



Secretary of State

2017-19

Joint Committee on Ways and Means

Budget Presentation

Secretary of State Review

- *Agency overview*
- *Overview of each division's budget request*
 - *Focus on strategic initiatives*
 - *Key Performance Measures*
 - *Opportunity to revise KPMs*
 - *Division presentations of core business functions and budget package requests and impacts*

Our Work

*The Secretary of State is Oregon's:
Chief Elections Officer, Auditor of public funds,
First stop for Oregon businesses, and Keeper of our
shared public records.*

Our Vision

*As Servant Leaders, we will apply our experience,
knowledge, and abilities to improve transparency,
accountability, and integrity in Oregon
government.*

Our Mission

The Secretary of State is committed to:

- *Serving our community by building relationships and focusing on equity for all Oregonians.*
- *Upholding the Constitution and the laws of the state of Oregon.*
- *Encouraging voter participation and maximizing access while ensuring election integrity.*
- *Ensuring taxpayers receive maximum value for their tax dollars and protection of their privacy and personal information.*
- *Building Oregon's economy by making it easier to start and do business in Oregon, removing barriers, providing small business assistance, and creating an environment where new businesses can grow, prosper, and create family-wage jobs.*
- *Preserving and promoting accessibility to Oregon's public records for the benefit of all peoples.*
- *Empowering Oregonians by providing timely and accurate information about their government, connecting through outreach activities, and protecting whistle blowers.*

Accountability

Transparency

Integrity

Our Strategic Goals

Audits Division

- Improve Oregon government programs and services.
- Improve transparency of government practices so Oregonians can hold leaders accountable.

Elections Division

- Encourage voter participation while maximizing access and integrity of voter rolls.
- Improve elections stakeholder relationships and reduce violations.
- Improve understanding of election processes and integrity.
- Multi-partisan independent redistricting process evaluation.

Archives Division

- Increase access to public records.

Our Strategic Goals

Corporation Division

- Assist in building Oregon's economy by making it easier to start and conduct business in Oregon.
- Improve small business customer experience.

Administrative Services

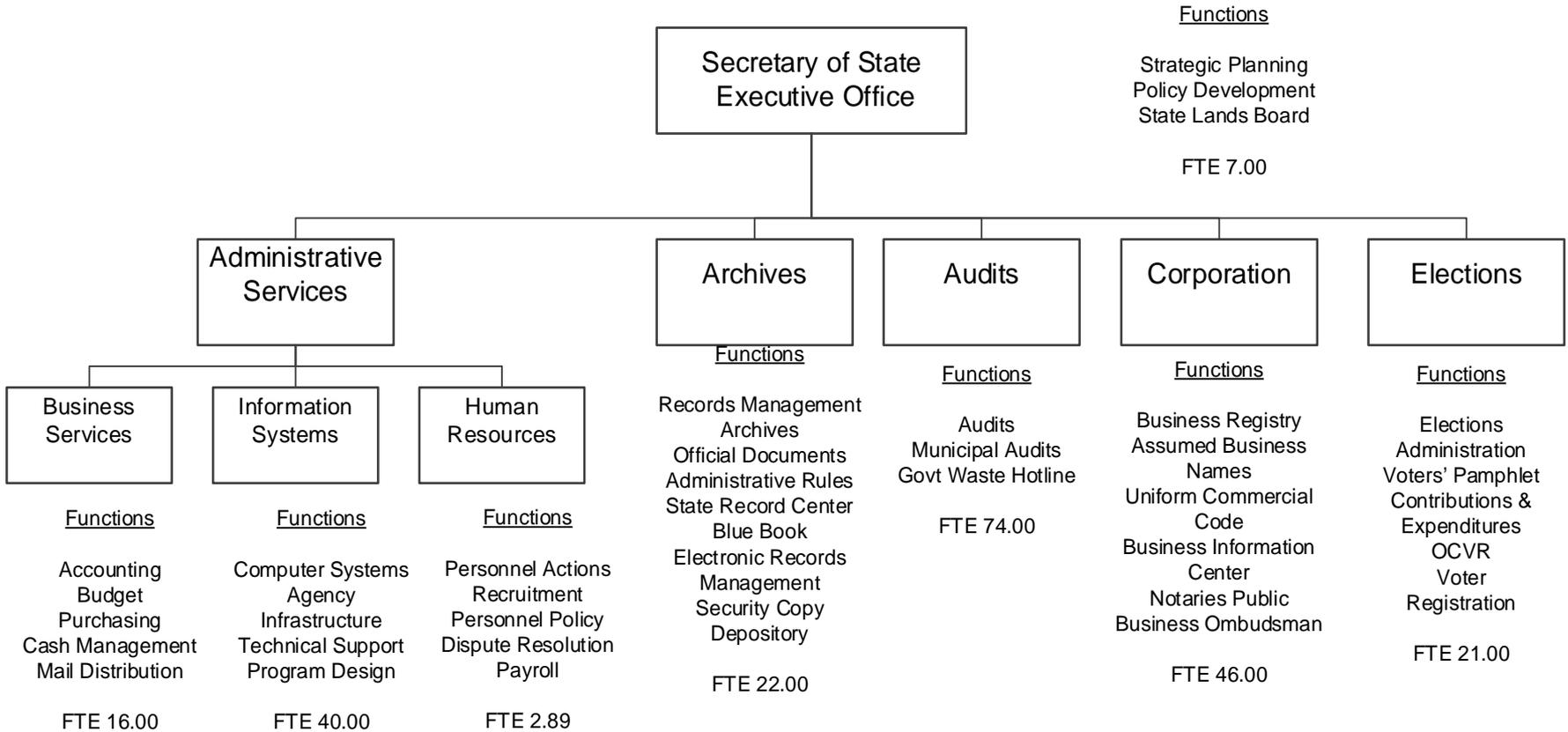
- Continue to update IT infrastructure and Application Development methodologies in an effort to bolster our security posture to protect public data and information.
- Revise Application Development processes, policies, and tools to enhance our ability to deliver robust, user-friendly applications that meet the business needs of our Oregon Citizens.
- Utilize technology to provide timely, efficient and cost effective services to our division partners and external customers.

Our Strategic Goals

Administrative Services (cont.)

- Be prepared for significant loss of key business knowledge due to staff retirements.
- Utilize technology to resolve logistics issues, maximize effectiveness, and lower costs.
- Provide review and analysis of division budgets to ensure spending remains within execution budget limitations and expenditures support the mission and the goals of the Secretary of State.
- Support employee satisfaction through support of continuing education and training.

OFFICE OF THE SECRETARY OF STATE
Organizational Chart
2017-19 Biennium



FTE 228.89 Agency Wide

Accountability

Transparency

Integrity

OUR Notable Improvements 2015-17

- **Administrative Services:** Emphasizing the correct balance between Innovation and Security throughout all applications
- **Archives:** Completed Phase 2 compact shelving; more than double the number of agencies in Oregon Records Management Solution (ORMS) from 22 agencies to 52; the Oregon Administrative Rules Database will be completed by the end of the biennium
- **Corporation:** Central Business Registry enhancements, License Directory modernization, Office of Small Business Assistance expansion and 1,000th case
- **Audits:** Developing and implementing a more detailed training curriculum for entry level and lead staff
- **Elections:** Reorganization of division to improve customer service; implemented Oregon Motor Voter which added nearly 300,000 new voters to the ballots being cast at the November 2016 election

Our Major Challenges 2017-19

- **Administrative Services:** Ensuring the appropriate resources and tools are available to provide timely financial services, HR, and IT support to our business divisions; staying abreast of the growing needs of our customers and stakeholders
- **Archives:** On-boarding of state agencies into the Oregon Records Management Solution (ORMS); succession planning and keeping the Archives on its innovative course; Phase 3 compact shelving
- **Corporation:** Continuing to meet the growing customer demand for timely, online business registrations and filings; increased need for small business advocacy
- **Audits:** Recruiting and retaining qualified audit staff to handle the highest priority audit topics across state government; business process change allowing for quicker audit results
- **Elections:** Budgeting and planning for the unpredictable nature of elections; managing and maintaining our election information technology

Budget Summary

	2017-19 ARB**	2015-17 Leg. Approved	\$ Change 2017-19 vs. 2015-17 Leg. Approved
General Fund	\$12,985,247	\$9,949,390	\$3,035,857
Other Funds	\$61,582,631	\$56,279,809	\$5,302,822
Federal Funds	\$5,189,414	6,277,676	(\$1,088,262)
Total Funds	\$79,757,292	\$72,506,875	\$7,250,417
Positions	229	213*	16
FTE	228.89	210.96*	17.93

*Based on current 15-17 Position totals

**Reflects changes in DAS Assessments

Our Ask

- *What we are asking for and why*
 - *Here's what we have to do*
 - *Here's what we need in order to do it*
- *Impacts if we don't get what is required*

Corporation Division

Help startup and existing businesses grow and thrive by using faster and smarter business processes.

Provide timely document processing services, business advocacy and convenient access to information about businesses, notaries, secured transactions, and government resources for a prosperous Oregon.

Corporation Division

2017-19 Agency Request Budget

- Other Funds: \$11,634,791
 - 46 FTE
-
- User fees paid by business to register a business, file a secured transaction, commission a notary, or obtain public records and certificates
 - Expect to generate \$79.8 million in total revenues
 - Expect to transfer \$61.7 million to the state General Fund

Corporation Division

The Corporation Division's programs increase certainty in business transactions by providing information that enables commerce between strangers

- Business Information Center provides one-stop access to government services and requirements for business
- Office of Small Business Assistance is an independent voice for small business within state government
- Business Registry provides essential business information to promote public trust for parties in contracts and commerce
- Notary preserves the integrity of an agreement and ensures the authenticity of a transaction
- Uniform Commercial Code reduces risk for creditors, allowing small business greater access to credit financing

Corporation Division

Business Information Center

- **Call Center** – answers from a real person
- **Guide to Start a Business in Oregon**
- **Employer's Guide** for Doing Business in Oregon
- **Business Wizard** – Online help for entrepreneurs
- **License Directory** – Information about 1,400 licenses, permits, and registrations
- **Business Xpress** – Oregon's one-stop business portal to cut across agency silos

Corporation Division Oregon Start a Business Guide

Helping Build Oregon's Best Businesses



For more information about all that we do, contact the Center near you, the Network Office, or visit BizCenter.org

Oregon
**START A
BUSINESS**
Guide

Albany
Linn-Benton
Community College
6500 SW Pacific Boulevard,
Room 1M-126
Albany, OR 97321
541-917-4929

Bend
Central Oregon
Community College
1027 NW Trenton Avenue (Center)
2600 NW College Way (mail)
Bend, OR 97701
541-383-7290

Eugene
Lane Community College
101 W 10th Street, Suite 304
Eugene, OR 97401
541-463-6200

Grants Pass
Rogue Community College
214 SW Fourth Street
Grants Pass, OR 97526
541-956-7494

Gresham
Mt. Hood Community College
501 NE Hood Avenue, Suite 240
Gresham, OR 97030
503-491-7658

Klamath Falls
Klamath Community College
7390 S Sixth Street
Klamath Falls, OR 97603
541-880-2278

La Grande
Eastern Oregon University
1607 Geisler Lane, Room 148
La Grande, OR 97850
541-962-1532

Lincoln City
Oregon Coast
Community College
3788 SE High School Drive
Lincoln City, OR 97367
541-994-4166

Medford
Southern Oregon University
101 S Bartlett Street
Medford, OR 97501
541-552-8399

Milwaukie
Clackamas Community
College
7736 SE Harmony Road
Milwaukie, OR 97222
503-594-0738

North Bend
Southwestern Oregon
Community College
2455 Maple Leaf Lane
North Bend, OR 97959
541-756-6866

Ontario
Treasure Valley
Community College
650 College Boulevard
Ontario, OR 97914
541-881-5772

Pendleton
Blue Mountain
Community College
2411 NW Garden Avenue
PO Box 100
Pendleton, OR 97701
541-276-6233

Portland
Portland Community College
7626 SE Water Avenue
Portland, OR 97214
971-722-5080

Roseburg
Umpqua Community College
522 SE Washington Avenue
Roseburg, OR 97470
541-440-7824

Salem
Chemeketa Community
College
626 High Street NE, Suite 210
Salem, OR 97301
503-399-5088

Seaside
Clatsop Community College
1455 Roosevelt Drive
Seaside, OR 97138
503-338-2402

The Dalles
Columbia Gorge
Community College
400 E Scenic Drive, Suite 2108
The Dalles, OR 97058
541-506-6121

Tillamook
Tillamook Bay
Community College
4301 Third Street
Tillamook, OR 97141
503-862-8222 ext. 1420

Network Office
1445 Willamette Street, Suite 5
Eugene, OR 97401
541-463-5258



Oregon Small Business
Development Center Network
bizcenter.org



Corporation Division
Secretary of State
FilingInOregon.com

Oregon's Small Business Development centers are partially funded by the U.S. Small Business Administration, the Oregon Business Development Department, and the Oregon Public Utility Commission. All services provided on a non-discriminatory basis.



