- absentee ballot never arrived; and
- difficulty in maintaining a current mailing address with local election officials.

The issue of an absentee ballot never arriving was not among the five most frequent problems cited for the November 2000 election. The other four problems were among the five most frequent problems for the November 2000 election.

**Reasons for Not Voting.** We asked respondents who did not vote to provide their reasons for not voting. The reasons mentioned most often for not voting, in descending order, for the November 2002 election were:

- respondents were not familiar with the candidates or issues;
- respondents knew about the election, but were not interested in voting;
- respondents had no candidate preference;
- respondents did not know how to obtain an absentee ballot; and
- respondents did not know about the November 2002 election.

The issue of respondents not knowing about the election was not among the five most frequently cited reasons for not participating in the November 2000 election. The other four reasons were among the five most frequent reasons cited during the November 2000 election.

Some of the reasons for not voting were related to State absentee voting procedures, and some included personal preference issues. Neither State absentee voting procedures nor personal decisions about voting are controllable by DoD. Although DoD can encourage voter participation, it cannot and should not attempt to force its Service members to vote.

DoD faces many of the same challenges as the entire United States in its attempt to increase voting participation, particularly among the younger population of eligible voters. DoD challenges are magnified because of the worldwide dispersion of absentee voters among the Armed Forces and other activities supported by DoD. The Services could improve awareness and understanding of the absentee ballot process, which might encourage non-voters to participate in future elections. The questionnaire results revealed that approximately 53 percent of the respondents understood the process only to a small extent or not at all.

## FVAP Office Guidance and Voting Assistance Resources

The FVAP Office developed guidance and resources for effective and compliant implementation of the Act. The revision of DoD Directive 1000.4 and the DoD Voting Plan establish the requirements for effective DoD voting assistance programs. The FVAP Office provided valuable assistance, information, and tools to many uniformed absentee and overseas voters for the November 2002 election. Additionally, during 2002, the FVAP Office implemented the Act using a variety of resources and provided absentee voting information and materials to eligible voters worldwide.

**Background of the FVAP Office.** To accomplish its goals, the FVAP FY 2002 budget was $3.5 million, which included contracting, services, salaries, and a secure electronic registration and voting experiment. During Federal elections, the FVAP Office provides services and voting materials to:

- Armed Forces Recruitment Offices nationwide so that U.S. citizens can apply for voter registration or change their voter registration data;
- military voting assistance officers worldwide;
- embassy and consulate voting assistance officers; and
- State and local government officials.

**DoD Policies and Procedures.** With the revision of DoD Directive 1000.4 and the updated DoD Voting Plan, the FVAP Office established a comprehensive policy and identified responsibilities necessary to effectively implement all requirements of the Act. Full implementation and consistent application of DoD

Directive 1000.4 and the DoD Voting Plan will ensure the widest dissemination of DoD policies and procedures to the personnel responsible for the successful accomplishment of the DoD voting assistance program.

**FVAP Office Resources.** The FVAP Office provides voting assistance and information to uniformed absentee voters through a variety of resources, including the *2002-03 Voting Assistance Guide* (the *Guide*), a monthly newsletter, the FVAP Web site (http://www.fvap.ncr.gov), an information center, and a toll-free telephone service. The *Guide* includes information on the use of the FPCAs for voter registration or for requesting an absentee ballot and a sample of the Federal Write-In Absentee Ballot (FWAB). The *Guide* also outlines State-by-State registration and voting procedures. *Voting Information News* is a monthly newsletter that contains information on elections. The newsletter is primarily sent to voting assistance officers. The FVAP Web site includes the *Guide* and an archive of the newsletters, as well as additional information on absentee voting procedures. The Web site also provides Federal and State election information and links to Federal agencies, State election organizations, and Military Department voting assistance Web sites.

The FVAP Office's voting information center is an automated telephone system offering election information. It includes candidate information and connections to the offices of elected officials. The toll-free telephone service is a referral service that puts callers in touch with the FVAP Office. Additional FVAP Office activities include the production and worldwide distribution of print and broadcast voter education information and the training of voting assistance officers.

**Uniformed Absentee Voter Satisfaction With FVAP Resources.** The questionnaires were designed to gauge the level of satisfaction with FVAP resources. Similar to the responses on the questionnaire we used in 2001, many respondents were not aware of the resources, but those who had used the resources were satisfied with them. Table 1 shows the satisfaction rate of those uniformed absentee voters who used the FVAP resources.

**Table 1. Percent of Satisfaction with FVAP Resources**

| Resource | Percent of Questionnaire Respondents Satisfied |
|---|---|
| *2002-03 Voting Assistance Guide* | 91 |
| FVAP Web site | 87 |
| FVAP toll-free telephone service | 89 |

As we did during the 2001 evaluation, we asked UVAOs to rate their level of satisfaction with five FVAP resources: the *Guide*, *Voting Information News*, the FVAP Web site, the voting information center, and the toll-free telephone service. Of the UVAOs with access to the resources, more than 90 percent found the *Guide*, *Voting Information News*, and the Web site to be useful or somewhat

useful. About 68 percent of the UVAOs that had the voting information center available to them found it useful or somewhat useful. Sixty-three percent of the UVAOs that had the toll-free telephone service available to them found it useful or somewhat useful. The continued existence of high levels of satisfaction demonstrates that the FVAP resources are effective in assisting UVAOs and in educating uniformed absentee voters on the absentee voting process.

The goals of the FVAP Office are to inform and educate uniformed absentee voters of their right to vote. The FVAP Office also fosters voting participation and protects the integrity of the electoral process. The overall voting participation rate for uniformed absentee voters who completed our questionnaires was 46 percent for the November 2002 election. About 9 percent of the respondents who completed our questionnaire voted in person or had planned to vote in person in the United States. We believe that the FVAP Office resources are an integral part of participation by uniformed absentee voters.

## Effectiveness of Service Voting Assistance Programs

Although each Service had a plan for the implementation of its voting assistance program, the effectiveness of the Services' voting assistance programs varied at the 10 locations we visited in 2002. In our opinion, the Service voting assistance programs were partially effective at six locations and ineffective at four locations. Many of the problems we identified for the November 2000 election continued to exist for the November 2002 election, indicating that improvements are still needed in each Service's program. None of the Services fully complied with DoD requirements at the locations visited.

In our opinion, one CONUS Army location we visited had a partially effective voting assistance program and two overseas Army locations had ineffective programs. One Navy location maintained a partially effective program, while another Navy installation and the Navy ship had ineffective programs. However, the commanding officer of the ship, who assumed command in June 2002, volunteered his ship to be included in our evaluation because he desired to implement an effective voting assistance program. Discussion groups with officer and enlisted personnel confirmed that the ship did not have an effective voting assistance program. During our visit, we provided copies of the *Guide*, FPCAs, and FWABs for use during 2003. We commend the commanding officer for his willingness to volunteer his ship for our evaluation and for his initiative to implement an effective voting assistance program.

In our opinion, the three Air Force locations had partially effective voting assistance programs. At the one Marine Corps location we visited, the voting assistance program was partially effective.

The Service voting assistance programs were not fully effective because the Services had not included all requirements of DoD guidance in their implementing guidance and had not provided sufficient command emphasis and program oversight.

**Service Guidance.** Many of the problems that we found during our evaluation of the November 2000 election continued to exist for the November 2002 election. The delayed issuance of DoD Directive 1000.4 is one reason improvements are still needed in each Service's program. Because DoD Directive 1000.4 was not revised until June 2002, it was not realistic to expect the Services to revise and implement their guidance in time to affect voting assistance programs for the 2002 election. The Navy and Marine Corps revised their guidance in August and May 2002, respectively. The Army and the Air Force had not revised their guidance as of March 2003. Because of the timing of the revised DoD Directive, we evaluated the formal Service guidance as well as their voting action plans to determine whether the key requirements of DoD Directive 1000.4 were included. Table 2 provides the results of the assessment for eight criteria from DoD Directive 1000.4 that we consider critical to the success of voting assistance programs.

**Table 2. Comparison of DoD and Service Voting Assistance Program Guidance**

| Requirement of DoD Directive 1000.4 | Service Voting Assistance Program Guidance That Includes DoD Requirements | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | Army | | Navy | | Air Force | | Marine Corps | |
| | REG | VAP | INST | VAP | INST | VAP | Order | VAP |
| Establish the ratio or maximum number of voters that can be represented by UVAOs. | No | No | No | No | Yes | Yes | No | No |
| Ensure command support at all levels for the FVAP. | No | No | Yes | No | No | Yes | Yes | No |
| UVAOs shall ensure that all small and geographically separated units are assisted. | No | No | No | No | No | No | No | No |
| Ensure the in-hand delivery of FPCAs by January 15 of each calendar year to all uniformed absentee voters. | No | No | Yes | No | No | No | No | No |
| Ensure the in-hand delivery of FPCAs by August 15 of even-numbered years to uniformed absentee voters who are serving outside the territorial limits of the United States. | Yes | Yes | No | Yes | Yes | Yes | No | Yes |
| Require the Inspectors General of the Services to review their voting assistance program annually at every level of command to ensure compliance with DoD regulations and public law. | No | Yes | No | No | Yes | Yes | Yes | No |
| Continually evaluate command voting programs. | No | Yes | Yes | No | Yes | No | Yes | No |
| Designate at least one well-advertised fixed location on bases, installations, and ships where absentee voting material and voting assistance is available to all military personnel, family members, and overseas DoD civilian employees. | No | Yes | Yes | No | No | No | No | Yes |

VAP Voting Assistance Plan
REG Regulation
INST Instruction

The Services can improve their programs by including all of the requirements in DoD Directive 1000.4 in their implementing guidance. It is essential that the Services' guidance include, at a minimum, the eight criteria from DoD Directive 1000.4 listed in Table 2. To ensure that requirements are made permanent, the changes should be incorporated in the Services' formal guidance (regulations, instructions, or orders), and not just the voting action plans. The USD(P&R)

needs to oversee the revision of the Services' voting assistance program guidance to ensure all the requirements of DoD 1000.4 are included.

**Service Emphasis and Oversight of the Voting Assistance Programs.** The Services can improve their voting assistance programs by providing more emphasis at all levels of command and by improving Senior Service Voting Representative and Installation Voting Assistance Officer oversight of voting assistance programs. The need for improved emphasis and oversight is supported by the respondents' answers to questions on command emphasis, availability and awareness of UVAOs, availability and awareness of voting resources, UVAO span of control, and training and understanding.

**Command Emphasis.** The questionnaires asked uniformed absentee voters to rate the emphasis placed on voting at their installation or ship. Although 41 percent of the respondents rated command emphasis as sufficient or too much, 59 percent rated the emphasis as not enough or none (insufficient). The perception that local command emphasis was insufficient was higher among junior enlisted respondents. For those respondents who answered the command emphasis question, 72 percent of Army, 67 percent of Navy, 32 percent of Air Force, and 61 percent of Marine Corps personnel stated that command emphasis was not enough or none (insufficient).

In contrast, 82 percent of the UVAOs were satisfied or somewhat satisfied with command emphasis. Although the design of the questionnaires does not allow the establishment of cause and effect relationships, the voting rate was higher for respondents who thought that command emphasis was sufficient than for those who thought command emphasis was insufficient.

**Availability and Awareness of UVAOs.** Uniformed absentee voters' awareness of their UVAO and their perceptions of UVAO services varied. Overall, 58 percent of the uniformed absentee voters who answered our questionnaire stated that they did not know who their UVAO was. Awareness of the UVAO was lower among junior enlisted (about 81 percent). Table 3 shows that the Army and the Navy had the highest percentage of respondents who were unaware of their UVAO. For the locations visited, only the Air Force achieved greater than 50 percent of the respondents knowing who their UVAO was (69 percent). Even the Air Force's level of awareness shows considerable room for improvement.

**Table 3. Awareness of UVAO**

| Service | Percent Unaware Questionnaire Respondents |
|---|---|
| Army | 71 |
| Navy | 67 |
| Air Force | 31 |
| Marine Corps | 56 |

For the respondents who used their UVAO, about 91 percent were satisfied with the availability of their UVAO, had knowledge of the absentee ballot process, and were able to obtain balloting materials.

As we determined in 2001, the high percentage of individuals who did not know their UVAO indicates that those voting assistance programs need improvement and that there was a low level of compliance with DoD and Service regulations. Conversely, those respondents who knew their UVAO reported a high level of satisfaction with their level of voting assistance and greater understanding of the absentee ballot process.

At each DoD installation and ship, the commanding officer has overall responsibility for implementing the policies and procedures of the Service voting assistance program. At nine of the locations we visited, an Installation Voting Assistance Officer had been appointed to organize and direct the local voting assistance program. To assist the Installation Voting Assistance Officer, UVAOs should be appointed to organize and direct voting assistance support. The voting assistance responsibility is a collateral duty for the Installation Voting Assistance Officers and UVAOs.

Table 4 shows the types of support UVAOs provided to uniformed absentee voters, according to the UVAOs who answered our questionnaire.

**Table 4. Types of Specific Support Provided by UVAOs Surveyed**

| Support | Percent of UVAOs Providing Support |
|---|---|
| Conducted workshops or briefings on voting for unit members | 48 |
| Conducted workshops or briefings on voting for family members | 19* |
| Assisted individuals with the voting process | 80 |
| Displayed voting assistance materials | 80 |
| Involved base community organizations in the voting program | 26 |

*Some UVAOs may not have been responsible for providing materials or services to DoD dependents.

**Availability and Awareness of Voting Resources.** The Deputy Secretary of Defense memorandum "Federal Voting Assistance Program—2002-2003," March 26, 2002, requires that commanders and the heads of DoD Components ensure that voting information and materials, such as the *Guide*, FPCAs, and FWABs, are obtained and disseminated in a timely manner.

Approximately 83 percent of the UVAO respondents were somewhat satisfied or satisfied with the quantity of voting materials received and 71 percent were somewhat satisfied or satisfied with the timeliness of voting materials

received. About 71 percent were somewhat satisfied or satisfied with the method for requesting voting materials.