Corporation Division Oregon License Directory

A photograph of a Sasquatch's hands holding a tablet. The tablet screen displays the Oregon License Directory website. The website has a header with the 'ypress' logo and 'LICENSE DIRECTORY'. Below the header, there is a search bar and a list of license categories. The background of the image is a blurred forest scene.

License Directory

Find State Licensing Information

Search all Oregon business licenses, permits and registrations - so easy, a Sasquatch can do it.

Corporation Division

Office of Small Business Assistance

- **Senate Bill 1583 (2016)** expanded the office to help small business cut through red tape with local government
- Small but mighty office of three who run with scissors
- Implementing Governor's Small Business Cabinet recommendation of Barrier Busting Button on state agency websites
- Over 1,000 cases worked to date for small business
- Licensing, taxes and procurement are the most challenging issues for small business

Corporation Division Office of Small Business Assistance



2016 The State of Small Business

Oregon Secretary of State's Office of Small Business Assistance Annual Report

374 businesses **busted through barriers** in 2016 with our assistance



4,438

Contacts by Telephone

That's about 18 calls per day!



41

State Agencies, Boards and Commissions

helped by answering questions, streamlining processes, and making policy changes to better respond to small businesses.



65%

Business Owners and Nonprofit Organizations

got their complaints and questions addressed within the same day; an additional 15% were handled within 3 days.

2016 Challenges



231 cases

Licensing

175% Increase

from 2015 to 2016



64 cases

Taxes

121% Increase

from 2015 to 2016

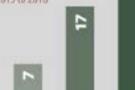


28 cases

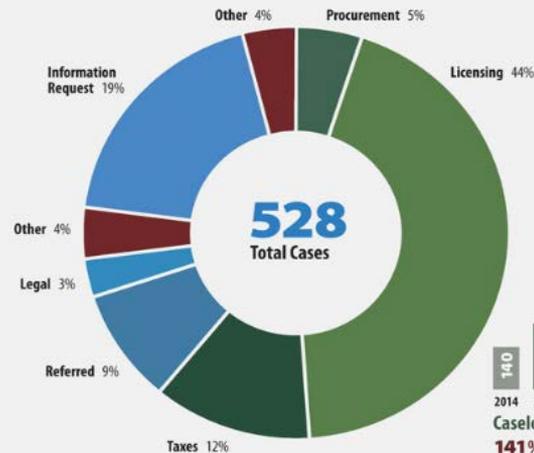
Procurement

65% Increase

from 2015 to 2016



2016 Cases by Issue



141% Increase from 2015 to 2016

2016 Small Business Cases by Location

Corporation Division

Business Registry Program

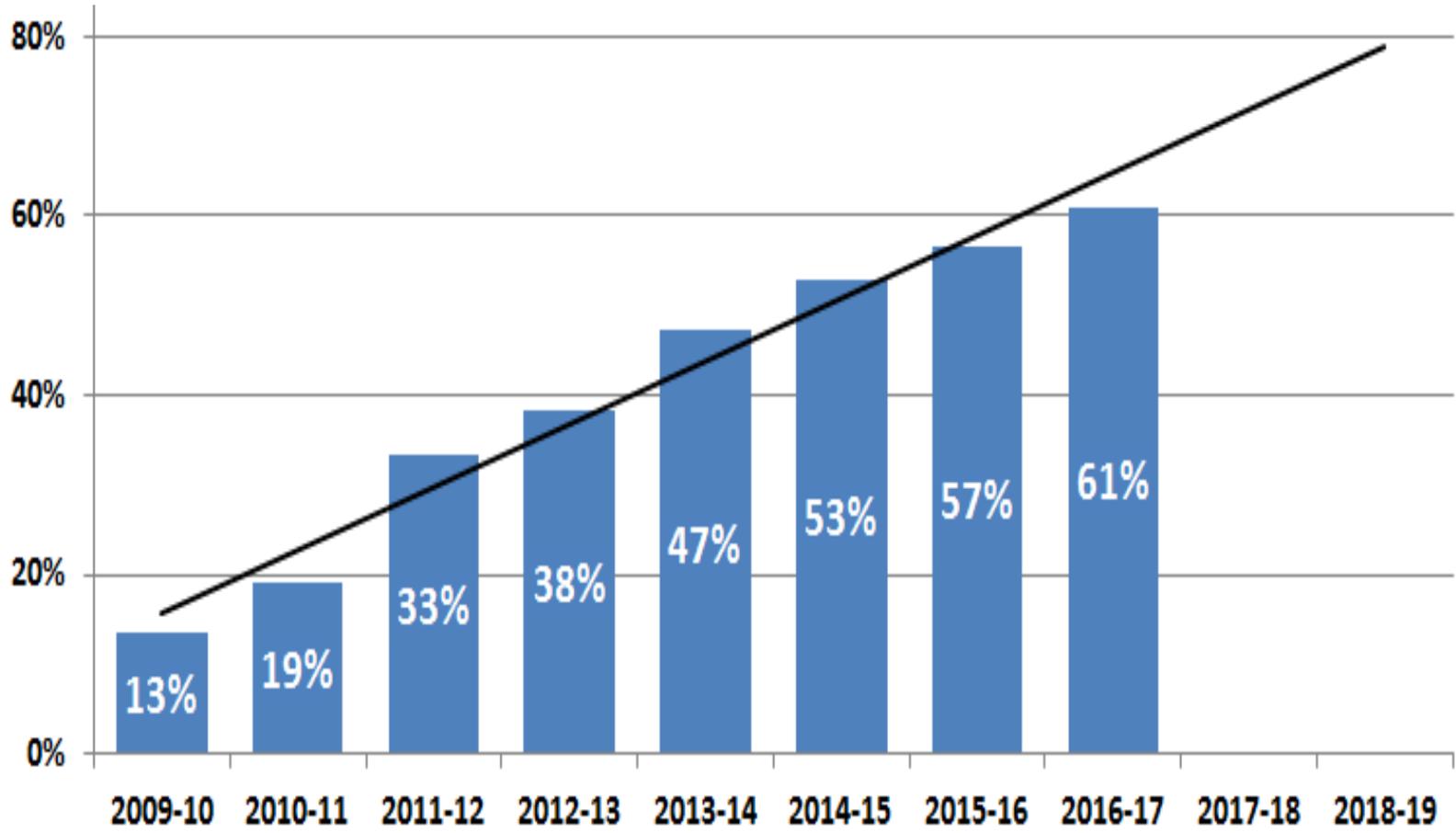
- Entrepreneurs register to help establish a business identity, pool resources of shareholders or partners, limit personal liability, gain access to credit and financing, have access to the courts to enforce and defend company interests, and comply with laws
- Provides essential business information to promote public trust for parties in contracts and commerce
- 425,000 active business registrations
- 27,000 business filings per month
- Contributes over \$60 million to General Fund per biennium

Corporation Division

Oregon Central Business Registry

- Oregon's vision of a "one-stop" shop for business
- Saves time for business (minutes vs. days or weeks)
- Improves data quality
- Share information across government agency silos
- Current partners: Secretary of State, Department of Revenue, Employment Department, Department of Consumer and Business Services, Construction Contractors Board, City of Portland

Corporation Division Business Registry Online Filing Adoption



Accountability

Transparency

Integrity

Corporation Division

Notary Public Program

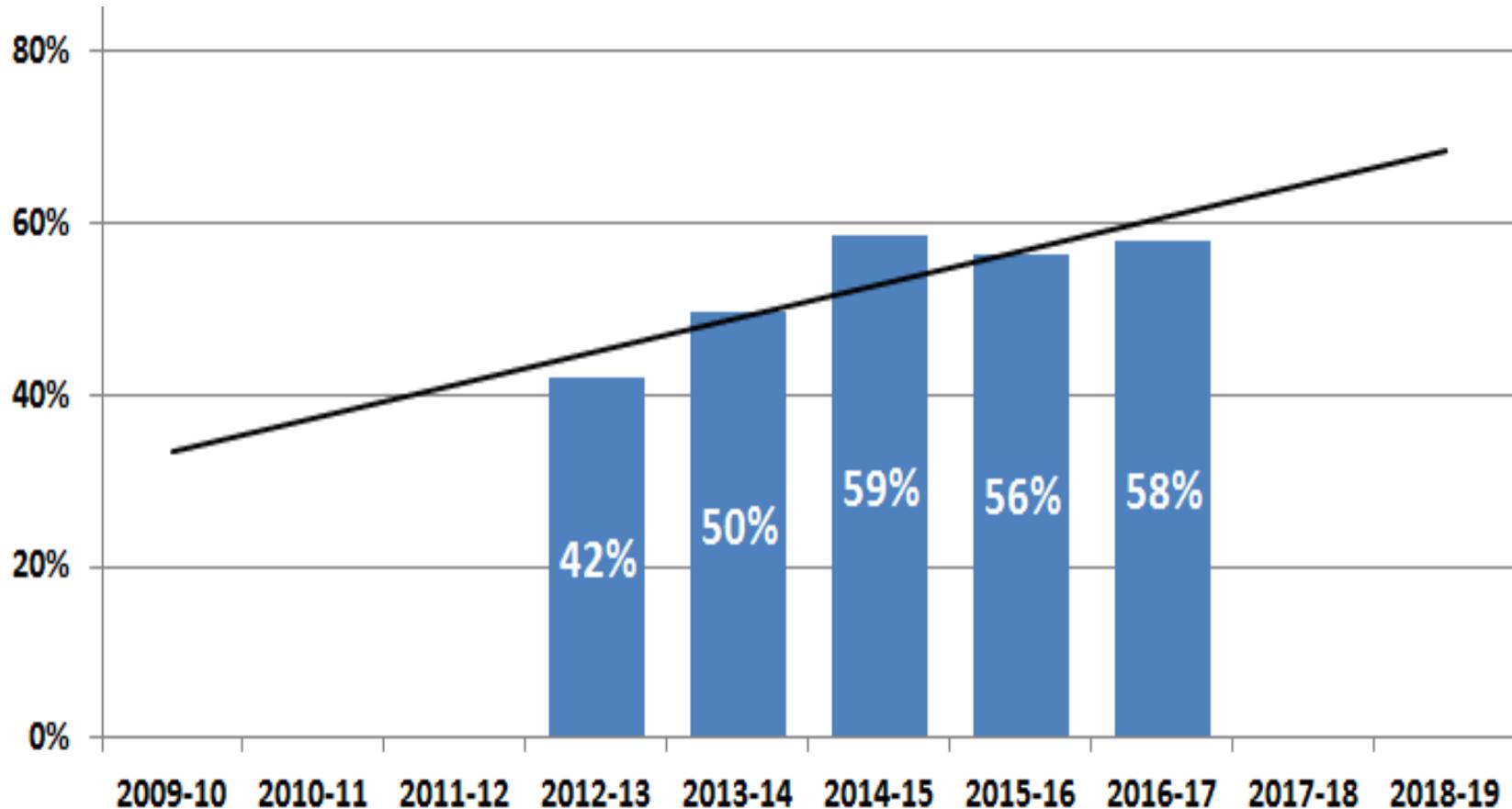
- A Notary detects and deters fraud by serving as an impartial witness to a legal proceeding
- Makes sure the person signing a document knows what is being signed, understands the action being taken, and is the person whose signature is on the document
- We authenticate documents for international use
- We educate and provide training to notaries
- 33,000 active notaries
- 2,400 filings per month

Corporation Division

Uniform Commercial Code Program

- UCC facilitates lending and credit to Oregon business, farmers, and consumers
- Creates a public notice of records of debt on personal or moveable property, commodities, services rendered, and tax obligations
- Establishes priority of claim for the secured party in the event of a bankruptcy by the debtor
- 166,000 active lien filings
- 5,300 filings per month

Corporation Division UCC Online Filing Adoption



Accountability

Transparency

Integrity

Corporation Division

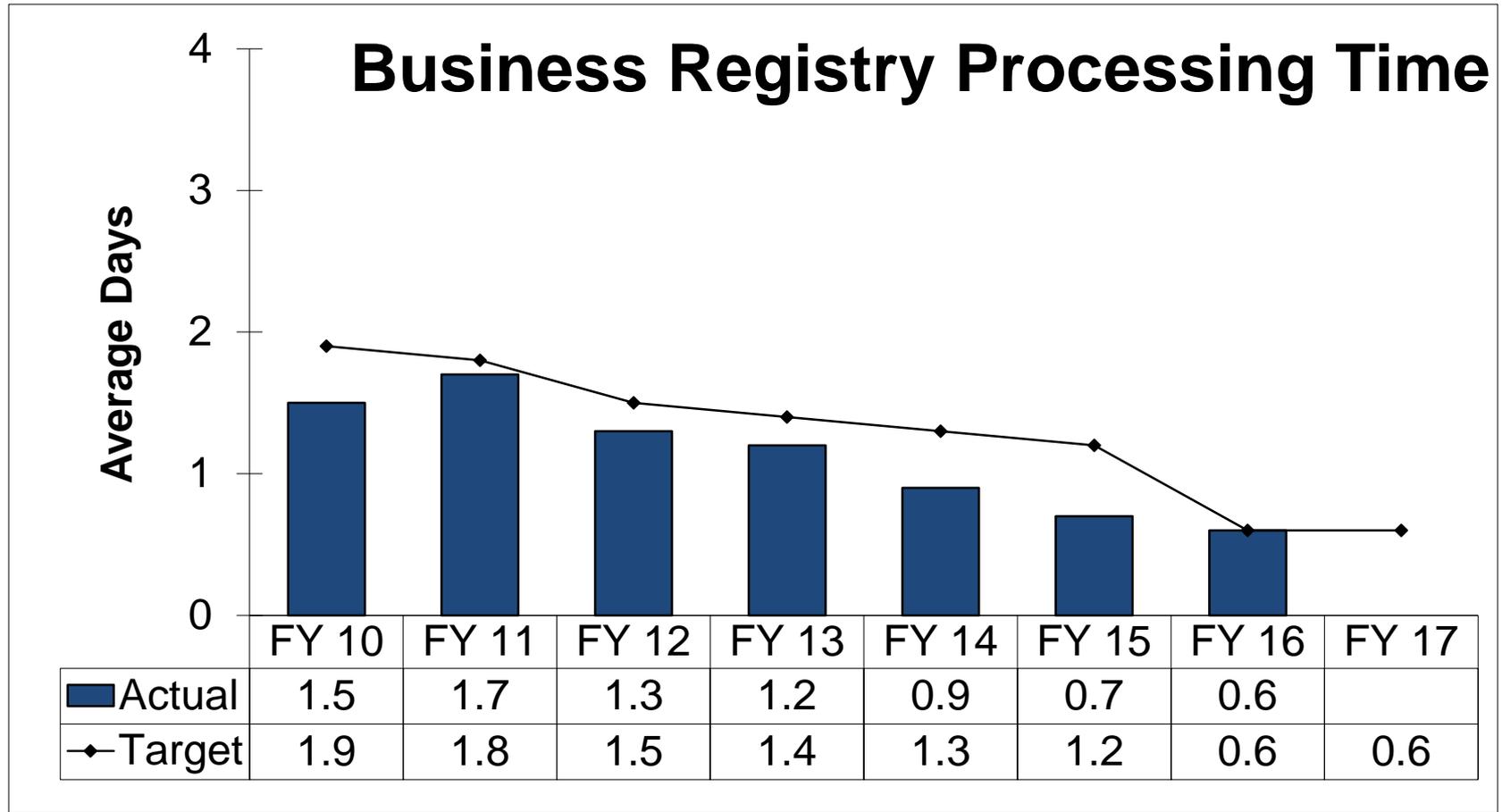
Contain costs and improve program delivery

Impact of Technology Automation Investments

- **Oregon Central Business Registry online filing**
 - 61% of all businesses filed online
- **UCC online filing**
 - 58% of Uniform Commercial Code filed online
- **Public record images online**
 - Over 2.6 million public record documents available online
- **Online Search**
 - Over 300,000 online Business searches per month
 - Over 20,000 online UCC searches per month

Corporation Division

KPM#5: Timely document processing



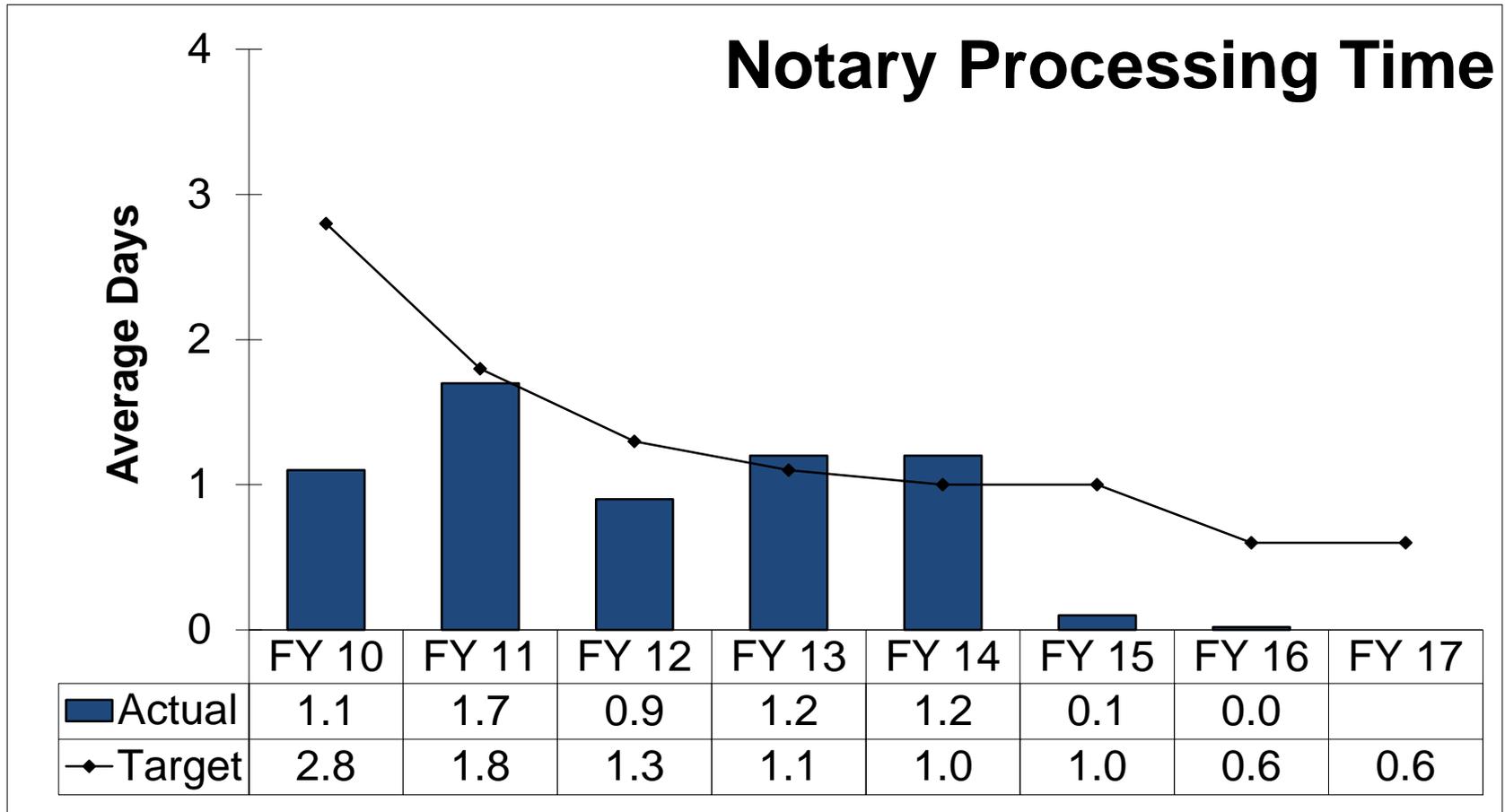
Accountability

Transparency

Integrity

Corporation Division

KPM#6: Timely document processing



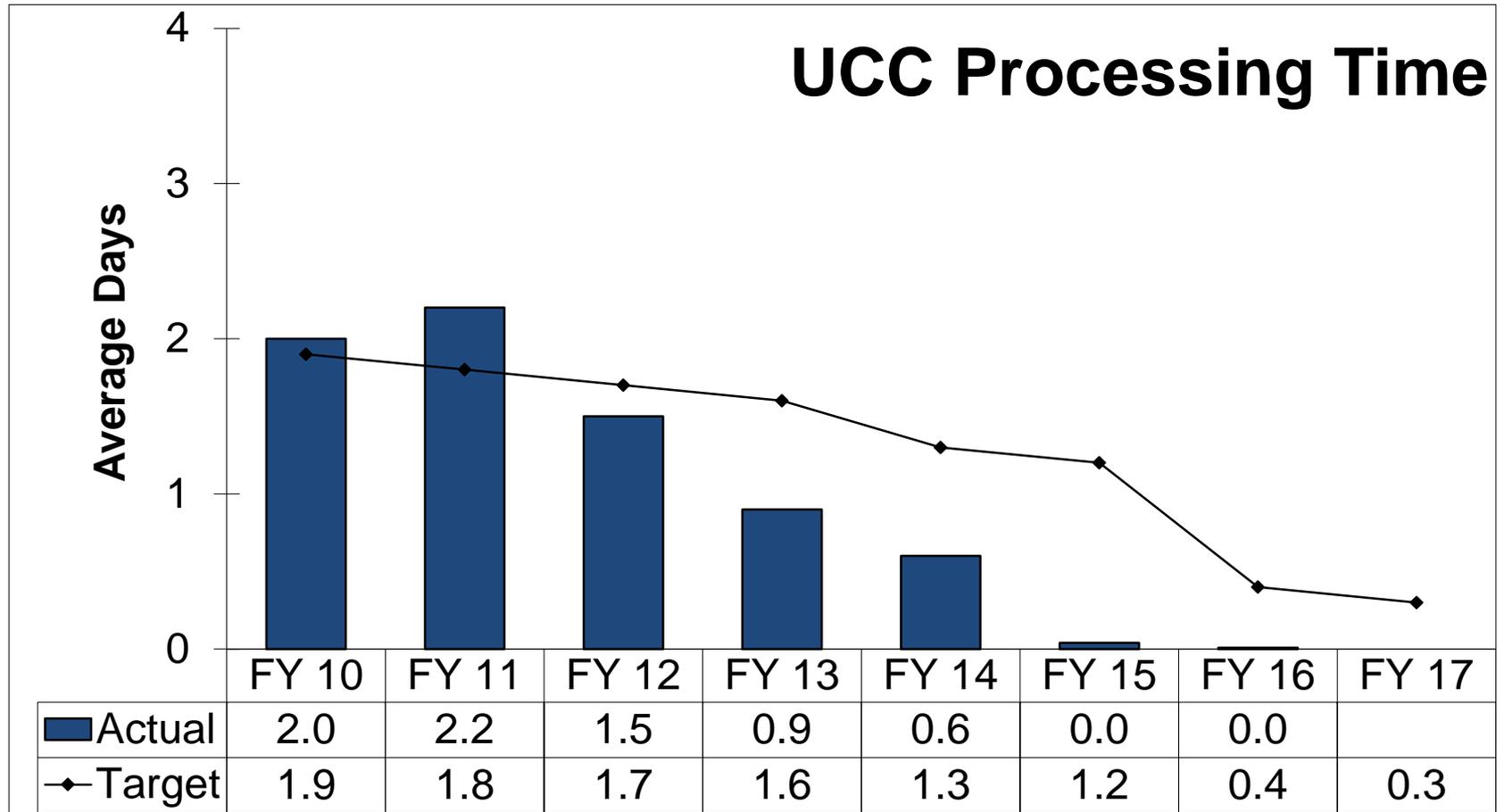
Accountability

Transparency

Integrity

Corporation Division

KPM#7: Timely document processing



Accountability

Transparency

Integrity

KPM #10	Customer Satisfaction - Percent of customers rating their overall satisfaction with the agency as "good" or "excellent": overall customer service, timeliness, accuracy, helpfulness, expertise and availability of information.
	Data Collection Period: Jan 01 - Jan 01