As we did during the 2001 evaluation, we asked UVAOs to rate their level of access to five FVAP Office resources: the *Guide*, *Voting Information News*, the FVAP Web site, the voting information center, and the toll-free telephone service. More than 75 percent of the UVAOs surveyed had access to the *Guide*, *Voting Information News*, and the Web site. However, 40 percent of the UVAOs said the voting information center was not available to them and 36 percent said the toll-free telephone service was not available to them.

**In-Hand FPCA Delivery.** DoD Directive 1000.4 requires the heads of DoD Components to ensure in-hand delivery of FPCAs by:

- January 15 of each year to eligible voters and their voting-age dependents,
- August 15 of even-numbered years to eligible voters (including DoD civilian employees and voting-age dependents) who are serving outside the territorial limits of the United States, and
- September 15 of even-numbered years to eligible voters (including voting-age dependents), in the United States.

In-hand delivery entails placing an FPCA in the hands of all eligible voters on or before the required dates. Senior Service Voting Representatives and Installation Voting Assistance Officers did not always ensure that UVAOs complied with the requirement for in-hand delivery of FPCAs. In fact, some UVAOs were unaware that in-hand delivery was one of the requirements of DoD Directive 1000.4 and Service voting action plans. The Installation Voting Assistance Officers and UVAOs that were aware of the in-hand delivery requirement often mentioned the financial concerns and the time constraints involved in procuring and distributing FPCAs. We recognize the difficulties of ensuring that every uniformed absentee voter receives an FPCA in-hand multiple times and encourage Senior Service Voting Representatives to work with personnel from the Office of the USD(P&R) on alternatives to the multiple in-hand delivery requirements included in DoD Directive 1000.4. Additionally, as the States implement the provisions of the *Help America Vote Act* discussed later in this report, the number of FPCA in-hand delivery requirements may be reduced.

**Awareness of Voting Resources.** The questionnaires asked about uniformed absentee voter awareness of FVAP resources. Similar to 2001, many respondents were not aware of the resources. Table 5 shows the percentage of uniformed absentee voters who were aware of FVAP resources.

| Table 5. Awareness Level of FVAP Voting Assistance Resources | |
|---|---|
| Resource | Percent Aware Questionnaire Respondents |
| *2002-03 Voting Assistance Guide* | 43 |
| FVAP Web site | 40 |
| FVAP toll-free telephone service | 20 |

To its credit, the FVAP Office continued to offer useful tools, but many uniformed absentee voters and UVAOs continued to be unaware of them. For example, 67 percent of Army, 64 percent of Navy, 35 percent of Air Force, and 60 percent of Marine Corps personnel who completed our questionnaire stated that they were unaware of the *Guide*. Additionally, 68 percent of Army, 64 percent of Navy, 43 percent of Air Force, and 69 percent of Marine Corps personnel who completed our questionnaire stated that they were unaware of the FVAP Web site. An even greater percent of the respondents were unaware of the toll-free telephone service. The Services need to do a better job of publicizing available FVAP resources.

**Federal Write-In Absentee Ballot.** Not all surveyed voters were aware of the FWAB. The FWAB is a "back-up" ballot if an overseas registered uniformed absentee voter does not receive his or her regular ballot from the State or territory where they are registered to vote. At all of the locations visited, discussion group participants said they would have participated in the 2002 elections had they known about the FWAB.

Lack of voter awareness of the FWAB was prevalent among all of the discussion groups we met with. About three-quarters of uniformed absentee voters surveyed were not aware of the FWAB. Higher ranking military personnel were generally more aware of the FWAB than lower ranking military personnel. Nearly 5 percent of the questionnaire respondents who were registered to vote said they did not vote because they did not receive an absentee ballot or because they received it too late. Those respondents are eligible users of the FWAB and represent a potential increase in the voting participation rate of our registered respondents. Such a potential increase in voter participation, which is based on awareness and use of a single form, indicates that increased emphasis and training is warranted.

**UVAO Span of Control.** In 2001, we reported that a critical factor in the effectiveness of a Service voting assistance program is the number of people served by the UVAO. We recommended that DoD specify the maximum number of uniformed absentee voters that a UVAO should support. The former Assistant Secretary of Defense (Force Management Policy) agreed that a maximum span of control for UVAOs needed to be established but stated that the span of control should be established by each Service. Revised DoD Directive 1000.4 requires

the head of each DoD Component to establish the ratio or maximum number of voters that can be represented by a voting assistance officer.

Army and Marine Corps guidance states that a UVAO should be appointed down to the company level, which can range from about 60 to 190 soldiers or marines. Navy guidance states that a UVAO should be designated and assigned within each unit of 25 or more permanently assigned members but does not establish a maximum span of control. Air Force policy states that there should be one UVAO for every 20 voters, but the Air Force voting plan allows for an increase of one UVAO for every 40 voters when the needs of the unit warrant the increase.

More than 50 percent of the UVAO respondents stated that they served 100 or more voters during the November 2002 election. About 33 percent of the UVAO respondents served 250 or more voters. About 30 percent of the UVAO respondents stated they were somewhat dissatisfied or dissatisfied with the amount of time they could allot to UVAO duties. As previously stated, voting assistance responsibilities are a collateral duty for all UVAOs. Table 6 shows the span of control by UVAOs who answered our questionnaire.

**Table 6. UVAO Span of Control of Assigned Uniformed Absentee Voters**

| | Fewer Than 25 | 25 to 99 | 100 to 249 | 250 or More |
|---|---|---|---|---|
| Army UVAOs | 0 | 4 | 6 | 10 |
| Navy UVAOs | 6 | 10 | 4 | 2 |
| Air Force UVAOs | 6 | 22 | 7 | 8 |
| Marine Corps UVAOs | 1 | 3 | 1 | 16 |

The wide span of control may explain why large numbers of respondents did not know their UVAO. We believe that the recommendation from our prior report is still valid and that all Services should determine a maximum number of uniformed absentee voters that a UVAO can reasonably expect to serve. Additionally, USD(P&R) oversight of the Services' guidance should include a check to ensure that a maximum span of control is established by each Service. Finally, Service oversight programs should ensure that the maximum span of control is not exceeded.

**Training and Understanding of Voting Assistance Programs.** DoD recognizes the need for voting assistance training. DoD Directive 1000.4 requires that UVAOs receive training during even-numbered years with Federal (Presidential and Congressional) elections. Such UVAO training is to be documented at the installation or base level. DoD Directive 1000.4 also requires that all Service members be trained during years of Federal elections.

**Training UVAOs.** Although the FVAP Office conducted 105 worldwide workshops in 2002, 55 percent of the UVAO respondents had not attended an FVAP seminar or workshop. Also, 71 percent had not attended installation workshops, and 49 percent had not attended either FVAP or installation workshops. In addition, about half of those trained said they had used the voting assistance officer training program available on the FVAP Web site and about half of those trained said they had attended informal briefings. Of the UVAOs that completed our questionnaire, 32 percent had not attended an FVAP or installation workshop or used the FVAP Web site. UVAO respondents stated that being "self-taught" was by far the most common type of UVAO training received. No one in the Services was tracking the training to ensure that all UVAOs were trained at all locations.

**Training Absentee Voters.** Despite FVAP and UVAO training, 69 percent of the uniformed absentee voters answered that they had not received one briefing, training session, or instruction period devoted to the absentee voting procedure for the November 2002 election.

**Uniformed Absentee Voter Understanding of Voting Assistance Programs.** Voter understanding is critical to successful use of absentee ballots. Questionnaire results showed that 47 percent of the uniformed absentee voters surveyed understood the absentee ballot process from a moderate extent to completely. The level of understanding was substantially lower for junior enlisted personnel (24 percent) than for officers (66 percent). Additionally, the understanding level for respondents who had previously voted using an absentee ballot was substantially higher (70 percent) than for those who had not (26 percent).

Providing accessible and trained UVAOs and providing training for absentee voters will improve understanding of absentee voting procedures. Special emphasis should be given to training junior enlisted personnel and individuals who have not previously used an absentee ballot to vote. The absentee ballot process was understood to a moderate extent or more by a higher percentage of respondents who had received training than by those who had not. The Services should consider using various training materials and military settings, such as pre-recorded FVAP videotapes, pre-deployment briefings, command indoctrination, and general military training sessions to maximize training availability and effectiveness.

Just as we reported in our 2001 report, the Services did not provide the command emphasis and oversight needed to ensure that Service voting assistance programs were fully and consistently implemented. Although a general or flag officer held the title of Senior Service Voting Representative in each of the Services, the overall responsibility for managing the voting assistance program was delegated to voting action officers at a lower level. The Service voting action officers promoted voter participation through Web sites, voting action lines, or other means. However, the Services have not developed controls or feedback systems to ensure accountability, command support, and timely dissemination of voting information and materials, or ensured that uniformed absentee voters were served and trained by UVAOs.

Additionally, oversight by Installation Voting Assistance Officers needs improvement. We reviewed the voting assistance program initiatives at installations and inquired about controls or feedback to ensure that Service voting assistance program requirements were met. At the installations we visited that had assigned an Installation Voting Assistance Officer, we found the following examples of weaknesses similar to those reported in our 2001 report.

- Installations do not follow DoD or their own Service's voting assistance program guidance requirements.
- Subordinate units and tenant organizations are not supported by either their host installation or their own chain of command.

## Service Inspector General Assessments

In addition to the IG DoD annual review of the effectiveness and compliance of voting assistance programs, 10 U.S.C. 1566 requires the Inspectors General of the Services to annually assess the effectiveness and compliance of their voting assistance programs. DoD Directive 1000.4 and the DoD Voting Plan also require each Service Inspector General to include command voting assistance programs as an item for specific review at every organizational level. The Directive also requires the Inspectors General of the Services to provide the IG DoD the results of their reviews by January 31 of each year. Those reviews are in Appendixes E, F, G, and H.

We met with Service Inspector General personnel and asked them to consider answers to 11 questions when preparing their reports. The questions we prepared addressed such items as the effectiveness and implementation of the Service voting assistance programs, the adequacy of Service regulations, Service voting assistance program compliance with DoD and Service regulations, and the amount of coverage and emphasis that the Services placed on their voting assistance programs. The questions were intended to provide a level of consistency and focus on some of the elements we considered critical to implementing an effective voting assistance program. The 11 questions are in Appendix I.

**Army Inspector General.** The Army Inspector General submitted the "Assessment of the FY 2002 Army Voting Assistance Program" to the IG DoD on February 25, 2003. Personnel from the Army Inspector General's office performed an assessment at 17 major Army commands and installations and interviewed 53 Installation Voting Assistance Officers and UVAOs. The Army Inspector General concluded that units and installations were not complying with Army guidance. Further, the Army's voting assistance program, at all levels, lacks command emphasis, detailed staff planning, and coordination. The program also lacks effective compliance with current DoD and Army policy guidelines and training. As a result, the execution of the Army's program is inconsistent and ineffectual. The Army Inspector General recommended that installation Inspectors General conduct periodic reviews of installation voting assistance programs. The Army Inspector General also recommended that installation commanders consider appointing DoD civilians as voting assistance officers and

that commanders ensure the widest dissemination of information about their voting assistance program. The Army Inspector General report is in Appendix E.

**Naval Inspector General.** The Deputy Naval Inspector General provided the IG DoD the "Report of Assessment of Navy Voting Assistance Program" on January 31, 2003, and a summary assessment on February 19, 2003. The Naval Inspector General determined that the Navy voting assistance program is in substantial compliance with the majority of DoD Directive 1000.4. Further, the overall program is performing well, however there is room for improvement. The report cites two areas needing improvement as verification of in-hand delivery of FPCAs and better maintenance of a database of UVAOs. The Deputy Naval Inspector General based the assessment on inspections at six locations that were conducted after the Navy issued its August 2002 voting assistance guidance. The Deputy Naval Inspector General also stated that a sampling of commands confirmed universal and aggressive efforts to advertise election and voting information, as well as guidance on how to obtain and submit voting materials. The Deputy Naval Inspector General report is in Appendix F.

**Air Force Inspector General.** The Air Force Inspector General provided the IG DoD an undated report on the "Air Force Voting Assistance Program" on January 28, 2003. The Air Force Inspector General stated that overall Air Force compliance with DoD Directive 1000.4, the Act, and Air Force regulations is satisfactory. The Air Force Inspector General stated that the effectiveness of the voting assistance programs was evaluated at the squadron, group, wing, and command levels through scheduled unit compliance inspections. Since the release of DoD Directive 1000.4, approximately 84 units were inspected. The Air Force Inspector General report is in Appendix G.

**Marine Corps Inspector General.** The Marines Corps Inspector General issued the "Annual Assessment of the Marine Corps Federal Voting Assistance Program for 2002" on January 24, 2003, and provided additional information supporting the assessment on February 27, 2003. The Marine Corps Inspector General concluded that the Marine Corps has an effective voting assistance program and, with the exception of reported discrepancies, is in compliance with DoD Directive 1000.4 and the Act. The Marine Corps Inspector General report is in Appendix H.

## FVAP Office Coordination With States' Election Officials

Each year, the FVAP Office contacts the chief election officials in the States, the District of Columbia, and the territories to propose changes to policy or legislation that would simplify absentee voting procedures. As of December 2002, the FVAP Office was working with the election officials on proposals related to timelines for mailing ballots, expanded use of the FPCA, and restrictions on how early overseas absentee voters can register to vote. The FVAP Office was also working on proposals related to special State write-in absentee ballots and electronic transmission of balloting materials. A detailed discussion of most of the proposals can be found at the FVAP Web site (http://www.fvap.gov).

Based on questionnaire and discussion group results, the FVAP Office should continue to work with the States on standardization and simplification of the absentee ballot process, provide confirmation to absentee voters on receipt of balloting materials, and explore opportunities for increased use of technology to resolve difficulties related to absentee voting. Several of the issues raised by the discussion group participants were directly related to proposals being addressed by the FVAP Office. Because of the FVAP Office's continued coordination with the States, we are not making recommendations on those issues.

**Standardization and Simplification of the Absentee Ballot Process.** Uniformed absentee voters mentioned State registration procedures and requirements as a difficulty when registering to vote absentee versus registering to vote locally. For example, uniformed absentee voters said that the absentee voting process was complicated and they had difficulty maintaining their current mailing address with State election officials. Although standard registration procedures and ballots for absentee voters for all States is not practical in the near future, significant improvements can be made in standardizing and simplifying the process.

**Feedback to Voters on Receipt of Balloting Materials.** One of the more consistent complaints heard during the discussion groups was that uniformed absentee voters generally did not know whether their FPCAs or ballots were received by the State of residency. The FPCA includes a tear-off, pre-addressed card for election officials to return to the voter acknowledging receipt, but some participants who used the FPCA did not receive the acknowledgement card. For the November 2002 election, 7 percent of respondents stated that no response or a delayed response to their FPCA submission was a problem.

**Opportunities for Increased Use of Technological Solutions.** Some of the uniformed absentee voters in our discussion groups suggested the use of the Internet for voter registration and voting. Although widespread Internet voting may not become a reality in the near future, the FVAP Office is continuing to explore opportunities for technological solutions to absentee voting problems.

**Help America Vote Act.** The *Help America Vote Act*, Public Law 107-252, was signed by the President on October 29, 2002. The *Help America Vote Act* amended 10 U.S.C. 1566 and provides assistance to individual States to improve their election systems, including funds for States to replace outdated voting equipment. Public Law 107-252 also provides changes to the Uniformed and Overseas Citizens Absentee Voting Act. Some of the provisions of the *Help America Vote Act* that apply to absent Uniformed Services and overseas voters are as follows.

- A newly created Election Assistance Commission, in consultation with the Secretary of Defense, will study the best practices for facilitating voting by uniformed absentee voters.

- Each State is required to maintain a central office for information regarding registration and absentee voting procedures for uniformed absentee voters.

- FPCAs are to be valid through two regularly scheduled general elections for Federal office and the States are required to provide absentee ballots to the voter for each subsequent election.

- When a uniformed absentee voter submits an FPCA for registration, and the registration is rejected by the State, reasons for the rejection are to be provided to the voter by the State.

- The Services are required to provide resources and time to allow UVAOs to perform their duties: "last day to mail" notifications to uniformed absentee voters; access to information regarding voter registration, absentee ballot requirements, and deadlines; and assistance to uniformed absentee voters.

Although the *Help America Vote Act* was not passed in time to affect the November 2002 election, we believe its provisions will enhance and facilitate the registration and voting process for uniformed absentee voters. We will evaluate DoD responsiveness to the *Help America Vote Act* in the future.

## Conclusion

In our 2001 report, we made numerous recommendations to improve the oversight and effectiveness of the Services' voting assistance programs. We also recommended that DoD oversee Service guidance to ensure consistency with DoD Directive 1000.4. Additionally, we made recommendations to the Services that they establish controls and procedures to ensure voting assistance program continuity, expedient and widespread dissemination of voting materials, and training of uniformed absentee voters. The results of this evaluation show that improvements are still needed.

DoD should continue its efforts to improve oversight of the voting assistance program. Additionally, consistent voting assistance program implementation of DoD requirements by the Services and command emphasis of the program at all levels is crucial. Voting materials and training on absentee voting procedures should be provided as required, with special emphasis for junior enlisted personnel and individuals who have not previously used an absentee ballot to vote. Additionally, properly trained and readily available UVAOs are essential to the success of the FVAP. Because of worldwide operational commitments, effective Service voting assistance programs are important in providing uniformed absentee voters with the tools needed to understand the multi-step process of absentee voting. Without continued emphasis and oversight of this important program, uniformed absentee voters will continue to have difficulty exercising their constitutional right to vote.

## Recommendations, Management Comments, and Evaluation Response

**1. We recommend that the Under Secretary of Defense for Personnel and Readiness provide oversight to ensure that Service voting assistance program regulations are consistent with the requirements established by DoD Directive 1000.4.**

**Under Secretary of Defense for Personnel and Readiness Comments.** The Principal Deputy Under Secretary of Defense for Personnel and Readiness concurred with the recommendation and stated that his office and the Director, Federal Voting Assistance Program will continue to oversee the Services' voting assistance program guidance to ensure consistency with the revised DoD Directive.

**Evaluation Response.** The comments from the Principal Deputy Under Secretary are fully responsive. We believe that oversight of the Services' voting assistance programs will provide a higher degree of continuity with DoD requirements and will enable the Services to increase the effectiveness and compliance of their voting assistance programs.

**2. We recommend that the Secretaries of the Military Departments and the Commandant of the Marine Corps update voting assistance program regulations to be consistent with DoD Directive 1000.4. At a minimum, the Service regulation revisions should include the following eight elements (as detailed in Table 2):**

**a. The maximum number of uniformed absentee voters that can be represented by a Unit Voting Assistance Officer.**

**b. Command support for the Federal Voting Assistance Program at all levels of command.**

**c. Voting assistance support to all small and geographically separated units.**

**d. The in-hand delivery of Federal Post Card Applications by January 15th of each year.**

**e. The in-hand delivery of Federal Post Card Applications by August 15th of even-numbered years to uniformed absentee voters serving outside the territorial limits of the United States.**

**f. Annual Service Inspector General reviews of voting assistance programs at every level of command.**

**g. Continual evaluation of command voting assistance programs.**

**h. Designation of one fixed and well-advertised location where voting material and voting assistance is available to all uniformed absentee voters.**

**Under Secretary of Defense for Personnel and Readiness Comments.** The Principal Deputy Under Secretary of Defense for Personnel and Readiness concurred and stated that no later than May 1, 2003, the Under Secretary would issue a memorandum requiring that the Service voting assistance program regulations, instructions, or orders be consistent with the requirements of DoD Directive 1000.4 and with the DoD Voting Plan. The Principal Deputy Under Secretary also stated that he would provide guidance to the Services on the minimum and maximum span of control for voting assistance officers. The Principal Deputy Under Secretary stated that the FVAP Office will recommend assignment of voting assistance officers to all units with 25 or more members and an additional voting assistance officer for each additional 50 members above the 25-member base.

**Army Comments.** The Army did not comment on the report. We request that the Army provide comments on the final report.

**Navy Comments.** The Assistant Commander, Navy Personnel Command generally concurred with Recommendations 2.b. through 2.h., but did not provide details on specific corrective actions to be taken or dates of completion. The Assistant Commander nonconcurred with Recommendation 2.a. to establish a ratio or maximum number of voters that can be represented by a UVAO. The Assistant Commander stated that the creation of an arbitrary ceiling discounts the "captive audience" effect of a deployable unit. The Assistant Commander, who is also the Navy's Senior Voting Representative, stated that he believed that the effective workforce required to properly support the Navy voting assistance program could best be determined at the command level.

**Air Force Comments.** Although the Director, Learning and Force Development, Deputy Chief of Staff for Personnel did not provide details on specific corrective actions, he stated that the Air Force is in the process of revising Air Force Instruction 36-3107 to include all vital information contained in DoD Directive 1000.4. The Director stated the Instruction would be published before the start of the next election season.

**Marine Corps Comments.** The Inspector General of the Marine Corps concurred with Recommendations 2.a. through 2.c. and 2.f. through 2.h., but did not provide details on specific corrective actions to be taken or dates of completion. The Inspector General nonconcurred with Recommendations 2.d. and 2.e., which reiterate the DoD requirement for in-hand delivery of FPCAs to all uniformed absentee voters. The Inspector General stated that there is no indication that in-hand delivery of the FPCA provides a more effective voting assistance program and that the excess time, effort, staffing, and expense to meet the requirement is considerable.

**Evaluation Response.** The issuance of a memorandum by the Under Secretary requiring the Services to revise the guidance will help ensure the recommendation is fully implemented.

The Navy comments are partially responsive to Recommendations 2.b. through 2.h. The Navy comments are not responsive to Recommendation 2.a. DoD Directive 1000.4 requires that the Services establish a ratio or maximum number

of voters that can be served by a UVAO. We recognize that a "one size fits all" concept will not work in determining how many voters a UVAO should serve because of differences in Service and unit organizational structures. However, we continue to believe that a maximum span of control for UVAOs should be determined by the Services. The response from the Principal Deputy Under Secretary of Defense for Personnel and Readiness further supports our belief. Also, 67 percent of the Navy respondents who completed our questionnaire for the November 2002 election did not know their UVAO. Improving the span of control for Navy UVAOs should provide increased coverage and awareness necessary for Navy uniformed absentee voters to participate in Federal and State elections. We request that the Navy reconsider its position on Recommendation 2.a. See Table 7 for specific requirements for Navy comments on the final report.

The comments from the Air Force are partially responsive. The Air Force did not provide specific comments on Recommendations 2.a. through 2.h. However, we interpret the Air Force statement that the revised Instruction will include all vital information contained in DoD Directive 1000.4 as a concurrence. The Air Force stated that the revised Instruction would be published before the next election season. We request that the Air Force provide a specific date for publication of the revised Instruction. It is unclear whether the Air Force is referring to the 2003 election season or the 2004 Federal election season. We believe that waiting until 2004 to publish the Instruction would not be timely. See Table 7 for specific requirements for Air Force comments on the final report.

The Marine Corps comments are partially responsive to Recommendations 2.a. through 2.c. and 2.f. through 2.h. The Marine Corps comments are not responsive to Recommendations 2.d. and 2.e. In-hand delivery of FPCAs is required by DoD Directive 1000.4. As discussed in the report, we recognize that the in-hand delivery requirement raised concerns and we also recognize the difficulties of ensuring that every uniformed absentee voter received an FPCA in-hand multiple times. As stated in the report, State implementation of the *Help America Vote Act* may reduce the number of required in-hand FPCA deliveries. The Senior Service Voting Representatives could work with the FVAP Office on this issue. We request that the Marine Corps reconsider its position on Recommendations 2.d. and 2.e. See Table 7 for specific requirements for Marine Corps comments on the final report.

**3. We recommend that the Secretaries of the Military Departments and the Commandant of the Marine Corps ensure that the importance of Service voting assistance programs is emphasized at all levels of command. Command emphasis should:**

**a. Require the appointment of Unit Voting Assistance Officers for all units consistent with DoD and Service guidance.**

**b. Stress the importance of Unit Voting Assistance Officer responsibilities and provide adequate time for training and for carrying out Unit Voting Assistance Officer responsibilities.**

**c. Ensure that uniformed absentee voters are informed of the importance of their vote.**

**d. Emphasize the importance of voting assistance workshops, Service and Federal Voting Assistance Program resources, and voting assistance training opportunities at DoD installations and ships.**

**Under Secretary of Defense for Personnel and Readiness Comments.** The Principal Deputy Under Secretary of Defense for Personnel and Readiness concurred, stating that no later than May 1, 2003, the Under Secretary would issue a memorandum to the Services directing Service-wide command emphasis of the voting assistance program.

**Service Comments.** The Assistant Commander, Navy Personnel Command concurred, but did not provide details on specific corrective actions to be taken or dates of completion. The Army, the Air Force, and the Marine Corps did not comment on the recommendation.

**Evaluation Response.** We consider the Navy comments to be partially responsive to the recommendation. See Table 7 for specific requirements for each Service's comments on the final report.

**4. We recommend that the Secretaries of the Military Departments and the Commandant of the Marine Corps require their Senior Service Voting Representatives and Senior Installation Voting Assistance Officers to improve oversight of their voting assistance programs. At a minimum, oversight should ensure that:**

**a. Procedures are established to ensure program coordination and continuity at each installation or ship.**

**b. Uniformed absentee voters receive timely in-hand delivery of Federal Post Card Applications.**

**c. Unit Voting Assistance Officers and uniformed absentee voters are trained during even-numbered years with Federal elections. Special emphasis should be given to providing training to junior enlisted personnel and those who have not previously used an absentee ballot to vote. The Senior Service Voting Representatives and Senior Installation Voting Assistance Officers should develop feedback systems to document the training.**

**d. The number of uniformed absentee voters that Unit Voting Assistance Officers serve is consistent with Service guidance.**

**e. Rosters of Installation Voting Assistance Officers and Unit Voting Assistance Officers, and their designated alternates, are maintained and provide coverage for all units, as required in DoD Directive 1000.4, to include geographically separated units and tenants.**

**Under Secretary of Defense for Personnel and Readiness Comments.** The Principal Deputy Under Secretary of Defense for Personnel and Readiness concurred, stating that the oversight issues in the recommendation will continue to be emphasized by the FVAP Office in DoD Directive 1000.4, the DoD Voting Plan, FVAP Office publications, and FVAP training. He also stated that adherence to DoD and FVAP requirements will continue to be an inspection item for the Service Inspectors General and the IG DoD.

**Service Comments.** The Assistant Commander, Navy Personnel Command concurred, but did not provide details on specific corrective actions to be taken or dates of completion. The Army, the Air Force, and the Marine Corps did not comment on the recommendation.

**Evaluation Response.** We consider the Navy comments to be partially responsive to the recommendation. See Table 7 for specific requirements for each Service's comments on the final report.

See the Management Comments section of the report for the complete text of management comments.

## Management Comments Required

The Services are requested to comment on the items indicated with an X in Table 7.

**Table 7. Management Comments Required**

| Recommendation Number | Service | Concur/ Nonconcur | Proposed Action | Completion Date |
|---|---|---|---|---|
| 2.a. through 2.h. | Army | X | X | X |
| 3.a. through 3.d. | Army | X | X | X |
| 4.a. through 4.e. | Army | X | X | X |
| 2.a. | Navy | X | X | X |
| 2.b. through 2.h | Navy | | X | X |
| 3.a. through 3.d. | Navy | | X | X |
| 4.a. through 4.e. | Navy | | X | X |
| 2.a. through 2.h. | Air Force | | X | X |
| 3.a. through 3.d. | Air Force | X | X | X |
| 4.a. through 4.e. | Air Force | X | X | X |
| 2.a., 2.b., 2.c., 2.f., 2.g., 2.h. | Marine Corps | | X | X |
| 2.d., 2.e | Marine Corps | X | X | X |
| 3.a. through 3.d. | Marine Corps | X | X | X |
| 4.a. through 4.e. | Marine Corps | X | X | X |

## Air Force Comments on Table 2 of the Report and Evaluation Response

**Air Force Comments.** The Director, Learning and Force Development, Deputy Chief of Staff for Personnel did not concur with the information in Table 2 that showed the Air Force voting plan as not requiring continual evaluation of its voter assistance program. The Director stated that the Air Force voting plan, paragraph 2.d.4,[*] requests the Air Force Inspector General to include the voting assistance program as an item for specific review at every level of command. Other than this comment, the Director stated the report accurately reflects the status for the Air Force voting assistance program.