Metric	2012	2013	2014	2015	2016
Expertise					
Actual	99%	100%	97%	No Data	92%
Target	85%	85%	85%	85%	85%
Overall					
Actual	98%	98%	98%	No Data	94%
Target	85%	85%	85%	85%	85%
Accuracy					
Actual	98%	97%	93%	No Data	96%
Target	85%	85%	85%	85%	85%
Timeliness					
Actual	98%	99%	97%	No Data	96%
Target	85%	85%	85%	85%	85%
Helpfulness					
Actual	98%	98%	99%	No Data	93%
Target	85%	85%	85%	85%	85%
Availability of Information					
Actual	94%	97%	88%	No Data	92%
Target	85%	85%	85%	85%	85%

Accountability

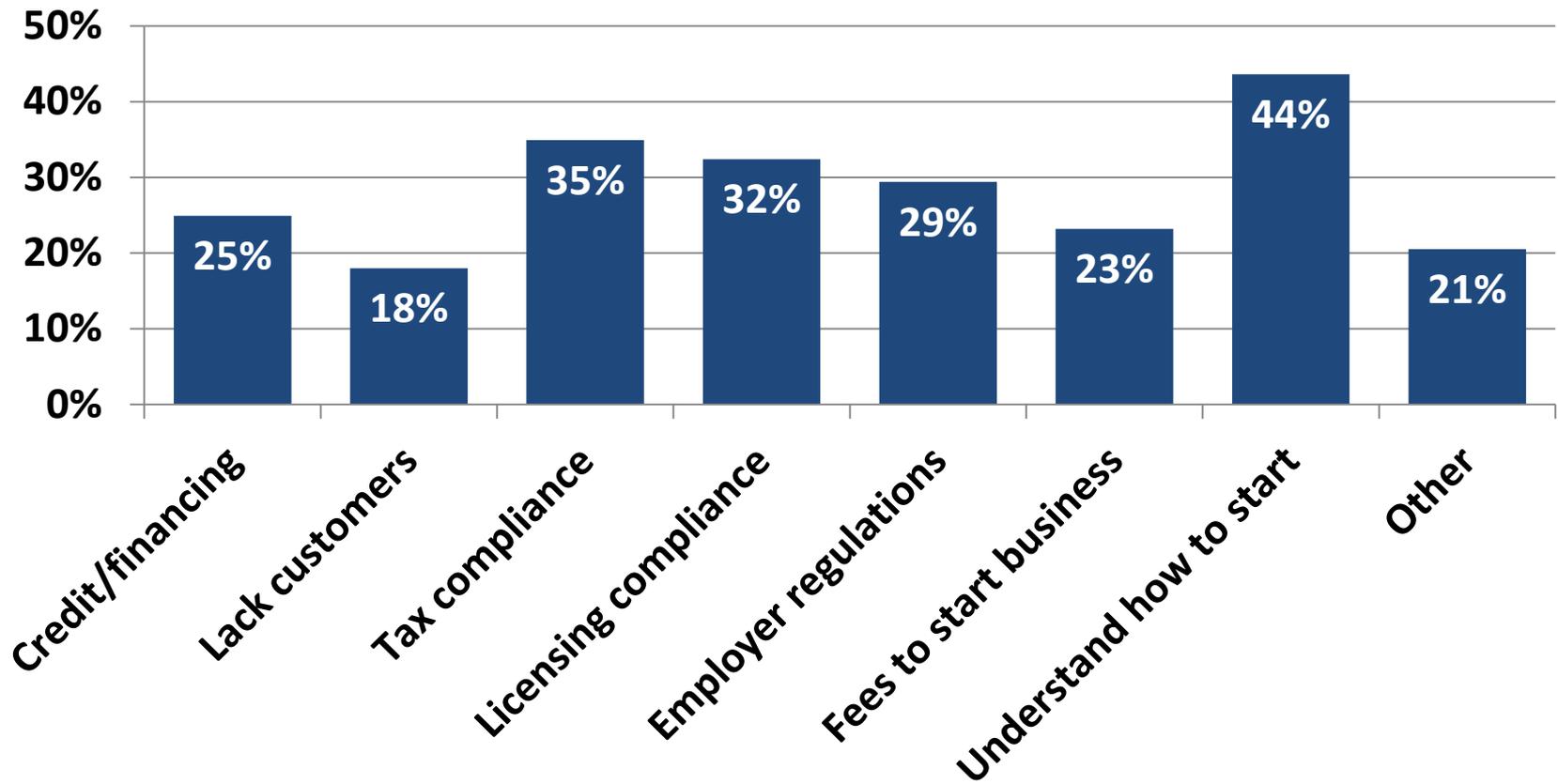
Transparency

Integrity

Corporation Division

2017 Business Friendliness Survey

Biggest roadblock to starting your business?



Accountability

Transparency

Integrity

Corporation Division

Budget Drivers

- Customer demands-
 - Document Filing - Business Registry, Notary Public, Uniform Commercial Code
 - Merchant transaction fees for online filings
 - Access to Public Records and Information, Certification of Records and Authenticating Public Acts
 - Customer Service and Education
- Technology and legislative changes
 - Online Security
 - Continuously Improving Services
 - Changes in legal interpretation of existing laws

Corporation Division

Budget Challenges

- Timely Document Processing
- Streamlined Business Registration
- Transparent Access to Public Records
- Continuously improving services
- Government red tape
- Personally identifiable information
- Online Security
- Legislative changes

Corporation Division

Impacts of 15% reduction request

- Corporation Division
 - 5% \$488,945
 - 10% \$977,890
 - 15% \$1,466,835

Requires reductions to S & S to IT Professional Services, Professional Services, In State Travel, Employee Training. These reductions would have a negative impact on Corporations Division Key Performance Measures (KPMs).

Corporation Division Proposed Legislation

- HB2348 – Business registry fees
- HB2352 – Ethical business practices & regulatory authority
- HB2353 – Corporate transparency
- HB2354 – Commercial registered agent regulation

Corporation Division

Policy Package 112

Registered Agency Licensing \$628,182 OF, FTE 4.0

This package requests funding and four positions necessary to support an increase in workload and regulatory investigations that would result from passage of **House Bill 2354**. Providing oversight and regulation of Commercial Registered Agents who help criminals conceal the identity of principals in a business and facilitate financial crimes.

Corporation Division

Policy Package 113

Compliance Investigations \$193,460 OF, FTE 1.0

This package requests funding for one position necessary to support an increase in workload and oversight investigations that would result from the passage of **House Bill 2352**. Providing investigative powers to determine the truthfulness of documents submitted to the office for filing and collaborate with the Oregon Department of Revenue to ensure corporate tax compliance and the Department of Justice to protect unwary investors from securities fraud.

Corporation Division

Policy Package 114

Corporation Transparency \$1,106,140 OF, FTE 6.0

This package requests funding and six positions necessary to support an increase in workload of document filings that would result from the passage of **House Bill 2353** requiring Oregon corporations and Limited Liability Companies to report the name, address and identification numbers of individual beneficial owners, if the business has not or will not file an Oregon tax return.

Corporation Division

Policy Package 115

Corporation Funding – Revenue Only

House Bill 2348 increases the Secretary of State's share of Business Registry revenue from \$20 per filing to \$25 per filing. Allows the Secretary to continue to support and maintain business registry program operations and services.

The bill will increase funds available to the Secretary by \$2,921,220 (2017-19) and is offset by an equal decrease in funds transferred to the General Fund.

Corporation Division

2017-19 – fewer staff than 20 years ago

Corporation Division FTE in 1995-97: **45.0**

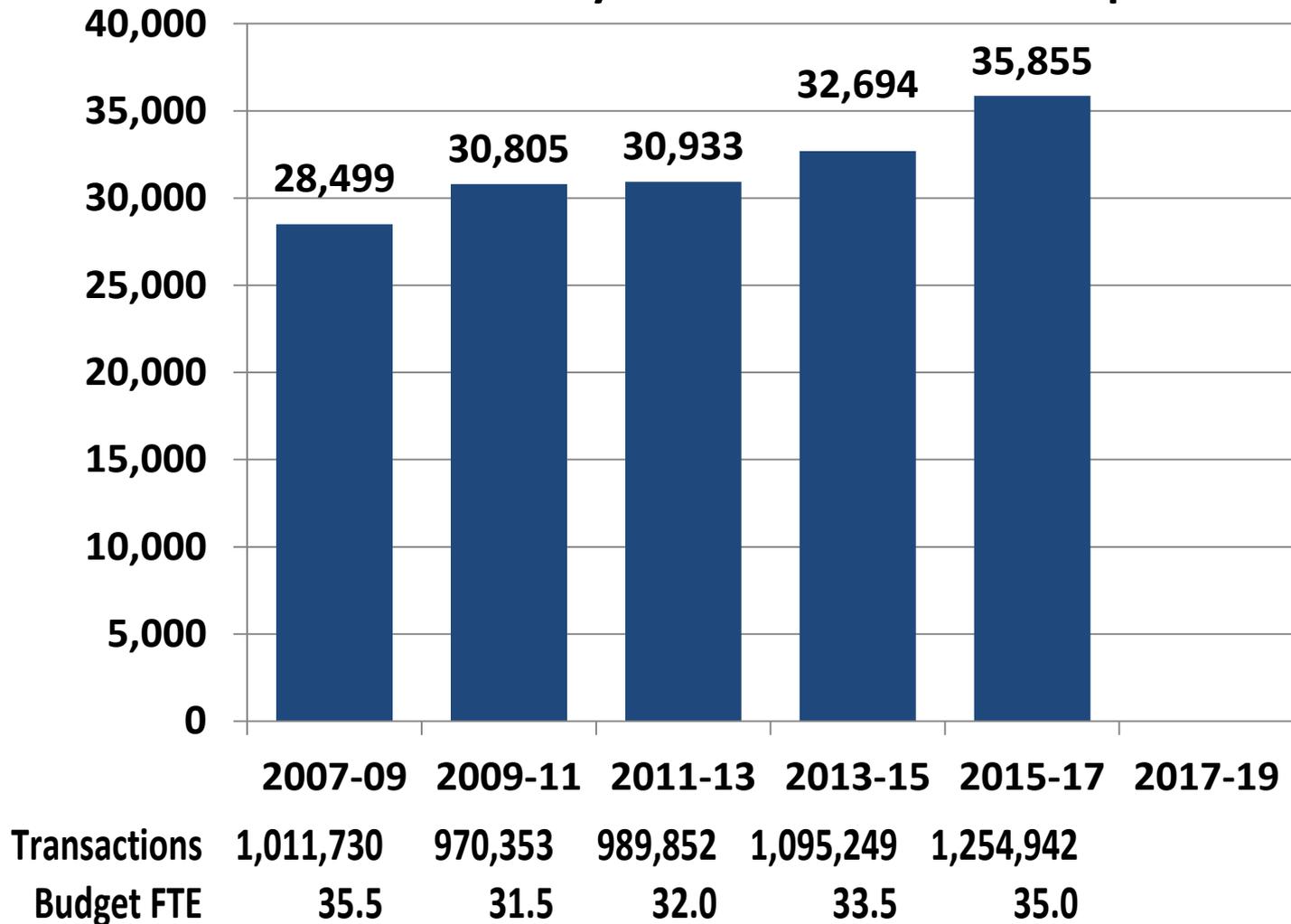
Corporation Division FTE in 2015-17: **35.0**

We will continue to make it easier to do business in Oregon:

- Save time for business using technology to do our work faster
- Increase transparency by providing more public records online
- Exceed customer service expectations by delivering services that the business community wants, values, and pays for
- Improve technology resources to help start and grow a business, and understand regulatory requirements
- Help business owners cut through government red-tape
- Transfer \$62 million to support the state's General Fund

Corporation Division

Staff efficiency – Transactions per FTE



Accountability

Transparency

Integrity

Archives Division

*The State's Information Manager
and Information Broker*

Archives Division

2017-19 Agency Request Budget

- General Fund: \$50,000
- Other Funds: \$7,974,590
- Federal Funds: \$40,905 - Federal Funds expenditure limitation request will be reduced. Secretary of State will work with LFO to determine an appropriate Federal Funds expenditure limitation amount.
- 22 FTE

Accountability

Transparency

Integrity

Archives Division

The Archives Division manages and provides access to the state's information by:

- Identifying, preserving and providing access to the permanently valuable records of Oregon Government
- Managing government information through records retention schedules to facilitate the prompt disposition of public records and by providing advice and assistance on records related issues
- Managing the Oregon Records Management Solution
- Creating standards for the appropriate use of technology to ensure that public records are accessible

Accountability

Transparency

Integrity

Archives Division

The Archives Division manages and provides access to the state's information by (con't.):

- Operating the State Records Center and Security Copy Depository
- Accepting for filing, verifying, publishing and maintaining Administrative Rules
- Compiling and publishing the Oregon Blue Book
- Accepting for filing the state's Official Documents
- Administering the State Historical Records Advisory Board

Accountability

Transparency

Integrity

Archives Programs con't.