**Evaluation Response.** We agree that the Air Force voting plan requests the Air Force Inspector General to include the voting assistance program as an item for specific review at every level of command. Table 2 reflects that requirement. However, DoD Directive 1000.4 requires the Inspector General reviews (paragraph 5.2.1.8) as well as continual evaluation of command programs (paragraph 5.2.1.9). We confirmed with the FVAP Office that the requirements are separate. In addition, we note that Air Force Instruction 36-3107 also appears to recognize two distinct review requirements. Paragraph 4.1 of the Air Force Instruction requests the Inspector General to include the voting assistance program as an item for specific review at every level of command. Paragraph 4.2 requires the Director of Personnel at each major command to monitor, evaluate, and ensure the success of the FVAP for the major command. Although the Air Force Instruction includes both requirements, in accordance with the DoD Directive, it would be beneficial for the Air Force voting plan to be consistent with the DoD Directive and the Air Force Instruction.

[*] The Air Force comments refer to paragraph 2.d.4 of the Air Force voting action plan. The requirement for Air Force Inspector General reviews is in paragraph 3.d.4.

# Appendix A. Scope and Methodology

We reviewed laws, policies, and guidance dated from August 1981 through October 2002 relating to the absentee ballot process and the Service voting assistance programs. We assessed the FVAP compliance with requirements of the Act, which are general in nature. We also reviewed DoD and Service implementing guidance for their voting assistance programs. We assessed the effectiveness and compliance of each Service's voting assistance program based on perceptions of uniformed absentee voters and the requirements of DoD Directive 1000.4.

We obtained information relating to the voting assistance program for the November 2002 election from the FVAP Office. We interviewed personnel involved with voting assistance programs at the FVAP Office and the Services. We obtained policies and procedures for processing and handling absentee ballots and for instructing uniformed absentee voters on voting requirements and deadlines.

We used overseas demographic information from the Defense Manpower Data Center to select overseas Navy and Air Force installations to be visited. We selected six installations within Europe for the Army, the Navy, and the Air Force (a large and a small installation for each). We also selected one installation within CONUS for the Army, the Air Force, and the Marine Corps. For the Navy, we also selected one ship homeported in Norfolk, Virginia. We coordinated the selection of the overseas Army sites with U.S. Army Europe. One of the Army locations selected had been visited during our 2001 evaluation. Visits were not unannounced because of theater clearance requirements and security concerns.

At the selected installations and ship, we used a two-phased approach to assess the absentee ballot process. The first phase included administering 942 questionnaires to uniformed absentee voters. A copy of the questionnaire is in Appendix B. Nothing in the questionnaire or in the processing of the questionnaires allowed us to identify a specific respondent.

Information gathered from the questionnaires included respondents' perceptions of command emphasis of the voting assistance program, understanding of absentee voting procedures, and problems encountered during the November 2002 election. Answers to many of the questions were based on the respondents' perceptions; the accuracy of those perceptions cannot be validated. Questionnaire respondents also participated in discussion groups, where they were asked to describe their experiences with the absentee ballot process.

The second phase of our assessment involved contacting various levels of voting assistance officers regarding the implementation of the voting assistance program. We interviewed each of the Senior Service Voting Representatives or their action officers. We also interviewed Installation Voting Assistance Officers at each location visited and discussed controls over local absentee voting procedures, the level of assistance provided by UVAOs, and the degree to which the voting assistance program had been implemented. We developed a questionnaire consisting of 10 questions for UVAOs (see Appendix C). We administered

110 questionnaires to UVAOs. The responses provided information related to UVAO training, awareness of and satisfaction with FVAP resources, and problems encountered by voters supported by UVAOs.

For the 10 locations (including one ship) visited, we determined the effectiveness of the voting assistance programs. Our determination was based on a subjective evaluation of how well each installation implemented the voting assistance program to ensure that uniformed absentee voters had an opportunity to exercise their right to vote. We reviewed available documentation and interviewed Installation Voting Assistance Officers and UVAOs. We also based our determination on the results of group discussions with absentee voters at each location.

The evaluation focused on DoD and Service voting assistance programs. The IG DoD does not have authority over the States involved in the process, and this limited the scope of our research on absentee voting issues that were brought to our attention by uniformed absentee voters.

We performed this evaluation from September 2002 through March 2003 according to standards implemented by the IG DoD. Section 1566, title 10, United States Code, requires Service Inspectors General reports to be reflected in the IG DoD report to Congress on the effectiveness and compliance of voting assistance programs. The Service Inspectors General reports are in Appendixes E, F, G, and H. The Service Inspectors General reports were not validated by the IG DoD.

We selected a non-statistical, judgmental sample of six overseas installations in Germany, Italy, and the United Kingdom; three CONUS installations; and one Navy ship. Visits to the nine installations and one ship were conducted from October 23, 2002, through January 9, 2003. DoD civilians assigned to the 10 locations were not included in our evaluation. Additionally, we did not include U.S. citizens who reside near the six overseas locations that we selected for evaluation in our selection criteria.

In a statistical sense, the representativeness of a sample is determined by whether the method of its selection was random or involved human judgment. Our samples were judgmental. The results of the questionnaires discussed in this report are representative only of the questionnaire respondents and should not be generalized to the entire DoD or any Service. In addition, the numerical results of our questionnaires from our 2001 evaluation should not be compared with the results of the questionnaires from this evaluation.

We divided the installations in our sampling universe by Service and then into two strata to ensure coverage of large and small installations. For the Army, the Navy, and the Air Force, we selected one large and one small overseas installation using population data for active duty personnel provided to us by the Defense Manpower Data Center. For the Marine Corps, we selected one large CONUS installation. We also included in our selection an Army CONUS installation, a Navy ship, and an Air Force CONUS installation.

Questionnaires were administered to judgmentally selected units at each location. Prior to our visits, we requested information from the installation and ship points of contact on total populations and unit populations. For the locations visited, we selected a judgmental sample of units that represented at least 20 percent of the total population (some locations only had one assigned unit). We then requested that 75 active duty personnel (25 junior enlisted, paygrades E-1 through E-4; 25 senior enlisted, paygrades E-5 through E-9; and 25 officers) from our sample units be available to respond to our questionnaire and participate in our discussion groups. At all locations, we requested that as many active duty dependents and UVAOs as possible also respond to our questionnaires and participate in our discussion groups. Participation did not always include the full number of requested personnel. Because of the low number of dependent participants, the dependent responses are included with the Service member responses and are considered part of the uniformed absentee voter population throughout this report.

**Analytical Approach.** We input each individual questionnaire into a computer data file. The records in the data file do not identify the participating personnel. We then transmitted the data file to members of the Quantitative Methods Division, IG DoD, for analysis.

Our overall analytical approach to the responses was based on using the information collected with minimum modification. We applied edits to ensure the internal consistency of each individual's responses. We performed the edits and the analyses of the responses using the Statistical Analysis System, version 8.

Specifically, we employed the following edits to produce the results contained in this report. Both of the edits apply to the responses of uniformed absentee voters.

- If an individual indicated that he or she was unaware of a particular FVAP voting resource, then any satisfaction rating given for that resource was deleted.

- If an individual indicated that he or she did not know who the UVAO was, then any response given regarding the performance of the UVAO was deleted.

**Use of Computer-Processed Data.** We relied on computer-processed data from the Defense Manpower Data Center to establish relative sizes of installation populations. We also relied on computer-processed data for unit populations at installations visited. Because we are not projecting the questionnaire results to the universe, the accuracy of the databases is not relevant to the evaluation results and we did not evaluate their accuracy.

**Use of Technical Assistance.** Personnel from the Quantitative Methods Division of the IG DoD assisted with questionnaire development and data analysis.

## Management Control Program Review

DoD Directive 5010.38, "Management Control (MC) Program," August 26, 1996, and DoD Instruction 5010.40, "Management Control (MC) Program Procedures," August 28, 1996, require DoD organizations to implement a comprehensive system of management controls that provides reasonable assurance that programs are operating as intended and to evaluate the adequacy of the controls.

**Scope of the Review of the Management Control Program.** We reviewed controls related to the adequacy of policies and the oversight of the implementation of the Service voting assistance programs to ensure that uniformed absentee voters were provided the maximum opportunity to vote. We also assessed the Services' self-evaluation applicable to those controls.

**Adequacy of Management Controls.** We identified management control weaknesses in the Service voting assistance programs as defined by DoD Instruction 5010.40 regarding the compliance with laws and regulations prescribed for Service voting assistance programs. The Services did not have adequate policy and oversight to ensure that all uniformed absentee voters were informed and trained on all aspects of absentee voting or that they were given maximum opportunity to exercise their right to vote. Recommendations 1. through 4., if implemented, will improve the policy, oversight, and implementation of the voting assistance programs. Because of the limited number of locations visited, we are not making a judgment on the materiality of the weaknesses identified. A copy of the report will be provided to the senior official responsible for management controls in the Office of the USD(P&R), the Army, the Navy, the Air Force, and the Marine Corps.

**Adequacy of Management Self-Evaluation.** The Army, the Air Force, and the Marine Corps did not identify voting assistance programs as an assessable unit. The Navy included its voting assistance program as an assessable unit for review and relied on required scheduled inspections to assess the program. The Navy inspections did not identify the weaknesses identified by this evaluation. None of the Services identified or reported management control weaknesses in their voting assistance programs on their annual statements of assurance.

## Prior Coverage

During the last 5 years, the General Accounting Office (GAO), the IG DoD, and the Department of State have issued four reports discussing the FVAP and overseas absentee voting. Unrestricted GAO reports can be accessed over the Internet at http://www.gao.gov. Unrestricted IG DoD reports can be accessed at http://www.dodig.osd.mil/audit/reports.

## GAO

GAO Report No. 01-1026, "Voting Assistance to Military and Overseas Citizens Should Be Improved," September 28, 2001

GAO Report No. 01-470, "Elections: The Scope of Congressional Authority in Election Administration," March 2001

## IG DoD

IG DoD Report No. D-2001-145, "Overseas Absentee Ballot Handling in DoD," June 22, 2001

## Department of State

United States Department of State Report No. 01-FP-M-045, "Review of Implementation of the Federal Voter Assistance Program," August 2001

# Appendix B. Uniformed Absentee Voter Questionnaire



## Overseas Absentee Ballot Questionnaire — Active Duty

### Concerns About This Questionnaire

**Will my questionnaire responses be kept anonymous?** Yes. There is no information being collected that could be used to identify individuals. Your responses will be combined with information from other DoD personnel to report the views and experiences of groups of personnel. Do not use any personal names anywhere on this questionnaire.

**Why me?** Installations have been selected to solicit information from DoD personnel regarding the overseas absentee ballot process. Information collected in this questionnaire will be used to report DoD personnel awareness and satisfaction with the overseas absentee ballot voting process. Your responses are important to provide us with insights to this process.

### Privacy Notice

**Authority:** This questionnaire is being conducted by the IG, DoD under authority of the National Defense Authorization Act for FY 2002.

**Principal Purpose:** Information collected in this questionnaire will be used to determine DoD personnel awareness, satisfaction, and understanding of the overseas absentee ballot voting process. This information may assist in the formulation of policies to improve the overseas absentee ballot voting process.

**Routine Uses:** None.

**Disclosure:** Providing information on this questionnaire is voluntary. There is no penalty if you choose not to respond. However, maximum participation is encouraged. Your questionnaire form is anonymous. No identifying information is being collected that could identify individuals. Only summary information will be reported.

### Completing This Questionnaire

- **This is not a test.**
- **Use a blue or black pen or dark pencil.**
- **Select answers that you believe are most appropriate.**
- **Fill in the appropriate circle or circles.**

### Demographic & Voting Questions

1. **What is your/your sponsor's service?** *Fill in one circle.*
   - O Army
   - O Navy
   - O Marine Corps
   - O Air Force

2. **What is your/your sponsor's rank?** *Fill in one circle.*
   - O E1 – E4
   - O E5 – E9
   - O WO1 –WO5 or O1 – O10

3. **While in the military, how many times have you voted absentee?** *Fill in one circle.*
   - O 0
   - O 1
   - O 2
   - O 3 - 4
   - O 5 or more

4. **Overall, at your installation or ship how much emphasis was placed on voting during the November 2002 election?** *Fill in one circle.*
   - O Too much
   - O Sufficient
   - O Not enough
   - O None

5. **In the past six months have you observed voting coverage or obtained voting information from the following media sources?** *Fill in* ***all*** *circles that apply.*

| Yes | No | | |
|---|---|---|---|
| O | O | a. | Armed Forces Network |
| O | O | b. | Radio |
| O | O | c. | Internet |
| O | O | d. | Newspapers |
| O | O | e. | Unit Briefings |
| O | O | f. | Friend |
| O | O | g. | Mailings |
| O | O | h. | Voting drives |
| O | O | i. | Posters |
| O | O | j. | Other |

6. **Were you aware of the voting and communication tools listed below?** *Fill in* ***one*** *circle for* ***each*** *item.*

| Fully aware | Somewhat aware | Unaware | | |
|---|---|---|---|---|
| O | O | O | a. | **The Federal Voting Assistance Program website that provides voting-related information and resources** |
| O | O | O | b. | **The DOD 2002-03 *Voting Assistance Guide* that provides state by state information that enables you to register and vote absentee** |
| O | O | O | c. | **The Federal Voting Assistance Program toll-free telephone service that allows a caller to talk with the Federal Voting Assistance Program Staff for voting information or assistance** |

7. **Overall, how satisfied were you with the following voting information and communication tools during the November 2002 election?** *Fill in* ***one*** *circle for* ***each*** *item.*

| Did not use | Satisfied | Somewhat satisfied | Somewhat dissatisfied | Dissatisfied | | |
|---|---|---|---|---|---|---|
| O | O | O | O | O | a. | **The Federal Voting Assistance Program website that provides voting-related information and resources** |
| O | O | O | O | O | b. | **The DOD 2002-03 *Voting Assistance Guide* that provides state by state information that enables you to register and vote absentee** |
| O | O | O | O | O | c. | **The Federal Voting Assistance Program toll-free telephone service that allows a caller to talk with the Federal Voting Assistance Program Staff for voting information or assistance** |