Reference Unit

- The state's information broker providing access to the permanent records of Oregon's government while protecting and celebrating Oregon's history.
- Directs the public to the proper agency for more current records.
- Activities are driven by demand for services.

Accountability

Transparency

Integrity

Records Management Unit

- The state's information manager
- Instrumental in developing a statewide electronic records management system called the Oregon Records Management Solution (ORMS) available and affordable to all levels of government in Oregon
- Operates the State Records Center providing inexpensive storage and service of state agency records that have not met their authorized retention period

Accountability

Transparency

Integrity

Archives Programs con't.

Publications Unit

- Files, verifies and publishes Oregon's Administrative Rules and provides access to Administrative Rules and rulemaking activities and with the new Oregon Administrative Rules Database will make all Administrative Rules as well as all rule making activity fully searchable to the public
- Compiles and publishes the Oregon Blue Book and keeps current the free, enhanced, online version

Accountability

Transparency

Integrity

Archives Division

Budget Drivers/Challenges

➤ Workload increases

- **Oregon Records Management Solution (ORMS)** started with 3 agencies; last biennium 22; currently 52.
 - Staff must juggle regular records management work with ORMS implementation
 - Need to streamline on-boarding for state agencies
- **Rulemaking activity continues to increase with aprox. 15,660 rulemaking actions** to date, for 2015-2017 biennium
- **Non-Traditional Demand for Archives Services or “Mainstream Archives”**
Ancestry.com, History Channel, OPB

➤ Upgrading technology

➤ Succession Planning

Accountability

Transparency

Integrity

Archives Division

Cost Control Actions

Oregon Records Management Solution (ORMS)

- Continue to automate business processes using ORMS
- Streamlined ORMS on boarding process and worked with business partner to offer incentives for large agencies to use ORMS
- API written between Legislative recording system and ORMS to make the export/import of records automatic at session end
- Provide better access to agency information by upgrading web portal

Accountability

Transparency

Integrity

Archives Division

Cost Control Actions Cont.

Reference Unit

- Phase 2 of Compact Shelving completed – 44% space increase over shelving replaced
- Streamlining Business Processes

Administrative Rules

- Oregon Administrative Rules Database (OARD)
- Working with Legislative Counsel regarding statutory changes to streamline Rules review process

Accountability

Transparency

Integrity

KPM #10	Customer Satisfaction - Percent of customers rating their overall satisfaction with the agency as "good" or "excellent": overall customer service, timeliness, accuracy, helpfulness, expertise and availability of information.
	Data Collection Period: Jan 01 - Jan 01

Metric	2012	2013	2014	2015	2016
Expertise					
Actual	99%	100%	97%	No Data	98%
Target	85%	85%	85%	85%	85%
Overall					
Actual	98%	98%	98%	No Data	98%
Target	85%	85%	85%	85%	85%
Accuracy					
Actual	98%	97%	93%	No Data	97%
Target	85%	85%	85%	85%	85%
Timeliness					
Actual	98%	99%	97%	No Data	98%
Target	85%	85%	85%	85%	85%
Helpfulness					
Actual	98%	98%	99%	No Data	99%
Target	85%	85%	85%	85%	85%
Availability of Information					
Actual	94%	97%	88%	No Data	97%
Target	85%	85%	85%	85%	85%

Archives Division

KPM #1 – Electronic Access to Public Information

2016

Archives had 570,000 unique visitors to our web pages

8000 traditional visitors to the Archives and they used over 16,000 records in our holdings

We now have 102,165 person profiles in our Early Oregonian Database

10,000,000 records in the Oregon Records Management Solution (ORMS)

40,000 records from the Archives holdings are in WebDrawer – Public Portal affiliated with ORMS

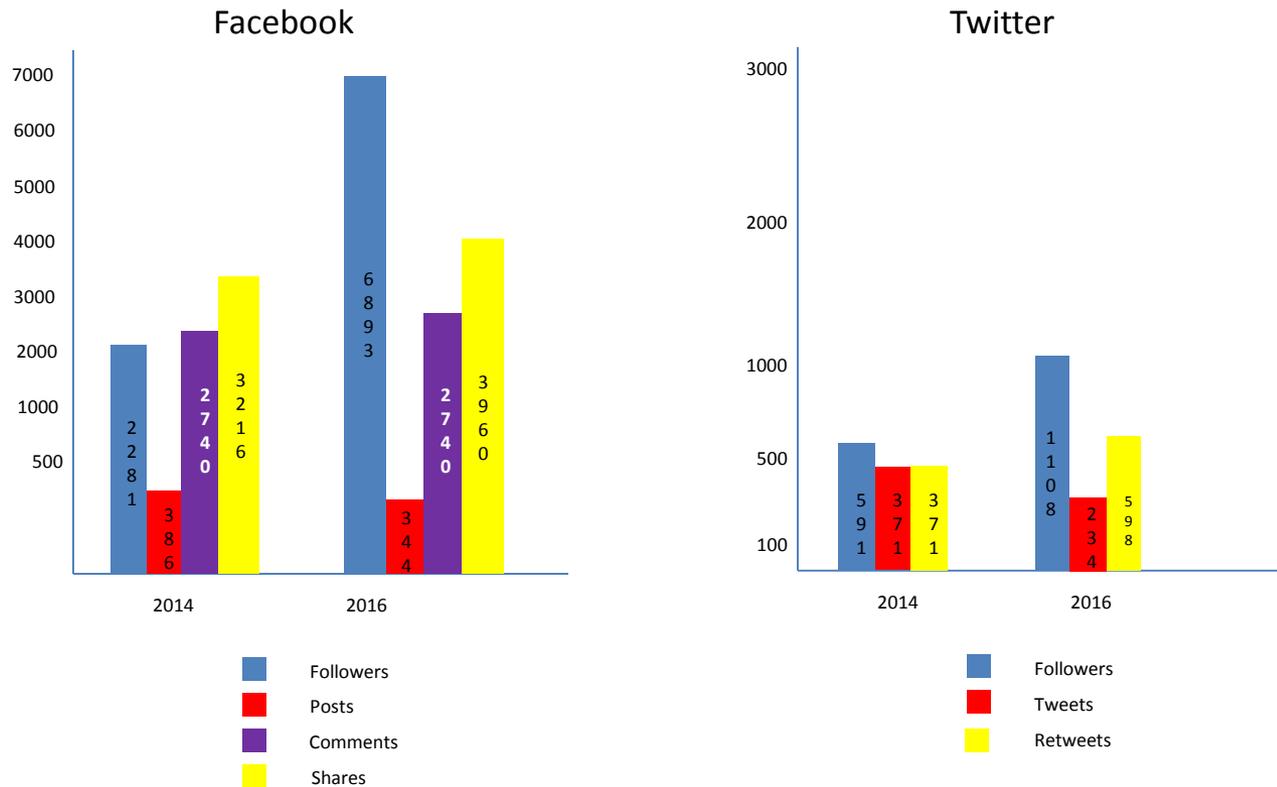
Accountability

Transparency

Integrity

Archives Division

KPM #1 – Electronic Access to Public Information- Social Media



Archives Division

Goal: Increase Access to Public Records



ORMS (Web Drawer)

Exhibits

Open House

Training

Twitter

Facebook

Webinars

Television

Ancestry.com



Accountability

Transparency

Integrity

Archives Division

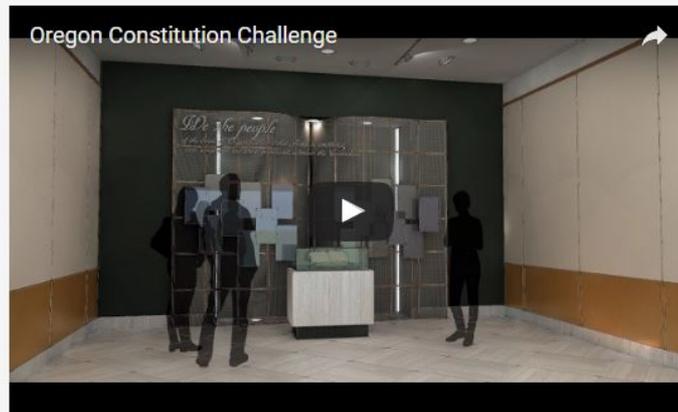
Goal: Increase Access to Public Records

Oregon Constitution Challenge

- Archival Records
- Oregon Administrative Rules (OARs)
- Oregon Constitution Challenge**
- Oregon Constitution Challenge FAQ
- Constitution Challenge Contributors
- Oregon Blue Book
- Exhibits and Events
- Records Management
- State Historical Records Advisory Board (SHRAB)
- Shop the Oregon State Archives

Join the Cause to Restore, Preserve and Exhibit the Original 1857 Oregon Constitution

Oregon gained statehood in 1859, joining as the 33rd state in the Union. Two years prior to congressional approval, the state constitutional convention began drafting Oregon's founding document. It's one of the most significant markers in our historical legacy, but the Oregon State Constitution needs repair and restoration if it's to be preserved for future generations. We're raising funds from the people, by the people and for the people's document. Our goal is to raise \$100,000 from communities across the state, and we need your help! We ask you watch the video below and please consider making a contribution to Oregon history.



[Read the Frequently Asked Questions \(FAQ\) >](#)

\$10,970
pledged of \$100,000 goal

72 contributors **241** days remaining

- \$1 or more**
Your name listed on our website in thanks
- \$10 or more**
Personal thank you note, signed by Secretary Richardson
- \$160 or more**
Commemorative lapel pin celebrating 160th anniversary
- \$1,000 or more**
Your name or organization engraved on the exhibit display plaque
- \$10,000 or more**
Private tour of state archives and special recognition engraved on the exhibit display plaque
- \$,00
- Please share my name on your website.

Archives Division

Goal: Increase Access to Public Records

➤ Records Management Focus

- Government accountability and transparency
- ORMS
- Standards and Technology

➤ Reference Focus

- Engaging more Oregonians in their government
- Digitizing Archives holdings and accepting historical electronic records
- Student Internships
- Streamlining internal business processes for Reference

➤ Publications Focus

- Streamlining internal business processes for Administrative Rules
- Oregon Administrative Rules Database
- Blue Book upgrade

➤ Administration Focus

- Succession Planning

Archives Division Policy Package 109

Phase 3 Archives Compact Shelving
\$500,000 OF



Accountability

Transparency

Integrity

Archives Division Policy Package

**Package 110 - Blue Book – Secure stable
funding source \$50,000 GF**



Accountability

Transparency

Integrity

Archives Division Policy Package

Package 111 – Position true up

- Supply Specialist 1 reclassify to a Supply Specialist 2

A review of the duties and responsibilities of this position determined the need to reclass to a Supply Specialist 2 was appropriate.

Accountability

Transparency

Integrity

Archives Division

Proposed Legislation

- **SB 227 – Administrative Rules modernization**
- **SB 228 – Administrative Rules policy**

Accountability

Transparency

Integrity

Audits Division

*Auditing to protect the public interest
and improve Oregon government*

Audits Division

2017-19 Revised Agency Request Budget

- Other Funds: \$21,877,968
- 74 FTE
- Charges to all state officers, departments, boards and commissions for a share of audit costs. (Except School Fund and Trust Funds)
- Based upon expenditures, revenues, cash and FTE
- Expect to generate \$26.7 million in total revenues
- Assessments to agencies are reduced if original estimates are too high.

Audits Division

Goals

- Improve Oregon government programs and services.
- Improve transparency of government practices so Oregonians can hold leaders accountable.

Audits

- As required by federal and state law, audits are conducted in accordance with Government Auditing Standards.
- These standards require: independence in our work, professional judgment and care, highly competent staff, and steps to assure the quality of our work.

Audits Division

Financial and IT Audits

Financial and Compliance Audits – 42% of our efforts

- Determine whether state agencies properly prepared their financial records and statements.
- Determine whether agencies complied with applicable state and federal requirements.
- Mandated to receive federal funding or by credit-rating agencies for state borrowing.
- FY2016 – over 500 different accounts in detail, representing \$25.1 billion in revenues, \$25.3 billion in expenditures, \$27.7 billion in assets and \$15.1 billion in liabilities.