8. **For the November 2002 election, did you receive at least one briefing, training, or instruction period devoted to the absentee ballot registration and voting process?** *Fill in* ***one*** *circle.*
   - O Yes
   - O No

9. **To what extent did you understand the absentee ballot process during the November 2002 election?** *Fill in* ***one*** *circle.*
   - O Completely
   - O Large extent
   - O Moderate extent
   - O Small extent
   - O Not at all

10. **Overall, how easy or difficult did you find the absentee voting process for the November 2002 election?** *Fill in* ***one*** *circle.*
    - O I did not vote by absentee ballot in the November 2002 election
    - O Easy
    - O Somewhat easy
    - O Somewhat difficult
    - O Difficult

11. **Did you know who your Unit Voting Assistance Officer was for the November 2002 election?** *Fill in* ***one*** *circle.*
    - O Yes
    - O No→***SKIP TO QUESTION 13***

12. **How satisfied were you with the performance of your Unit Voting Assistance Officer in the following areas?** *Fill in* ***one*** *circle for* ***each*** *item.*

| Did not use | Satisfied | Somewhat satisfied | Somewhat dissatisfied | Dissatisfied | | |
|---|---|---|---|---|---|---|
| O | O | O | O | O | a. | **Availability to provide assistance** |
| O | O | O | O | O | b. | **Knowledge of the election process** |
| O | O | O | O | O | c. | **Provided materials upon request** |

13. **Were you registered to vote in the November 2002 election?** *Fill in* ***one*** *circle.*
    - O Yes
    - O No→***SKIP TO QUESTION 15***

14. **In what month did you request your absentee ballot?** *Fill in* ***one*** *circle.*
    - O Did not request an absentee ballot
    - O July or earlier
    - O August
    - O September
    - O October
    - O November
    - O Do not recall

**15. Were you aware that the Federal Write-In Absentee Ballot (Standard Form 186) is a back-up ballot used if you were overseas and you did not receive your regular absentee ballot?** *Fill in one circle.*

- O Yes
- O No
- O Don't know

**16. Did you use the Federal Write-In Absentee Ballot in the November 2002 election?** *Fill in one circle.*

- O Yes
- O No
- O Don't know

**17. The following are potential problems about the absentee ballot voting process. Which, if any, applied to you during the November 2002 election?** *Fill in all circles that apply.*

- O a. Voting procedures complicated
- O b. Federal Post Card Application (FPCA) confusing
- O c. No response/delayed response to FPCA
- O d. FPCA returned because it was not accepted by election officials
- O e. Having to submit FPCA twice to register and to request a ballot
- O f. Having to submit FPCA for primary and general elections
- O g. Having to complete FPCA and State registration forms
- O h. Absentee ballot confusing
- O i. Federal Write-In Absentee Ballot (FWAB) confusing
- O j. Voting assistance guide confusing
- O k. Not enough information on candidates/issues
- O l. Difficulty in maintaining current mailing address with local election officials
- O m. No way to know if election officials received FPCA
- O n. Difficult to have FPCA or ballot notarized
- O o. Absentee ballot arrived too late
- O p. Absentee ballot never arrived
- O q. Other—*Please specify*: _____
- O r. I did not have any problems

**18. Did you vote in the November 2002 election?** ***Fill in one circle.***

- O Yes, I voted in person→***DO NOT ANSWER QUESTIONS 19 OR 20***
- O Yes, I voted by absentee ballot→***DO NOT ANSWER QUESTIONS 19 OR 20***
- O No, but I plan to vote in person→***DO NOT ANSWER QUESTIONS 19 OR 20***
- O No, but I plan to vote by absentee ballot→***DO NOT ANSWER QUESTIONS 19 OR 20***
- O No, I did or will not vote→***ANSWER QUESTIONS 19 AND 20***

**19. Which of the following were reasons why you did or will not vote in the November 2002 election?** *Fill in all circles that apply.*

- O a. I did not think I was eligible to vote
- O b. I did not know about the election
- O c. I knew about the election, but was not interested in voting
- O d. I was not familiar with the candidates or issues
- O e. I had no candidate preference
- O f. I did not think my vote would matter
- O g. I did not know how to get an absentee ballot
- O h. I did not know my state of legal residence for voting
- O i. My absentee ballot arrived too late
- O j. My absentee ballot did not arrive at all
- O k. The requirement for notarization of election materials was too difficult
- O l. I was discouraged by the process of absentee voting
- O m. I was concerned that voting might affect my Federal or State tax obligation
- O n. Other—*Please specify*: _____

**20. Of the reasons listed in Question 19, write the letter ("a" through "n") that was the most important reason that you did not vote in the November 2002 election.**
Letter corresponding to most important reason: _____

# Appendix C. UVAO Absentee Ballot Questionnaire



## Overseas Absentee Ballot Questionnaire—Unit Voting Assistance Officers

### Concerns About This Questionnaire

**Will my questionnaire responses be kept anonymous?** Yes. There is no information being collected that could be used to identify individuals. Your responses will be combined with information from other Unit Voting Assistance Officers to report the views and experiences of groups of personnel. Do not use any personal names anywhere on this questionnaire.

**Why me?** Installations have been selected to solicit information from Unit Voting Assistance Officers regarding the overseas absentee ballot process. Information collected in this questionnaire will be used to report your awareness and satisfaction with the overseas absentee ballot voting process. Your responses are important to provide us with insights to this process.

### Privacy Notice

**Authority:** This questionnaire is being conducted by the IG, DoD under authority of the National Defense Authorization Act for FY 2002.

**Principal Purpose:** Information collected in this questionnaire will be used to determine DoD personnel awareness, satisfaction, and understanding of the overseas absentee ballot voting process. This information may assist in the formulation of policies to improve the overseas absentee ballot voting process.

**Routine Uses:** None.

**Disclosure:** Providing information on this questionnaire is voluntary. There is no penalty if you choose not to respond. However, maximum participation is encouraged. Your questionnaire form is anonymous. No identifying information is being collected that could identify individuals. Only summary information will be reported.

### Completing This Questionnaire

- **This is not a test.**
- **Use a blue or black pen or dark pencil.**
- **Select answers that you believe are most appropriate.**
- **Fill in the appropriate circle or circles.**

### Demographic & Voting Questions

1. **Are you a service member or a civilian?** *Fill in one circle.*
   - O Army
   - O Navy
   - O Marine Corps
   - O Air Force
   - O Civilian→*(SKIP TO QUESTION 3)*

2. **What is your paygrade group?** *Fill in one circle.*
   - O E1 – E4
   - O E5 – E9
   - O WO1 –WO5 or O1 – O10

3. **How many people were you assigned to serve as a Unit Voting Assistance Officer during the 2002 election?** *Fill in one circle.*
   - O Fewer than 25
   - O 25 - 99
   - O 100 - 249
   - O 250 or more

4. **Are you aware of the changes made to DoD Directive 1000.4 as related to the voting assistance program?** *Fill in **one** circle.*
   - O Yes
   - O No

5. **Please rate the usefulness of the following types of training you may have received for your duties as Unit Voting Assistance Officer.** *Fill in **one** circle for **each** item.*

   *--Did not receive this training*
   *| --Useful*
   *| | --Somewhat useful*
   *| | | --Not useful at all*
   *| | | |*

   O O O O **a. Federal Voting Assistance Program voting workshop/seminar**
   O O O O **b. Federal Voting Assistance Program website Voting Assistance Officer training**
   O O O O **c. Installation workshop/seminar**
   O O O O **d. Informal briefing(s)**
   O O O O **e. Self-taught with voting materials**
   O O O O **f. Other—*Please specify:*** _____
   _____

6. **How useful were the following tools to you as the Unit Voting Assistance Officer?** *Fill in **one** circle for **each** item.*

   *--Not available to me*
   *| --Useful*
   *| | --Somewhat useful*
   *| | | --Not useful at all*
   *| | | |*

   O O O O **a. 2002-03 Voting Assistance Guide**
   O O O O **b. Voting Information News**
   O O O O **c. Federal Voting Assistance Program Website**
   O O O O **d. Voting Information Center**
   O O O O **e. Toll-free telephone service**

7. **As a Unit Voting Assistance Officer, did you perform any of the following activities during the November 2002 election process?** *Fill in **one** circle for **each** item.*

   *--Yes*
   *| --No*
   *| |*

   O O **a. Conducted workshops/briefings on voting for unit members**
   O O **b. Conducted workshops/briefings on voting for family members**
   O O **c. Conducted workshops/briefings on voting for civilians**
   O O **d. Made the Federal Post Card applications available to voters by August 15, 2002**
   O O **e. Assisted individuals with the voting process**
   O O **f. Displayed voting information materials**
   O O **g. Involved on-base community organizations in the voting program**

8. **How satisfied were you with each of the following as you performed your Unit Voting Assistance Officer duties?** *Fill in **one** circle for **each** item.*

   *--Satisfied*
   *| --Somewhat satisfied*
   *| | --Somewhat dissatisfied*
   *| | | --Dissatisfied*
   *| | | |*

   O O O O **a. Amount of time available for performing Unit Voting Assistance Officer duties**
   O O O O **b. Command support for the voting program**
   O O O O **c. Quantity of voting materials available**
   O O O O **d. Timeliness of receipt of voting materials**
   O O O O **e. Method of requisitioning voting materials**

9. **Please identify all complaints you heard from people in your unit concerning registering to vote or obtaining an absentee ballot.** *Fill in **all** circles* that apply.
   - O a. Voting procedures complicated
   - O b. Federal Post Card Application (FPCA) confusing
   - O c. No response/delayed response to FPCA
   - O d. FPCA returned because it was not accepted by election officials
   - O e. Having to submit the FPCA twice: to register and to request a ballot
   - O f. Having to submit the FPCA for the primary and general elections
   - O g. Having to complete the FPCA and state or territory registration forms
   - O h. Absentee ballot confusing
   - O i. Federal Write-In Absentee Ballot confusing
   - O j. *Voting Assistance Guide* confusing
   - O k. Residency qualification/laws confusing
   - O l. Not enough information on candidates/issues
   - O m. Difficulty in maintaining current mailing address with local election officials
   - O n. No way to know if election officials received the FPCA
   - O o. Difficult to have the FPCA or ballot notarized
   - O p. Absentee ballot arrived too late
   - O q. Absentee ballot never arrived
   - O r. Other—*Please specify*: _____
     _____
   - O s. I did not have any complaints

10. **Of the complaints listed in Question 9, write the letters ("a" through "s") of the 3 complaints that you heard most frequently.** *Please specify.*
    Letter corresponding to most frequent complaint: ____
    Letter corresponding to 2nd most frequent complaint: ____
    Letter corresponding to 3rd most frequent complaint: ____

# Appendix D. Commands, Installations, and Ship Visited

## Office of the Secretary of Defense

Federal Voting Assistance Program Office, Washington, D.C.

## Department of the Army

U.S. Total Army Personnel Command, Alexandria, Virginia
The Adjutant General Directorate, Alexandria, Virginia
U.S. Army, Europe, and Seventh Army, Heidelberg, Germany
1st Personnel Command, Schwetzingen, Germany
26th Area Support Group, Heidelberg, Germany
293rd Base Support Battalion, Mannheim, Germany*
100th Area Support Group, Grafenwoehr, Germany
409th Base Support Battalion, Grafenwoehr, Germany*
Fort Carson, Colorado*

## Department of the Navy

Headquarters, U.S. Marine Corps, Quantico, Virginia
Headquarters, U.S. Naval Activities, United Kingdom*
U.S. Naval Support Activity, Naples, Italy*
Navy Personnel Command, Millington, Tennessee
Marine Corps Base Camp Lejeune, North Carolina*
USS *Leyte Gulf* (DDG 55)*

## Department of the Air Force

Deputy Chief of Staff for Personnel, Washington, D.C.
Air Force Personnel Center, Randolph Air Force Base, Texas
Royal Air Force Croughton, United Kingdom*
Aviano Air Base, Italy*
Langley Air Force Base, Virginia*

*Locations where uniformed absentee voter and UVAO questionnaires were administered.

# Appendix E. Department of the Army Inspector General Report

**DEPARTMENT OF THE ARMY**
**OFFICE OF THE INSPECTOR GENERAL**
**1700 ARMY PENTAGON**
**WASHINGTON DC 20310-1700**

SAIG-ZA 6 February 2003

MEMORANDUM THRU

~~DIRECTOR OF THE ARMY STAFF~~ 11 Feb 03

~~VICE CHIEF OF STAFF, ARMY~~

~~FOR CHIEF OF STAFF, ARMY~~ 16 Feb 03

SUBJECT: Special Interest Item -- Assessment of the FY 2002 Army Voting Assistance Program

1. **Purpose:** To provide the CSA results of the Inspector General's assessment of the Army's Voting Assistance Program.

2. **Background:**

a. The Voting Assistance Program IAW AR 608-20, dated 15 August 1981 and the Department of Defense 2002-2003 Voting Assistance Guide, informs and educates U.S. citizens worldwide of their right to vote, fosters voter participation, protects the integrity of, and enhances, the electoral process at the Federal, state and local levels.

b. The Department of the Army Inspector General (DAIG) inspection team assessed the Army's Voting Assistance Program as a Special Interest Item during the FY 2002 Inspection of the Army's Antiterrorism Program. Initial notification of the inspection was provided to inspected units in a memorandum dated 24 August 2001.

3. **Inspection Goal:** The goal of the FY 2002 DAIG Voting Assistance Assessment was to evaluate the effectiveness of the Army's Voting Assistance Program and compliance with Army and Department of Defense (DOD) directives.

4. **Inspection Methodology:** To achieve the inspection goal, the DAIG inspection team interviewed (53) unit/installation Voting Assistance Officers (VAOs) at CONUS and OCONUS locations worldwide. The FY 2002 Voting Assistance Assessment looked only at the Active Component's (AC) implementation of the Army's Voting Assistance Program. The DAIG inspection team gathered information based on their observations, document reviews, and personal interviews with unit (MACOM to battalion) and installation VAOs. Each Army organization was inspected IAW responsibilities listed in AR 608-20 and the Department of Defense 2002-2003 Voting Assistance Guide. The

Printed on Recycled Paper

SUBJECT: Special Interest Item -- Assessment of the FY 2002 Army Voting Assistance Program

DAIG inspection team developed the Voting Assistance Questionnaire with assistance from the DOD and Personnel Command's (PERSCOM) Army Voting Assistance Representative (See Enclosure). Not included

5. **Inspection Results:**

a. The Inspector General determined that units and installations are not complying with instructions provided in AR 608-20 and the 2002-2003 Voting Assistance Guide. The Army's Voting Assistance Program, at all levels, lacks command emphasis, detailed staff planning, and coordination. The program also lacks effective compliance with current DOD and Army policy guidelines and training. As a result, execution of the Army's Voting Assistance Program is inconsistent and ineffectual.

(1) AR 608-20 requires revision due to inconsistencies with current DOD guidance.

(2) VAO programs were not properly documented.

(3) VAO programs lacked continuity and program responsibility was often left unassigned.

(4) The majority of VAOs (74%) provided insufficient oversight and guidance to subordinate VAOs.

b. There is no standard Army VAO training course and, as a result, VAOs must rely on the DOD Federal Voting Assistance Program Training MTT that is provided to all services upon request. DOD sponsors a web-based VAO training course that provides VAO instructions in a user-friendly "distance-learning" format. However, most VAOs were not aware that this training was available.

(1) Many VAOs (43%) had less than three months time in position, which significantly impacted program continuity.

(2) Most VAOs (62%) lacked a clear understanding of their duties and responsibilities.

(3) Some VAOs (42%) attended a half-day DOD Federal Voting Assistance Program Training Course Mobile Training Team (MTT). This course provided training to CONUS and OCONUS units and installations prior to General Elections held in November 2002.

2

(4) GOOD NEWS: The DOD Voting Assistance Website: www.fvap.ncr.gov is an excellent source to obtain information, ask questions, and get assistance.

c. The Voting Assistance Program lacks effective advertisement:

(1) Most VAOs (75%)did not have a proactive Voting Assistance advertisement campaign plan.

(2) Almost all VAO (75%) Point of Contact (POC) telephone numbers were not published in the unit/installation telephone directory.

(3) Most VAOs (57%) failed to order voting posters, forms, and election calendars.

d. Almost all VAOs (75%) failed to provide voting assistance to deployed soldiers. Voting Assistance Plans/SOPs did not include procedures to process or track absentee ballots for deployed soldiers.

6. **Root Cause:**

a. The Army Voting Assistance Program lacks continuity to ensure VAOs are assigned for extended periods of time to effectively administer the program.

b. The program lacks command emphasis from senior leaders and commanders throughout the Army.

c. The program lacks oversight and guidance from Senior Voting Assistance Officers at the installation and higher headquarters.

d. VAOs have failed to comply with current voting assistance policy and guidance.

7. **Recommendations:**

a. **HQDA G1**. Update the 15 August 1981 version of AR 608-20, Voting by Personnel of the Armed Forces.

b. **Installation Inspectors General.** Conduct periodic reviews of unit and installation Voting Assistance Programs and provide commanders feedback on compliance with DOD and Army directives.

c. **Installation Commanders:** Consider giving DA civilians the additional duty of Voting Assistance Officer in order to maintain program continuity.

d. **Commanders:** Ensure widest dissemination of the program to include publishing VAO names, unit locations, and phone numbers in the local phone directories.

e. **Installation VAOs:**

(1) Implement a standard policy requiring documentation of training and re-certification of VAOs at least annually.

(2) Utilize the 2002-2003 DOD Voting Assistance website and the Army's Adjutant General's Voting Assistance Packet, dated 13 June 2002.

(3) Provide oversight to subordinates, advertise the program, and schedule/track subordinate training.

(4) Develop and implement procedures in Voting Assistance Plans to address voting assistance provided to deployed soldiers, i.e. process and tracking of absentee ballots.

f. **DAIG:** Provide a copy of this memorandum to the DODIG .

Encl

PAUL T. MIKOLASHEK
Lieutenant General, USA
The Inspector General

CSA Decision:

Approved: _____ 16 Feb 03

Disapproved: _____

Other: _____

COL Stanley Meyer/703-601-1100

# Appendix F. Department of the Navy Inspector General Report

**DEPARTMENT OF THE NAVY**
**NAVAL INSPECTOR GENERAL**
**1014 N STREET SE SUITE 100**
**WASHINGTON NAVY YARD DC 20374-5006**

**IN REPLY REFER TO:**

1742
Ser N33/254
19 FEB 2003

From: Naval Inspector General
To: Department of Defense Inspector General

Subj: REPORT OF ASSESSMENT OF NAVY VOTING ASSISTANCE PROGRAM

Ref: (a) DoD Directive 1000.4
(b) NAVINSGEN ltr 1742 Ser N33/166 of 31 Jan 03

1. The Naval Inspector General hereby reports the Navy Voting Assistance Program is in substantial compliance with the majority of reference (a). Based on observations from sites we visited, (Gulfport, Pascagoula, and Meridian in Mississippi; and Norfolk, Oceana, and Little Creek in Virginia) the overall program is performing well, however there is room for improvement. Specific areas noted in reference (b) requiring additional attention include: establishing a linked network of VAOs/VOs and verification of in-hand delivery of voting materials.

2. My point of contact for voting issues is CAPT Mark Boettcher. He can be reached at 202-433-6641 or email at mark.boettcher@navy.mil.

JILL VINES LOFTUS
Deputy

Copy to:
COMNAVPERSCOM (PERS-6)

**DEPARTMENT OF THE NAVY**
**NAVAL INSPECTOR GENERAL**
**1014 N STREET SE SUITE 100**
**WASHINGTON NAVY YARD DC 20374-5006**

**IN REPLY REFER TO:**

1742
Ser N33/166
31 JAN 2003

From: Naval Inspector General
To: Department of Defense Inspector General

Subj: REPORT OF ASSESSMENT OF NAVY VOTING ASSISTANCE PROGRAM

Ref: (a) DoD Directive 1000.4 of 3 Jun 02

Encl: (1) Report of Assessment

1. In accordance with reference (a), enclosure (1) is submitted as the annual assessment of the Navy Voting Assistance Program.

2. My point of contact for voting issues is CAPT Mark Boettcher. He can be reached at (202) 433-6641 or email at mark.boettcher@navy.mil.

JILL VINES LOFTUS
Deputy

Copy to:
PERS-6

**NAVAL INSPECTOR GENERAL'S REPORT OF ASSESSMENT OF THE NAVY'S VOTING ASSISTENCE PROGRAM**

1. What is your assessment of your Service's overall compliance with:

a. DoD Directive 1000.4?

- The Navy Voting Assistance Program is in compliance with the majority of DoD Directive 1000.4. Areas needing improvement are verification of in-hand delivery of appropriate forms for voting and maintaining an accurate database of all Voting Assistance Officers (VAOs) and Voting Officers(VOs). Although verification of in-hand delivery of voting materials has been deficient, a sampling of commands has confirmed universal and aggressive efforts to advertise throughout commands election and voting information, as well as clear guidance on how to obtain and submit voting materials. Work on establishing a linked network of VAOs/VOs is proceeding with a target establishment date in June 2003. The suggested FVAP ratio of 25:1 is impractical to implement and a case-by-case consideration of exceptions to this ratio should be allowed. Finally, the recommended pay-grades for the SVAO and Unit VAO are too high and should be lowered.

b. The Uniformed and Overseas Citizen Absentee Voting Act?

- The Navy Voting Assistance Program (NVAP) is in compliance with the Uniformed and Overseas Citizen Absentee Voting Act.

2. The revised DoD Directive 1000.4 requires Service Inspectors General to review their voting assistance programs annually at every level of command to ensure compliance with DoD regulations and public law.

a. Explain the scope of your inspection at each level of command.

- Review of the NVAP is part of the Naval Inspector General inspection program. Second echelon commands are inspected approximately every three to five years. Second Echelon IGs review the NVAP as part of their inspection program. The Naval Inspector General also conducts approximately 6 geographic Area Assessment a year during which a review of the Command Voting Assistance Program is conducted from a sampling of commands at all echelons in geographic areas of Fleet concentration.

Enclosure (1)

OPNAVINST 1742.1 sets forth a checklist used during these inspections to uniformly review compliance with the DoD Directive and the Uniformed and Overseas Citizens Absentee Voting Act.

b. Discuss how much of your work was based on the September 4, 1996, DoD Directive 1000.4 and Service implementing regulations versus the revised DoD Directive and subsequent revisions to Service regulations.

- Prior to the 2002 Directive, the Naval Inspector General reviewed the Navy Voting Assistance Program through the inspection process of second echelon commands. Under new Service regulations the review is also conducted at all echelons during Area Assessments. The OPNAVINST 1742.1 checklist also now guides the review.

3. Has the Service revised its written policy to be consistent with the new DoD Directive 1000.4?

- Yes, by promulgation of OPNAVINST 1742.1 of 14 August 2002, Subj: NAVY VOTING ASSISTANCE PROGRAM.

4. Discuss the procedures used to ensure that all Unit Voting Assistance Officers receive adequate training on the Federal Voting Assistance Program (FVAP).

- Per OPNAVINST 1742.1, all VAOs/VOs are directed to participate in FVAP training. The NVAP coordinates this training at various Naval Stations throughout the world. The NVAP coordinates with the FVAP for recommended dates and locations for VAO/VO courses. Once determined, the NVAP writes a NAVADMIN promulgating dates, locations, and local points of contact for course sign-up. During the Naval Inspector General's recent Area Assessment of the Norfolk area it was verified that the Regional Commander had held two formal FVAP training sessions for VAOs/VOs in the area. A survey of local commands also confirmed that the majority of VAOs/VOs has either attended formal training sessions or taken the online training available on both the Navy VAP website and Federal VAP website.

5. What procedures did your Service use to ensure that each eligible voter (active duty personnel, DoD civilians located overseas, and their dependents) received, in-hand, the Federal Post Card Application?

- Through OPNAVINST 1742.1 and periodic NAVADMINs, the NVAP stresses the importance of timely ordering of voting supplies to all VAOs/VOs. The VAOs/VOs are directed to the appropriate website and provided with supply information. The NVAP will conduct random checks on the delivery of voting materials during FY04 in preparation for the General Election. During the Naval Inspection General's recent Norfolk Area Assessment all commands surveyed had more than adequate voting supplies and access to the Navy and Federal VAP websites. In-hand delivery had not been emphasized during the last General Election, but aggressive efforts were made to reach each eligible voter with information on elections and voting procedures by means of Plan of the Week/Day note, command-wide email announcements, General Military Training sessions, bulletin board postings, and absentee voter-signup stations in prominent locations.

6. Did your Service determine a maximum number of voters that can be represented by a Unit Voting Assistance Officer? If so what is that ratio?

- No fixed ration was established, but each command with 25 or more members must have a voting officer within the command.

7. How did your Service ensure adequate command support, at all levels, for the Federal Voting Assistance Program?

- Through OPNAVINST 1742.1 and periodic NAVADMINs, the NVAP promotes total command support for the FVCAP. During the Naval Inspection General's recent Norfolk Area Assessment a random inspection of commands reveal universal enthusiastic support of the Voting Assistance Program. General State-by-State voting information was being disseminated to members on a timely basis. Both information and personal assistance on absentee voting was readily available.

8. Discuss the duties and responsibilities of the Senior Service Voting Representative.

- Per OPNAVINST 1742.1, the Senior Navy Voting Representative (SNVR) appoints the NVAP Manager and Action Officer to carry out day-to-day operations of the NVAP.

9. Discuss the oversight performed and the after-action reports prepared by the Senior Service Voting Representative.

- The SNVR provides flag-level guidance and perspective on all voting related tasks. Additionally, the SNVR reviews and approves the submission of all directed after-action reports.

10. Is there an overall Service plan to ensure that all eligible voters receive training on absentee registration and voting procedures during years of Federal elections?

- Yes, OPNAVINST 1742.1 supplemented with periodic NAVADMINs set forth this plan.

11. How did your Service ensure that adequate levels of voting materials (Voting Assistance Guides (VAGs), Federal Post Card Applications, and Federal Write-In Absentee Ballots) were delivered to Unit Voting Officers?

- VAGs and promotional materials are distributed utilizing the Standard Navy Distribution List. All other materials are ordered directly by the individual command through GSA. Recommended number of forms per command member is posted on the NVAP web page.

# Appendix G. Department of the Air Force Inspector General Report

**DEPARTMENT OF THE AIR FORCE**
**HEADQUARTERS UNITED STATES AIR FORCE**
**WASHINGTON, DC**

MEMORANDUM FOR DOD IG

FROM: SAF/IG
1140 Air Force Pentagon
Washington DC 20330-1140

SUBJECT: Air Force Voting Assistance Program

This report responds to specific questions posed by DoD IG regarding the Air Force's Voting Assistance Program and its Service-wide implementation.

**1. What is your assessment of your Service's overall compliance with DoD Directive 1000.4, *Federal Voting Assistance Program*, Implementing Service regulations, and Uniformed and Overseas Citizens Absentee Voting Act.**

The overall assessment of the Air Force's compliance with the above directives is satisfactory. The Air Force, at all levels, placed increased emphasis on the voting program and associated requirements. Not surprisingly, units inspected later in the year did more favorably due to increased focus following the implementation of DoD Directive 1000.4 and the Air Force response to that publication. Main discrepancies noted included failure to prepare voters for state primaries, assigning Installation Voting Officers below the grade of 0-4, and the lack of a system to track Voting Assistance Officer training. While most units were in compliance with preexisting requirements, implementation ranged from minimal to outstanding. There was a marked improvement as the months went by.

**2. The revised DoD Directive 1000.4 requires Service Inspectors General to review their voting assistance programs annually at every level of command to ensure compliance with DoD regulations and public law. Explain the scope of your inspection at each level of command.**

The Air Force evaluated the effectiveness of the voting programs at the squadron, group, wing, and command levels through scheduled unit compliance inspections. Since the release of DoD Directive 1000.4 in June 2002, approximately 84 units were inspected, and these inspections revealed that, although there was room for improvement, the Air Force had satisfactory Voting Assistance Programs and had adequately responded to the recently implemented voting requirements. A robust inspection checklist was incorporated into AFI 90-201, *Inspector General Activities*.