Audits Division

Performance Audits

Performance Audits – 38%

- Independent assessment of the performance and management of a program
- Analyze performance and compare to best practices to show how it can improve.
- The Secretary of State wants us to ensure we are auditing the issues that most need improvement.

Information Technology Audits – 8%

- Determine whether the state's computer systems adequately protect public funds and electronic information, and operate as intended. Recommendations are directed at improving electronic information security, practices and procedures.

Audits Division

Other audit-related work – 12%

Municipal audit monitoring

- Help ensure local governments receive consistent, professional audit services from their contracted CPAs.
- Establish requirements for municipal audits, review private CPA audit reports and selected working papers.
- Mandated by statute.

Hotline Investigations

- Government Waste Hotline is set in statute as a way for public employees and citizens to report fraud, waste or abuse in state programs.
- Investigate calls, prepare annual report summarizing the calls.

Audits Division Budget Drivers, Challenges and Actions Taken

- **Barriers to audit information** – Audit progress can be slowed by legal or procedural impediments to obtaining data from agencies.
- **Actions Taken** – We have worked with state agencies and DOJ to develop a data sharing agreement, designed to alleviate some of the impediments we encounter.

Audits Division Budget Drivers, Challenges and Actions Taken

- **Audit Mandates and Requests** – We are required by legislation or ballot measure to perform audits of certain state funded agencies and programs. In addition, issues of strong public interest often generate demands for an audit.
- **Actions Taken** – We monitor legislation and provide input regarding authority to audit the topic and whether the audit mandate is feasible. In 2015 we started conversations with JLAC about reviewing and filtering requests for audits to help ensure audit mandates are for areas of highest interest for legislators.

Audits Division Budget Drivers, Challenges and Actions Taken

- **Balancing Performance Audit Priorities** – One of our primary goals is to improve Oregon government, which includes helping agencies better meet their missions. While these audits may not always generate financial savings, they have the potential to significantly improve program results such as the quality of delivered services, well-being of Oregonians, and the stewardship of Oregon’s natural resources.
- **Actions Taken** – We have increased our communication that these audits generate a much larger impact to Oregonians, measureable and immeasurable.

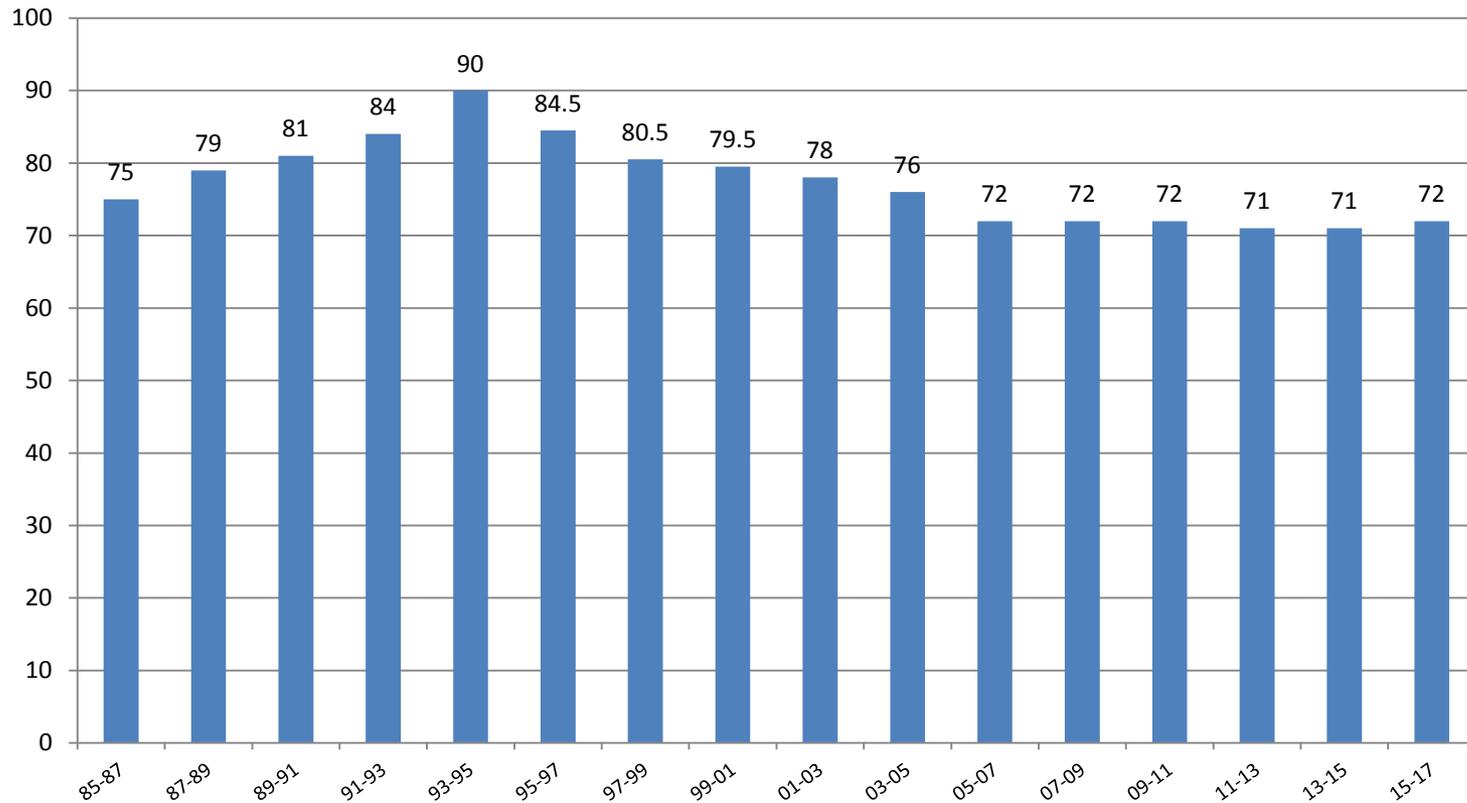
Audits Division Policy Package

Package 117 (new) - Auditor Positions- \$408,979 OF, 2 FTE

- This package aligns our organization with present-day audit needs by requesting permanent position authority for two new IT audit positions.
- This package will better address the demands for conducting IT audits, specifically IT security audits.