**3. Has the Service revised its written policy to be consistent with the new DoD Directive 1000.4?**

The documents that define the Air Force's Voting Assistance Program policies are the Air Force Voting Plan (2002-03) and Air Force Instruction 36-3107, the *Voting Assistance Program*. The Air Force Voting Plan was rewritten and disseminated following the issuance of DoD 1000.4, and AFI 36-3107 has been drafted and should be published in April 2003. AFI 90-201, *Inspector General Activities*, has been updated and published to include the new requirements.

**4. Discuss the procedures used to ensure that all Unit Voting Assistance Officers received adequate training on the Federal Voting Assistance Program.**

A focus on communication ensured that voting training was conducted. Over 5400 Voting Assistance Officers at various levels attended FVAP workshops, Air Force training sessions, and FVAP web-based training.

**5. What procedures did your Service use to ensure that each eligible voter (active duty personnel, DoD civilians located overseas, and their dependents) received, in-hand, the Federal Post Card Application?**

This requirement is included in the Air Force Voting Plan. Awareness was key to the Air Force Voting Program. Publicity on the Air Force Voting Program was increased in August to support Armed Forces Voters Week and to increase awareness of the in-hand delivery deadlines for the 2002 elections. E-mails to all Installation Voting Assistance Officers discussed the requirements for in-hand delivery. Voting training included the in-hand delivery requirement.

Other efforts noted during this inspection period include:
--the inclusion of voting training at Basic Military Training(in the Military Citizenship lesson)
--briefings and Federal Post Card Application distribution during commander's calls
--Federal Post Card Application inserted in mobility bags
--voting process addressed in activation briefings

Air Force Installation Voting Assistance Officers order voting materials at: afpubs.hq.af.mil by establishing an on-line account or placing their order through an Organizational Account Representative. The Air Force makes a one-time automatic shipment of new Voting Assistance Guides and posters to the Military Personnel Flight (MPF) Customer Service section (at a 1 to 40 ratio) upon FVAP publication. MPF personnel contact Installation Voting Assistance Officers upon receipt of materials and ensure distribution. Additional copies may be ordered through the Air Force Publications website above. The SF 76, Federal Post Card Application and SF 186, Federal Write-In Absentee Ballot, are ordered on-line by the Installation Voting Assistance Officers.

The Air Force Voting website is located at http://www.afpc.randolph.af.mil/votefund/. It contains a link to FVAP and other voting websites. The AF Voting Action Line telephone number is included on the web page.

**6. Did your Service determine a maximum number of voters that can be represented by a Unit Voting Assistance Officer? If so, what is the ratio?**

Yes. The Air Force Voting Plan dictates the maximum number of voters that can be represented by a Voting Assistance Officer. The ratio at the unit level is one Unit Voting Counselor for every 20 voters. This number may be increased to not more than 40 to meet specific unit needs.

**7. How did your Service ensure adequate command support, at all levels, for the Federal Voting Assistance Program?**

The Air Force exhibited command support for theVoting Assistance Program through several avenues, such as:
--voting posters were displayed in high-traffic areas
--base newspapers published voting articles with contact information
--commanders highlighted voting during commander's calls
--Voting News Releases were sent to Installation Voting Officers

Additionally, the Air Force Voting Plan requires units to ensure incoming personnel and their dependents are provided voting guidance. Several installations have taken the initiative to provide voting guidance/information during their Newcomer Orientation and in-processing. (This will be a requirement in the new Air Force Instruction.)

**8. Discuss the duties and responsibilities of the Senior Service Voting Representative.**

The Air Force Senior Voting Representative is designated by HQ USAF/DP and is responsible for the Air Force Voting Assistance Program. The Senior Voting Representative appoints the Air Force Voting Action Officer and Assistant Voting Action Officer, and is responsible for oversight of the program.

**9. Discuss the oversight performed and the after-action reports prepared by the Senior Service Voting Representative.**

The Senior Service Voting Representative was responsible for an End-of-Year report, which reflected an increased voting awareness within the Air Force and reflected satisfactory adherence to directives.

**10. Is there an overall Service plan to ensure that all eligible voters receive training on absentee registration and voting procedures during years of Federal elections?**

Yes. The Air Force Voting Plan is posted on the Air Force Voting Website at http://www.afpc.randolph.af.mil/votefund/. It contains a link to FVAP, which includes the FVAP training, as well as other voting websites. The AF Voting Action Line telephone number is included on the web page. Installation Voting Officers and Voting Assistance Officers are responsible for contacting and assisting all eligible voters during Federal election years.

**11. How did your Service ensure that adequate levels of voting materials (Voting Assistance Guides, Federal Post Card Applications, and Federal Write-In Absentee Ballots) were delivered to Unit Voting Assistance Officers?**

As directed in the Air Force Voting Plan, the Installation Voting Assistance Officers are instructed to order four FPCAs and one FWAB for each military member assigned.

//signed, 28 Jan 03//

RAYMOND P. HUOT
Lieutenant General, USAF
The Inspector General

# Appendix H. Marine Corps Inspector General Report

**DEPARTMENT OF THE NAVY**
**DEPUTY NAVAL INSPECTOR GENERAL FOR MARINE CORPS MATTERS/**
**INSPECTOR GENERAL OF THE MARINE CORPS**
**WASHINGTON, D.C. 20380-1775**

1000
IGI
27 Feb 03

From: Inspector General of the Marine Corps (IGMC)
To: Department of Defense Inspector General for Auditing, Yorktown Audit Office, 111 Cybernetics Way, Suite 110, Yorktown, Virginia 23693-5642 (Attn: Mr. Tonkovic)

Subj: ANNUAL ASSESSMENT OF USMC FEDERAL VOTING ASSISTANCE PROGRAM FOR 2002

Ref: (a) DODDIR 1000.4 dtd June 3, 2002

Encl: (1) MCO 1742.1A Voter Registration Program
(2) AIRS Detailed Inspection Checklist
(3) List of Units Inspected w/Results

Enclosure 1 not included

1. Per the reference and Public Law 107-107 (2002 National Defense Authorization Act), this correspondence reports the results of the IGMC "Annual Assessment of USMC Federal Voting Assistance Program for 2002."

2. The U. S. Marine Corps has an effective Voter Assistance Program and has complied with the referenced DODDIR, with the exception of discrepancies, as noted below. This assessment is based upon the results of 17 Independent Unit Inspections conducted during Calendar Year 2002. Because major commands were considered in an assessment conducted by the Department of Defense Inspector General for Auditing during the same timeframe, they are not included in the Calendar Year 2002 IGMC annual assessment. However, major commands are scheduled to be included in the IGMC "Annual Assessment of USMC Federal Voting Assistance Program for 2003."

3. Enclosures (1) and (2) are those documents which guided the inspection process and resulted in the assessment listed above. Enclosure (3) is the list of inspected units. The majority of Calendar Year 2002 inspections were conducted prior to the issuance of reference (a). The Inspections Division, IGMC, was the sole inspector for these units. However, the Inspections Division will augment their inspection team with the Voting Assistance Program Manager for the inspection of major commands, and for the IGMC "Annual Assessment of the USMC Federal Voting Assistance Program for 2003."

4. This year's inspection process included interviews of the Unit's Voting Assistance Officer, the commanding officer, and Marines randomly selected, within the unit. The inspection team reviewed documents and procedures to ensure compliance with referenced and enclosed directives. They also inspected facilities to ensure Voting Assistance materials were displayed. All inspected units were determined to have "no findings." A "finding" is a significant problem within the command which:

a. Detracts from the command's readiness.

b. Involves or could lead to waste, fraud, or abuse.

MAR 10 2003

Subj: ANNUAL ASSESSMENT OF USMC FEDERAL VOTING ASSISTANCE PROGRAM FOR 2002

c. Involves issues of health, morale, or welfare of the unit's Marines or Sailors.

d. Significantly deviates from higher headquarters policies and procedures.

5. Although no significant problems were noted upon inspection, the following discrepancies were identified at the individual unit level. Immediate action was taken to correct all discrepancies.

a. Federal Post Card Applications were not given "in hand" to every Service member. This discrepancy is identified USMC-wide.

b. UVAO appointment letter not in correct format or forwarded to HQMC.

c. No documentation of training being conducted for the command, Voting Officers or assistants.

d. Outdated Voting Assistance Guides.

e. UVAO not listed in command telephone directory.

f. Voting Assistance Newsletters not maintained.

g. Voting material not displayed.

h. Lack of familiarity with the FVAP website.

6. The IGMC will continue to inspect, review, and update orders, policies, and procedures to ensure eligible personnel are effectively serviced by the Federal Voting Assistance Program.

G. E. JENNINGS
By direction

| FA | SC | STMT | TEXT |
|---|---|---|---|
| 210 | | | ABSENTEE VOTING PROGRAM<br>Functional Area Manager: HQMC, M&RA (MPR)<br>Point of Contact: GYSGT WARFORD (703) 784-9511<br>Date Last Revised: 17 September 2002 |
| 210 | 03 | | UNIT VOTING ASSISTANCE OFFICER ( U V A O) |
| 210 | 03 | 001 | Has the command assigned a company grade officer or staff non-Commissioned Officer (O2/E-6 or above) as the Unit Voting Assistance Officer (UVAO)?<br>Reference<br>MCO 1742.1A, PAR 4B(4) |
| 210 | 03 | 002 | Did the Unit Voting Assistance Officer submit a copy of his/her appointment letter to the Installation Voting Assistance Officer?<br>Reference<br>MCO 1742.1A, PAR 5F |
| 210 | 03 | 003 | Has the Unit Voting Assistance Officer received the required training?<br>Reference<br>MCO 1742.1A, ENCLOSURE 1, PAR (12) |
| 210 | 03 | 004 | Does the Unit Voting Assistance Officer maintain the current version of the absentee voter registration program order (MCO 1742.1A)?<br>Reference<br>MCO 1742.1A |
| 210 | 03 | 005 | Does the Unit Voting Assistance Officer maintain a voting continuity folder (turnover folder)?<br>Reference<br>MCO 1742.1A, ENCLOSURE 1, PAR (21)<br>VIN FOR JULY 2001 |
| 210 | 03 | 006 | Has specific written authorization by the unit's commanding officer been given (for SNCO's) to witness and administer oaths required by voting materials, if a commissioned officer is not available?<br>Reference<br>MCO 1742.1A, ENCLOSURE 1, PAR (1) |
| 210 | 03 | 007 | Does the Unit Voting Assistance Officer maintain the current version of the voting assistance guide?<br>Reference<br>MCO 1742.1A, ENCLOSURE 1, PAR (5)<br>MCO 1742.1A, ENCLOSURE 3, PAR (1) |
| 210 | 03 | 008 | Does the Unit Voting Assistance Officer ensure each eligible individual is afforded the opportunity to receive absentee voting assistance in regards to election dates, state requirements, and voting registration and procedures?<br>Reference<br>MCO 1742.1A, ENCLOSURE 1, PAR (2) AND PAR (5) |
| 210 | 03 | 009 | Is the Unit Voting Assistance Officer aware of the requirement for availability of the federal post card application (FPCA) to each eligible service member?<br>Reference |



ENCL (2)

FA SC STMT TEXT

MCO 1742.1A, ENCLOSURE 1, PAR (3)

210 03 010 Does the Unit Voting Assistance Officer maintain an adequate supply of FPCA's on hand, (four per billet on the unit T/O)?
Reference
MCO 1742.1A, ENCLOSURE 1, PAR (4)
MCO 1742.1A, ENCLOSURE 3, PAR (2)

210 03 011 Is the Unit Voting Assistance Officer aware of the procedures to be used when prisoners desire to vote?
Reference
MCO 1742.1A, ENCLOSURE 4, PAR (2)

210 03 012 Does the Unit Voting Assistance Officer have procedures in place to increase voting awareness and encourage voter registration?
Reference
MCO 1742.1A, ENCLOSURE 1, PAR (13 - 16) AND PAR (20)

210 03 013 Did the Unit Voting Assistance Officer provide training on absentee Registration and voting procedures to unit members?
Reference
MCO 1742.1A, ENCLOSURE 1, PAR (2)

210 03 014 014 Has the Unit Voting Assistance Officer ensured the command telephone directory includes the name and telephone number for the UVAO?
Reference
MCO 1742.1A, ENCLOSURE 1, PAR (9)

210 03 015 If deployed or stationed overseas, does the Unit Voting Assistance Officer have a sufficient stock of federal write-in absentee ballots (FWAB) on hand, (one per billet on the unit T/O)?
Reference
MCO 1742.1A, ENCLOSURE 1, PAR (19)
MCO 1742.1A, ENCLOSURE 3, PAR (2)

210 03 016 Is the Unit Voting Assistance Officer familiar with the websites available (HQMC: www.manpower.usmc.mil {personal & readiness} and FVAP: www.fvap.ncr.gov) for eligible individuals to communicate with their elected officials?
Reference
MCO 1742.1A, ENCLOSURE 3, PAR (4 & 5)

210 03 017 Does the Unit Voting Assistance Officer receive, maintain, and display copies of the voting information newsletter (VIN)?
Reference
MCO 1742.1A, ENCLOSURE 3, PAR (4)

210 03 018 Does the Unit Voting Assistance Officer maintain and display voting posters and calendars?
Reference
MCO 1742.1A, ENCLOSURE 1, PAR (15)
MCO 1742.1A, ENCLOSURE 3, PAR (3)

210 03 019 Does the Unit Voting Assistance Officer receive and maintain voting messages?

| FA | SC | STMT | TEXT |
|---|---|---|---|
| | | | Reference<br>MCO 1742.1A, PAR 5D(2) AND 5E(2) |
| 210 | 03 | 020 | Does the Unit Voting Assistance Officer maintain a voting continuity folder (turnover folder)?<br>Reference<br>MCO 1742.1A, ENCLOSURE 1, PAR (21)<br>VIN FOR JULY 2001 |
| 210 | 03 | 021 | Does the Unit Voting Assistance Officer ensure that the FPCA is completed upon a service member's reenlistment, extension, or completion of permanent change of station, or as soon thereafter as practicable?<br>Reference<br>MCO 1742.1A, ENCLOSURE 1, PAR (3) |