Audits Division - Staffing History

Positions



Accountability

Transparency

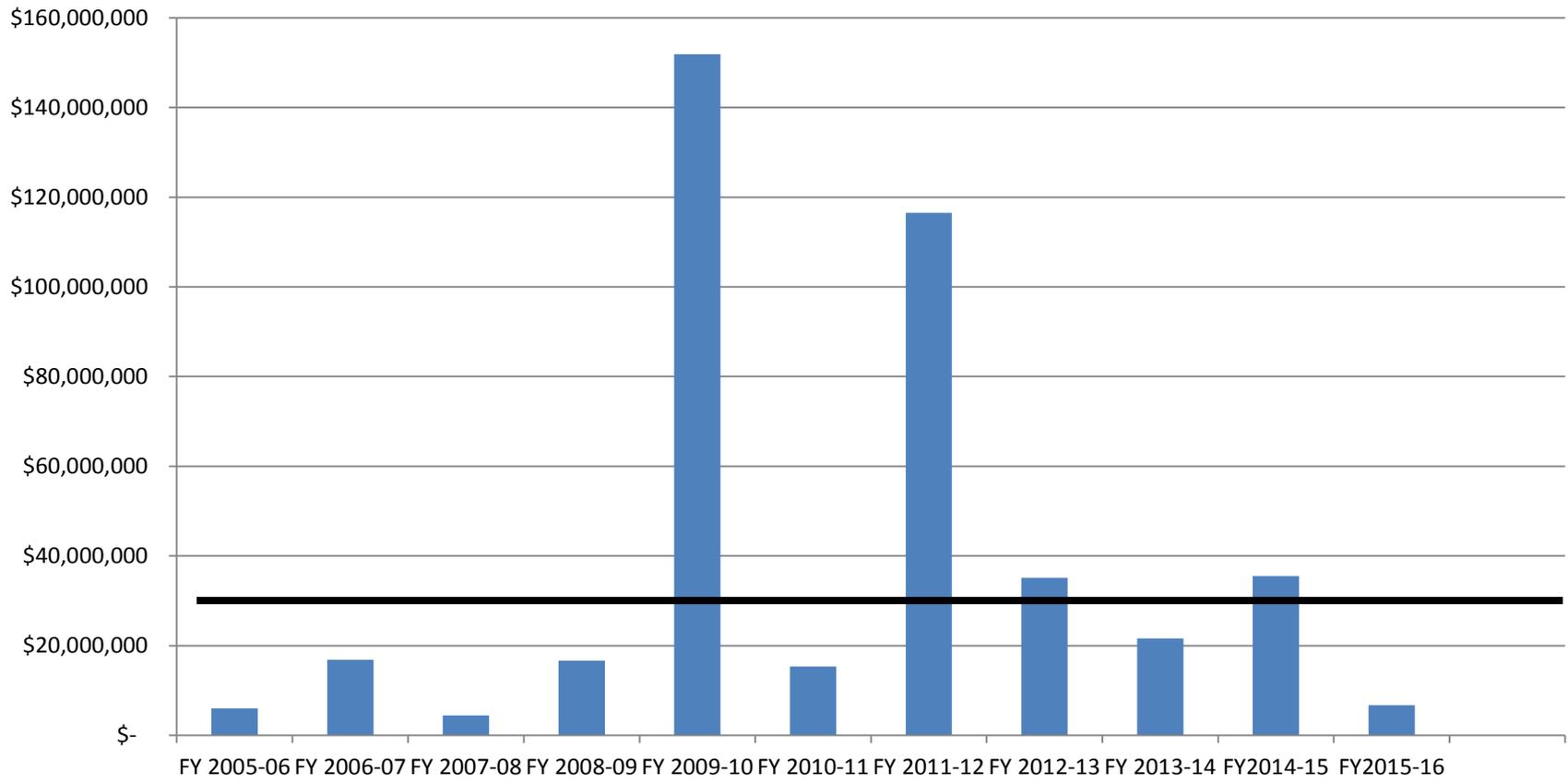
Integrity

Audits Division

KPM #2: Dollar impact of audits

Savings, Revenue Enhancements, or Questioned Costs

Target \$30 million

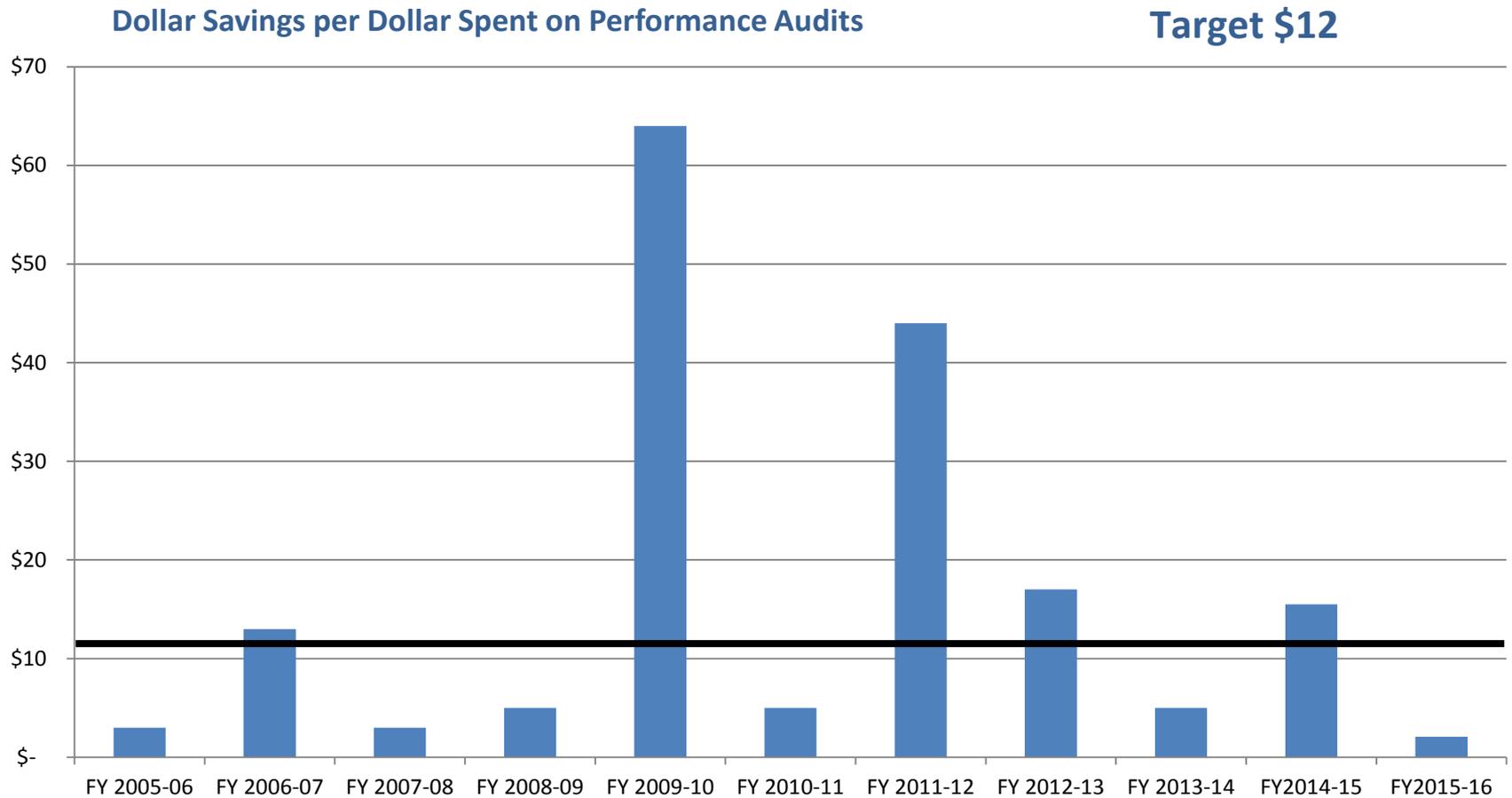


Accountability

Transparency

Integrity

Audits Division KPM #3: Return on performance audit costs



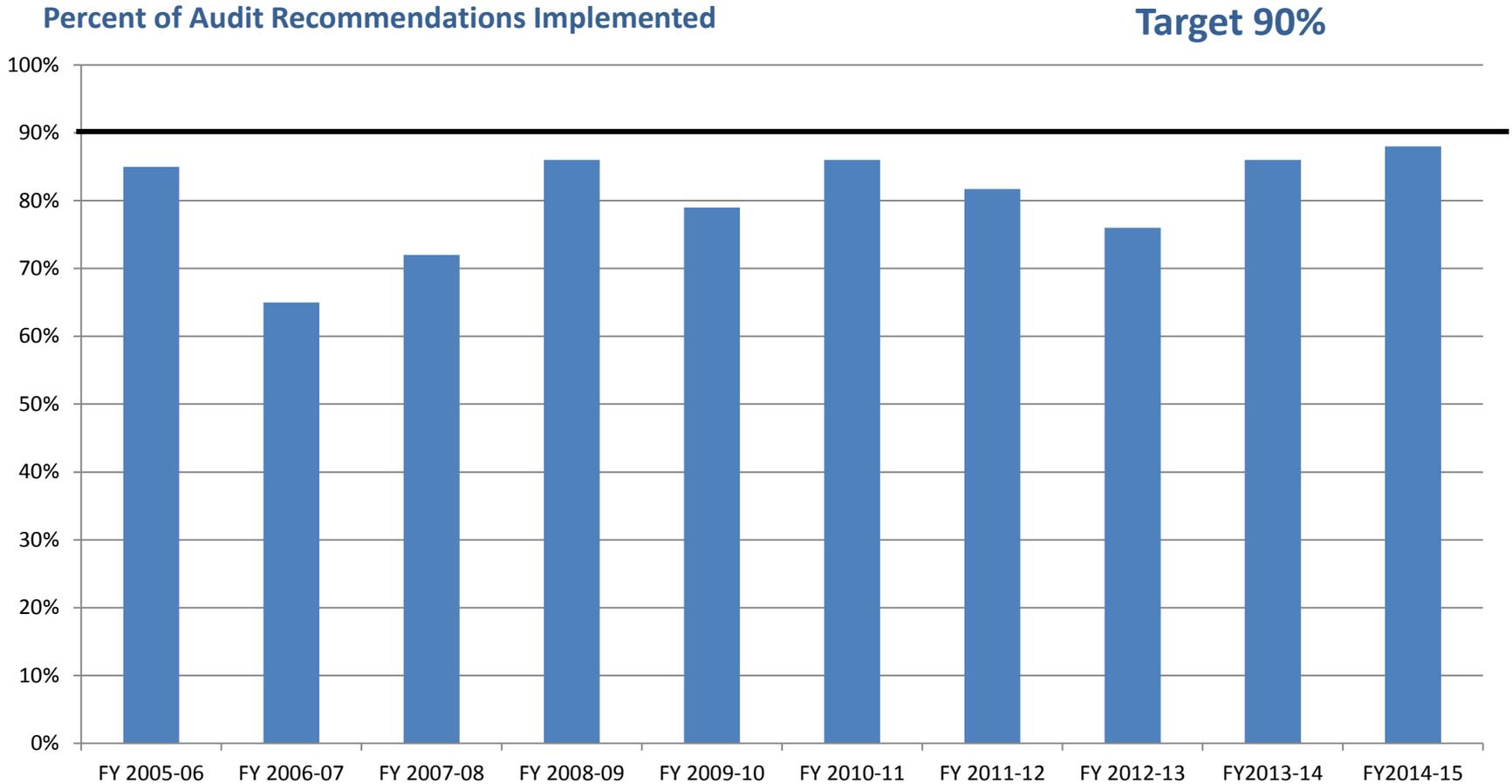
Accountability

Transparency

Integrity

Audits Division

KPM #4: % of recommendations implemented



Accountability

Transparency

Integrity

Audits Division

2016 Results

- **Issued 37 reports** - 14 financial reports with over 20 related management letters, 11 performance audits, 2 IT audits that included 14 management letters, 2 informational reports, our annual hotline report and related correspondence, and we oversaw 7 contracts of financial audit and investigative reports.
- Responded to numerous hotline calls, local government concerns, and various external questions and correspondence; conducted desk and field reviews of CPA firms; followed up on status of prior recommendations; and presented training at various national and local events, and we passed our external peer review with flying colors!

Audits Division

2016 Performance Audits

- Oregon Department of Fish and Wildlife
- Teacher Standards and Practices Commission (mandated)
- Oregon Youth Authority
- Oregon Department of Forestry
- Department of Education – Smarter Balance (mandated)
- Department of Human Services
- Department of Geology and Mineral Industries
- Department of Agriculture
- Oregon Housing and Community Services Department
- Water Resources Department
- Oregon Business Development Department

Audits Division

2016 Financial Audits

- Oregon Comprehensive Annual Financial Report
- Statewide Single Audit Report – Federal
- Keeping the State of Oregon Accountable – Summary Report
- Oregon Business Development Department – SPWF, WF
- Oregon Health Authority – Safe Drinking Water
- DEQ – Clean Water
- Oregon Short-Term Fund
- Oregon Intermediate Term Pool
- Department of Energy – SELP
- Department of Veterans’ Affairs
- Oregon Housing and Community Services
- Oregon State Lottery
- Contract Audits: CRGC, PERS, SAIF, State Lands (CSF)

Audits Division

2016 IT Audits

- **Department of Administrative Services – State Computer System Security:** we reviewed several state agencies' information security plans and a selection of security functions to determine if agencies were adequately protecting their systems and data.
- **Department of Education -** The purpose of the audit was to review and evaluate the effectiveness of key general and application controls over the computing environment

Audits Division

2016 Other

- **Other Projects**
 - Senate Bill 616 – Community Housing Trust Account Investigation
 - Oregon’s Counties: 2016 Financial Condition Review
 - Annual Hotline Report
 - Business Energy Tax Credit Program Investigative Examination (contract)
- **Municipal Audit Reviews**
 - Desk and field reviews
 - Delinquent Filer Postings
 - Implementation of 2015 Legislation

Audits Division

Ways we protect the state's resources

- Examining the security of state computer applications and controls
- Auditing agency internal controls to ensure that money is properly managed
- Responding to Fraud Hotline calls with investigations when losses occur
- Staying vigilant for fraud in all our audit efforts
- Auditing to ensure state agencies are using state resources effectively and efficiently

Audits Division

Goals

- Improving Oregon Government Programs and Services
- Improving Transparency of Government Practices so Oregonians Can Hold Leaders Accountable

We will continue to focus on our goals while completing:

- Mandated financial audits on time
- Performance audits that promote effective and efficient use of state resources
- IT audits that focus on the most critical state needs and vulnerabilities
- Hotline investigations addressing government waste, fraud, and abuse
- Municipal audit responsibilities

Accountability

Transparency

Integrity

Elections Division

*Ensuring Accurate, Secure, Efficient,
Transparent, and Accessible
Elections in Oregon*

Elections Division

2017-19 Revised Agency Request Budget

- General Fund: \$9,385,888
- Other Funds: \$1,118,011
- Federal Funds: \$5,083,027
- 21 FTE

Accountability

Transparency

Integrity

Elections Division

- The Elections Division interprets, applies and enforces election laws, provides election information to the public, and maintains all documents related to elections.
- The Elections Division operates under the authority of the Oregon Constitution and ORS Chapters 246-260.
- The Division is also responsible for implementation in Oregon of federal election law, including the National Voter Registration Act (NVRA) and the Help America Vote Act (HAVA).

Accountability

Transparency

Integrity

Elections Division

Key Activities

- Conduct of Elections
- Initiative & Referendum
- Campaign Finance Reporting
- Voter Registration
- Election Law Enforcement
- Candidate Services
- Training for Cities, Districts, Counties, Candidates, and Political Committees
- Statewide Voters' Pamphlet
- Election Information and Publications

Accountability

Transparency

Integrity

Elections Division

Budget Drivers & Challenges

- The number of elections we have in a biennium.
- The number of candidates, the number of measures, and the number of arguments submitted regarding those measures; these variables have a significant impact on the size of the voters' pamphlet and the staff and resources.
- Elections Law Complaints and Campaign Finance Complaints. We are unable to control the number of complaints we are required to investigate.
- Lawsuits we are involved in. We are unable to control the number of times we are sued, or how long and costly those suits may be.

Accountability

Transparency

Integrity

Elections Division

Budget Drivers & Challenges Cont.

- With respect to funds received from the federal Help America Vote Act, we anticipate these funds to be exhausted in the 2017-19 biennium.
- Staff outside of OCVR paid for with these Federal Funds have been eliminated leaving all remaining resources and positions available for OCVR.
- Programs currently paid for with these Federal Funds will need to transition to being paid out of General Fund dollars to maintain our centralized voter registration database (OCVR) and Oregon Motor Voter.

Accountability

Transparency

Integrity

Elections Division

Key Performance Measures

➤ KPM #8 – Campaign Finance Information

98.91% of committee filings determined to be sufficient

ORESTAR provides information to committees instantly when they file their transactions to help ensure sufficiency of the filings.