USMC Units Inspected During 2002

| | | |
|---|---|---|
| MSGBn, MCB Quantico, VA | Jan 02 | No Findings |
| MATSG, NAS Oceana, VA | Jan 02 | No Findings |
| MAD, NWS China Lake, CA | Feb 02 | No Findings |
| MATSG, NAS Lemoore, CA | Feb 02 | No Findings |
| EWTGPAC, NS Coronado, CA | Mar 02 | No Findings |
| MCD, MacDill AFB, FL | Mar 02 | No Findings |
| MCD, Goodfellow AFB, TX | Apr 02 | No Findings (Good program) |
| MCD, Lackland AFB, TX | Apr 02 | No Findings |
| HQMC, Arlington, VA | Aug 02 | No Findings |
| MCD, Athens, GA | Aug 02 | No Findings |
| MCD, Fort Knox, KY | Sep 02 | No Findings |
| MCD, NETC Newport, RI | Sep 02 | No Findings |
| MATSG, NAS Whidbey Is, WA | Oct 02 | No Findings (Very Good) |
| MCD, Fort Leonard Wood, MO | Nov 02 | No Findings (Outstanding) |
| MCD, Fort Gordon, GA | Nov 02 | No Findings (Excellent) |
| MCD, Redstone Arsenal, AL | Dec 02 | No Findings (Outstanding) |
| MCD, Aberdeen, MD | Dec 02 | No Findings |

MAD - Marine Administrative Detachment
MATSG - Marine Aviation Training Support Group
MCB - Marine Corps Base
MCD - Marine Corps Detachment
MSGBn - Marine Security Guard Battalion
NAS - Naval Air Station
NWS - Naval Weapons Station
HQMC - Headquarters Marine Corps
EWTGPAC - Expeditionary Warfare Training Group, Pacific

Encl 3

# Appendix I. Eleven Questions Provided to the Inspectors General of the Services

We provided representatives from the Inspectors General of the Services 11 questions for their consideration when preparing their reports. The 11 questions addressed the effectiveness and implementation of the Service voting assistance programs. The 11 questions were intended to provide a level of consistency for some of the elements we considered critical to implementing effective voting assistance programs. The questions were not intended to serve as the sole basis of the Service Inspectors General reports. The 11 questions were as follows.

1. What is your assessment of your Service's overall compliance with:
    a. DoD Directive 1000.4, "Federal Voting Assistance Program,"
    b. implementing Service regulations, and
    c. the Uniformed and Overseas Citizens Absentee Voting Act.

2. The revised DoD Directive 1000.4 requires Service Inspectors General to review their voting assistance programs annually at every level of command to ensure compliance with DoD regulations and public law. Explain the scope of your inspection at each level of command. Discuss how much of your work was based on the September 4, 1996, DoD Directive 1000.4 and Service implementing regulations versus the revised DoD Directive and subsequent revisions to the Service regulations.

3. Has the Service revised its written policy to be consistent with the new DoD Directive 1000.4?7

4. Discuss the procedures used to ensure that all UVAOs received adequate training on the Federal Voting Assistance Program.

5. What procedures did your Service use to ensure that each eligible voter (active duty personnel, DoD civilians located overseas, and their dependents) received, in-hand, the Federal Post Card Application?

6. Did your Service determine a maximum number of voters that can be represented by a UVAO? If so, what is the ratio?

7. How did your Service ensure adequate command support, at all levels, for the Federal Voting Assistance Program?

8. Discuss the duties and responsibilities of the Senior Service Voting Representative.

9. Discuss the oversight performed and the after-action reports prepared by the Senior Service Voting Representative.

10. Is there an overall Service plan to ensure that all eligible voters receive training on absentee registration and voting procedures during years of Federal elections?

11. How did your Service ensure that adequate levels of voting materials (Voting Assistance Guides, FPCAs, and FWABs) were delivered to UVAOs?

# Appendix J. Report Distribution

## Office of the Secretary of Defense

Under Secretary of Defense (Comptroller)/Chief Financial Officer
    Deputy Chief Financial Officer
    Deputy Comptroller (Program/Budget)
Under Secretary of Defense for Personnel and Readiness
Assistant Secretary of Defense (Legislative Affairs)
Assistant Secretary of Defense (Public Affairs)
Director of Administration and Management
    Director, Washington Headquarters Services
    Director, Federal Voting Assistance Program

## Department of the Army

Inspector General, Department of the Army
Auditor General, Department of the Army
The Adjutant General, Department of the Army

## Department of the Navy

Commandant of the Marine Corps
    Deputy Counsel for the Commandant
Assistant Secretary of the Navy (Manpower and Reserve Affairs)
Naval Inspector General
    Deputy Naval Inspector General for Marine Corps Matters
Marine Corps Deputy Commandant for Manpower and Reserve Affairs
Commander, Navy Personnel Command
Auditor General, Department of the Navy

## Department of the Air Force

Assistant Secretary of the Air Force (Financial Management and Comptroller)
Air Force Inspector General
Auditor General, Department of the Air Force

## Non-Defense Federal Organization

Office of Management and Budget

## Congressional Committees and Subcommittees, Chairman and Ranking Minority Member

Senate Committee on Appropriations
Senate Subcommittee on Defense, Committee on Appropriations
Senate Committee on Armed Services
Senate Subcommittee on Military Personnel, Committee on Armed Services
Senate Committee on Governmental Affairs
House Committee on Appropriations
House Subcommittee on Defense, Committee on Appropriations
House Committee on Armed Services
House Subcommittee on Military Personnel, Committee on Armed Services
House Committee on Government Reform
House Subcommittee on Government Efficiency and Financial Management, Committee on Government Reform
House Subcommittee on National Security, Emerging Threats, and International Relations, Committee on Government Reform
House Subcommittee on Technology, Information Policy, Intergovernmental Relations, and the Census, Committee on Government Reform

# Under Secretary of Defense for Personnel and Readiness Comments

OFFICE OF THE UNDER SECRETARY OF DEFENSE
4000 DEFENSE PENTAGON
WASHINGTON, D.C. 20301-4000

March 21, 2003

PERSONNEL AND READINESS

MEMORANDUM FOR INSPECTOR GENERAL, DoD

SUBJECT: Comments on OIG Draft Report on DoD Compliance With the Uniformed and Overseas Citizens Absentee Voting Act (Project No. D2002LF-0151)

The following comments are in response to your memorandum dated March 13, 2003, and address Recommendations 1, 2, 3, & 4 (OIG Draft Report Project No. D2002LF-0151).

1. Concur. DoD Directive 1000.4, "Federal Voting Assistance Program," June 3, 2002, was in coordination when the National Defense Authorization Act for Fiscal Year 2002 (NDAA FY02) was enacted. The Directive was modified to include the provisions of NDAA FY02 and re-coordinated prior to release. The Under Secretary of Defense for Personnel and Readiness and the Director, Federal Voting Assistance Program will continue to oversee the Services' voting assistance program guidance to ensure consistency with the revised DoD Directive.

2. Concur. The Under Secretary of Defense for Personnel and Readiness will send a memorandum to the Services no later than May 1, 2003 requiring that Service voting assistance regulations, instructions or orders be consistent with the current DoD Directive 1000.4 and with the DoD Voting Action Plan and are fully compliant with the provisions of the Uniformed and Overseas Citizens Absentee Voting Act, NDAA FY02, and the Help America Vote Act of 2002 as they pertain to Uniformed Services and overseas citizens voting. At a minimum, these regulations, instructions or orders shall address the eight elements contained in Table 2 of the OIG Draft Report. Specifically, the memorandum to the Services will contain guidance on a minimum and maximum span of control for Voting Assistance Officers (VAOs). The DoD FVAP will recommend that VAOs be assigned to all units with 25 or more members and an additional VAO be assigned for each 50 unit members above the 25 base.

3. Concur. The memorandum to the Services will direct Service-wide command emphasis to the voting assistance program.

4. Concur. These items will continue to be emphasized by the DoD FVAP in DoD Directive 1000.4, the Voting Action Plan, publications and Voting Assistance Officer training. Adherence to these requirements will continue to be inspection items for the Service Inspectors General and the DoD Inspector General.

W. CAAA

Charles S. Abell
Principal Deputy

# Department of the Navy Comments

**DEPARTMENT OF THE NAVY**
**NAVY PERSONNEL COMMAND**
**5720 INTEGRITY DRIVE**
**MILLINGTON TN 38055-0000**

1742
Ser 6/026
24 Mar 03

From: Assistant Commander, Navy Personnel Command, Fleet Support (PERS-6)
To: Inspector General of the Department of Defense (DoD)

Subj: NAVY VOTING ASSISTANCE PROGRAM (NVAP) RESPONSE TO DoD INSPECTOR GENERAL REPORT ON DOD COMPLIANCE WITH THE UNIFORMED AND OVERSEAS CITIZENS ABSENTEE VOTING ACT

Ref: (a) Draft DoD IG Report "DoD Compliance With the Uniformed and Overseas Citizens Absentee Voting Act," Project No. D2002LF-0151

Encl: (1) NVAP Response to DoD IG Report

1. As the Senior Navy Voting Representative I have reviewed reference (a). With the exception of the item specifically noted in enclosure (1), I concur with the recommendations in the report.

M. L. PURCELL

Navy Voting Assistance Program (NVAP) response to DoD Inspector General Report on DoD Compliance With the Uniformed and Overseas Citizens Absentee Voting Act

Recommendation 2(a): "The maximum number of uniformed absentee voters that can be represented by a Unit Voting Assistance Officer [UVAO]". (DoD Directive 1000.4 recommends setting a ratio or maximum number of voters that can be represented by a UVAO)

The NVAP feels that creating an arbitrary ceiling discounts the "captive audience" effect of a deployable unit. In the close confines of an underway vessel, one individual has greater visibility and control over those also underway than an individual would have over the same number of people in an office building. One announcement or training period on board ship can accomplish in a short time what could take days or weeks in a more conventional work environment. Commanding Officers have traditionally been given the latitude to appoint collateral duties as required to "get the job done." Believe the effective manning required to properly support the program can best be determined at the command level.

Encl (1)

# Department of the Air Force Comments

**DEPARTMENT OF THE AIR FORCE**
**HEADQUARTERS UNITED STATES AIR FORCE**
**WASHINGTON, DC**

9 MAR

MEMORANDUM FOR ASSISTANT INSPECTOR GENERAL FOR AUDITING
OFFICE OF THE INSPECTOR GENERAL
DEPARTMENT OF DEFENSE

FROM: HQ USAF/DPL
1040 Air Force Pentagon
Washington DC 20330-1040

SUBJECT: DoD Compliance With the Uniformed and Overseas Citizens Absentee Voting Act (Project No. D2002LF-0151)

This is in reply to your memorandum requesting the Assistant Secretary of the Air Force (Financial Management and Comptroller) to provide Air Force comments on subject report.

We do not concur with the annotation contained in Table 2 of the draft report indicating that the Air Force does not require continuous evaluation of the Voter Assistance Program. The AF Voting Action Plan, Paragraph 2 d. (4) requests the Air Force Inspector General to include the Voting Program as an item for specific review at every level of command. Although the Voting Action Plan may not contain the exact verbiage included in DoD Directive 1000.4, *Federal Voting Assistance Program*, it does have the same intent. As noted in your report, 84 unit Voting Programs were inspected during scheduled unit compliance inspections since release of the current DoD Directive 1000.4. Other than this comment, the findings of your report are consistent accurately reflect the state of the Air Force Voting Program.

The Air Force Voting Action Officer is in the process of revising Air Force Instruction 36-3107, *Voting Assistance Program*, to include all vital information contained in DoD Directive 1000.4. This instruction should be published prior to the start of the next election season.

Peter U. Sutton

PETER U. SUTTON
Major General, USAF
Director, Learning and Force Development
Deputy Chief of Staff, Personnel

# Marine Corps Comments

DEPARTMENT OF THE NAVY
DEPUTY NAVAL INSPECTOR GENERAL FOR MARINE CORPS MATTERS/
INSPECTOR GENERAL OF THE MARINE CORPS
WASHINGTON, D.C. 20380-1775

IGMC
7000
20 Mar 2003

From: Inspector General of the Marine Corps
To: Inspector General, Department of Defense

Subj: REPORT ON DoD COMPLIANCE WITH THE UNIFORMED AND OVERSEAS CITIZENS ABSENTEE VOTING ACT (PROJECT NO. D2002LF-01510)

1. We have reviewed the subject report and concur with the findings and recommendations 2a,b,c,f,g and h. We non-concur with recommendations 2d and 2e which require in-hand delivery of the Federal Post Card Applications to all uniformed absentee voters.

2. There is no indication that the in-hand delivery requirement will provide a more effective Federal Voter Registration Program. Although every service member could potentially receive an application in-hand, the excess time, effort, manpower, and expense to meet that requirement is considerable. The benefits gained by implementing an in-hand delivery requirement are questionable.

3. Proper training and education of personnel is the key to an effective voter registration program and should be a requirement. Additionally, the Service's voter assistance programs should include an element that requires easy access to/and availability of the Federal Post Card Application to all eligible uniformed absentee voters. Individuals that are inclined to vote will avail themselves of the resources provided and directed per regulation. The requirement for in-hand delivery should be eliminated.

G. E. JENNINGS
By direction

# Team Members

The Readiness and Logistics Support Directorate, Office of the Assistant Inspector General for Auditing of the Department of Defense prepared this report. Personnel of the Office of the Inspector General of the Department of Defense who contributed to the report are listed below.

Shelton R. Young
Kimberley A. Caprio
Michael A. Joseph
Timothy J. Tonkovic
Robert T. Briggs
Robert J. Hanlon
Anna P. Martin
Danny O. Hatten
Lynnell E. Hines
J. Steven Epps
William F. Lanyi
Carmen J. Malone
Frank C. Sonsini
H. David Barton
Dharam V. Jain
Kndasamy Selvavel
Susann L. Cobb
Elizabeth L.N. Shifflett