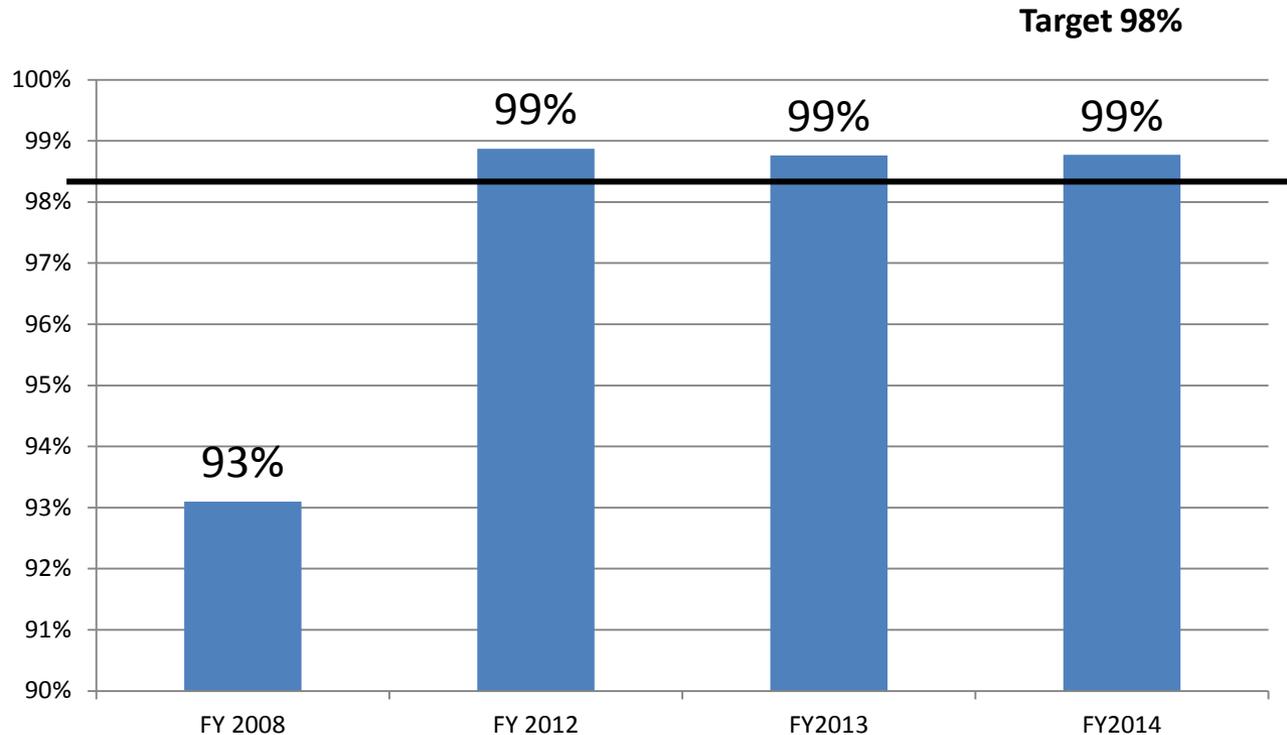
Accountability

Transparency

Integrity

Elections Division

KPM #8: % of Committee Filings determined to be sufficient



Accountability

Transparency

Integrity

Elections Division

Key Performance Measures

- **KPM #10 – Customer Satisfaction**
 - Customers want timely and accurate services from the Secretary of State. Listening to our customers allows us to develop and provide services that meet the customers' needs.
 - Our customers consistently rate us high for: Overall Level of Service Provided; Timeliness of Services Provided; Accuracy in Processing Requests; Helpfulness of our Employees; Knowledge and Expertise of our Employees; and Making Information Easily Available.

KPM #10	Customer Satisfaction - Percent of customers rating their overall satisfaction with the agency as "good" or "excellent": overall customer service, timeliness, accuracy, helpfulness, expertise and availability of information.
	Data Collection Period: Jan 01 - Jan 01

Metric	2012	2013	2014	2015	2016
Expertise					
Actual	99%	100%	97%	No Data	88%
Target	85%	85%	85%	85%	85%
Overall					
Actual	98%	98%	98%	No Data	90%
Target	85%	85%	85%	85%	85%
Accuracy					
Actual	98%	97%	93%	No Data	90%
Target	85%	85%	85%	85%	85%
Timeliness					
Actual	98%	99%	97%	No Data	92%
Target	85%	85%	85%	85%	85%
Helpfulness					
Actual	98%	98%	99%	No Data	91%
Target	85%	85%	85%	85%	85%
Availability of Information					
Actual	94%	97%	88%	No Data	85%
Target	85%	85%	85%	85%	85%

Accountability

Transparency

Integrity

Elections Division

Encourage voter participation while maximizing access and integrity of voter rolls

- Modernize OCVR to allow new technologies to interact with our systems that will provide greater efficiencies and transparency.
- Oregon Motor Voter is enabling more Oregonians to receive a ballot than ever before.
- Use technology and data analysis to improve the accuracy and integrity of our voter rolls.
- Take advantage of the opportunities provided by a digital voters pamphlet that cannot be realized in a paper version.

Accountability

Transparency

Integrity

Elections Division

Improve Elections stakeholder relationships and reduce violations

- Establish an elections roundtable team.
- Develop a Committee Charter that will smooth transitions within statewide elections processes when legislation is passed or rules are adopted.
- Partner with groups to produce and distribute voting materials for disabled voters.

Accountability

Transparency

Integrity

Elections Division

Improve understanding of elections processes and integrity

- Develop videos and stories of elections practices for public dissemination
- Forge partnerships with community groups to increase education.
- Increase transparency so the public can see all processes and gain confidence.
- Engage in voter outreach and voter engagement activities.

Accountability

Transparency

Integrity

Elections Division

Policy Package

Package 104 - Technology Package – ORESTAR/OCVR System Integration \$300,000 GF

The integration of the OCVR-ORESTAR systems will result in business staff time savings for each County Election Office. In addition, currently the division is required to conduct duplicate manual entries , integrating the systems will eliminate double entry and decrease data entry errors resulting in more accurate information.

Accountability

Transparency

Integrity

Elections Division Policy Package

Package 105– Elections Division Staffing True-up

Compliance Specialist 2 to a Public Service Representative 4- \$0 (GF)

- Downward reclassification to reflect actual position duties

Compliance specialist 2 to an Operations and Policy Analyst 3- \$0 (GF)

- Reclassified to reflect a higher level of responsibility position duties

Compliance specialist 3 to an Operations and Policy Analyst 2- \$0 (GF)

- Downward reclassification to reflect actual position duties

Accountability

Transparency

Integrity

Elections Division

Policy Package

Package 106 - Continuation of Oregon Motor Voter payments to Counties \$831,278 GF

Oregon Motor Voter resulted in increased costs to the counties due to the increased number of registered voters. This was a budget note in the 2013-15 budget that indicates a commitment to fund the counties to compensate for these increased costs. If not approved these costs will be borne by the counties and we will have broken our promise to them.

Accountability

Transparency

Integrity

Elections Division

Policy Package

Package 107 – OCVR Increase GF support \$441,851

Federal HAVA funds that have been used to pay for OCVR ongoing expenses are nearly depleted and General Fund dollars will have to pay for OCVR going forward. The current cost to maintain OCVR is about \$3.2 million per biennium, with additional hardware replacement costs according to the hardware replacement guidelines. There has been a recognition that this General Fund obligation is coming soon and so the Secretary and Legislature have been following a course where the General Fund dollars would be incrementally added to the Secretary's budget so that the full \$3.2 million did not hit in one biennium. This Package furthers that course by adding a biennium request of \$441,851 to the 2017-19 CSL HAVA GF budget of \$894,697. If not approved there may not be enough funding to pay for OCVR and the Secretary may need to come back to the legislature for additional funding during the 2017-19 biennium or the 2019-21 biennium.

Accountability

Transparency

Integrity

Elections Division

Policy Package

Package 108 - Voter Registration Staffing Needs **\$168,063 GF, 1.0 FTE**

As Oregon's electorate population continues to grow it is essential the elections division has qualified and professional staff to assist a wide customer base. Critical and essential services risk being lost at current staffing levels. Some of those essential services include, but are not limited to assisting the public with various data requests, fielding calls and responding to emails regarding voter registration and election procedures, continuing support for county elections officials and providing resources to various levels of customers that can further educate and engage voters and ensure the continued success of Oregon's election process.

Accountability

Transparency

Integrity

Elections Division

Policy Package

Package 116 – Ongoing Cost for Election Night Reporting (ENR) \$83,000 GF

This package seeks to continue support for a secure and creative technological solution for Election Night Reporting (ENR) in the biennial amount of \$83,000. ENR was requested by the legislature and provides a much easier to use election night results web presence with graphs, maps, precinct level totals and the ability to track specific contests statewide. No funding source for ongoing maintenance and support was provided when this new system was implemented. If not approved there will not be funding available to maintain this product and the Secretary would have to revert to its old, text based, election night reporting on the web and the investment in this tool that utilizes modern technology to display results will have been used for only one election.

Accountability

Transparency

Integrity

Elections Division

Policy Package

Package 119 (new) – Ongoing costs for OMV \$290,000 GF

There are ongoing costs with Oregon Motor Voter which include sending letters to those who transact business at DMV informing them of their registration options. This was funded with one time federal funds during the current biennium and those funds are depleted with all remain federal funds going to OCVR. If not approved there will not be funding to execute the Oregon Motor Voter process and we will be unable to meet our legal requirements which could lead to legal expenses.

Accountability

Transparency

Integrity

Elections Division

Proposed Legislation

- HB 2351 – Campaign enforcement
- HJR5 – Campaign finance (task force)
- HB 2350 – Campaign finance (relating to)
- HB 2349 – Election mail resembling VP or ballot
- SB 226 – Electronic NAV ballot requests
- SB 229 – Elections Omnibus bill
- SB 225 – Treasurer liability

Accountability

Transparency

Integrity

Elections Division

Impacts of 15% reduction request

- Elections Division

- 5% \$382,734

- 10% \$765,468

- 15% \$1,153,724

Requires reductions in S & S to Office Expense and Publicity and Publications eliminating funds used for the printing and distribution of the Voter's Pamphlet; eliminates 2 FTE dedicated to support OCVR and ORESTAR, which would eliminate our ability to provide statistical and technical support for these two critical applications.

Administrative Services

The Administrative Services Division (ASD) consists of the Executive Office, Business Services, Human Resources, and Information Systems.

ASD provides administrative support services to all divisions of the Secretary of State.

Administrative Services

2017-19 Revised Agency Request Budget

The Administrative Services operations are financed by a GF appropriation combined with revenue transfers from those divisions operating with OF limitations as follows:

- General Fund: \$3,543,366
- Other Funds: \$18,827,312
- 65.89 FTE

Administrative Services

Administrative Services support all divisions in the agency through the following programs:

Executive Office

- **Agency Management:** General oversight of the work of each division; managing external communications, including relations with other governments, other agencies of state government, the Legislature, the media and our customers.
- **Other Secretary of State Functions:** The Executive Office performs statutory and constitutional functions not assigned to any division, such as supporting the work of the State Land Board, accepting and filing original bills during the legislative session, and lending of the state flag and. The Secretary is also the custodian of the State Seal.

Administrative Services

EXECUTIVE OFFICE GOALS

- Utilize technology to resolve logistics issues, maximize effectiveness, and lower costs
- Multi-partisan independent redistricting process evaluation
- Drive policy change to advance mission.

Administrative Services Division Policy Package

**Package 101 – Staffing needs: \$738,890 GF and
\$581,788 OF**

This packages requests 6 FTE in the following ASD Programs:

- **1 FTE- Executive Office**
- **4 FTE- Information Systems**
- **1 FTE- Business Services**

Administrative Services Division Policy Package

Package 101 Staffing Needs

Executive Office- \$201,429 OF

**1 FTE- Legislative Liaison, policy analysis and development -
*Operations and Policy Analyst 3***

Provides internal evaluation, legislative analysis, and engages proactively with the Legislature and other state leaders.

Administrative Services

Business Services

- **Administration:** Strategic development & execution; financial management; policies and procedures; administrative support and safety and risk management
- **Accounting:** Financial reporting; accounts receivables and payables; and financial transaction processing
- **Budget:** Budget analysis; budget development; budget execution; fiscal impact statement preparation and Emergency Board
- **Business and Cash Management Services:** Blue Book sales and distribution; cash and cash equivalents processing; accounting assistance and mail distribution
- **Purchasing and Contracts:** Contract administration; formal & informal procurement; contract risk assessment; fixed asset tracking and storeroom and inventory management

Administrative Services

BUSINESS SERVICES GOALS

- Provide review and analysis of division budgets to ensure spending remains within execution budget limitations and expenditures support the mission and the goals of the Secretary of State
- Utilize technology to provide timely, efficient and cost effective services to our division partners and external customers

Administrative Services Division Policy Package

Package 101 Staffing Needs

Business Services- \$118,057 OF

1 FTE Cashier - *Accounting Technician 2*

Provides an additional resource to help open mail, batch documents and cashier payments made to the Corporation Division, Audits Division, Archives and Elections Division.

Administrative Services Division

Policy Package

Package 103 – OregonBuys: \$250,000 OF

- Currently using ORPIN for contract opportunity notification
- End-to-End eProcurement Solution
 - Cloud-Based/Vendor-Provided service
- Robust contract management
 - In system approvals, awards, and ties goods and services to payment
 - Statewide price agreement repository
 - Standardized and ad hoc reporting
 - Replaces antiquated, inefficient processes and fragmented systems

Administrative Services

Information Systems

- **Administration:** Strategic planning & execution; business continuity, policy for state and industry standards, governmental IT partnerships, IT contracts administration, security policy and compliance
- **Technical Support:** Service Desk administration; hardware & software purchase, distribution, and inventory; end-user support; service level monitoring; system baselines
- **Infrastructure Support:** Network support, security intrusion detection/protection, database administration & management, server administration, web services, quality assurance and testing, configuration and system document management
- **Application and Development Support:** Project management, business analysis, application development and security, quality assurance and testing

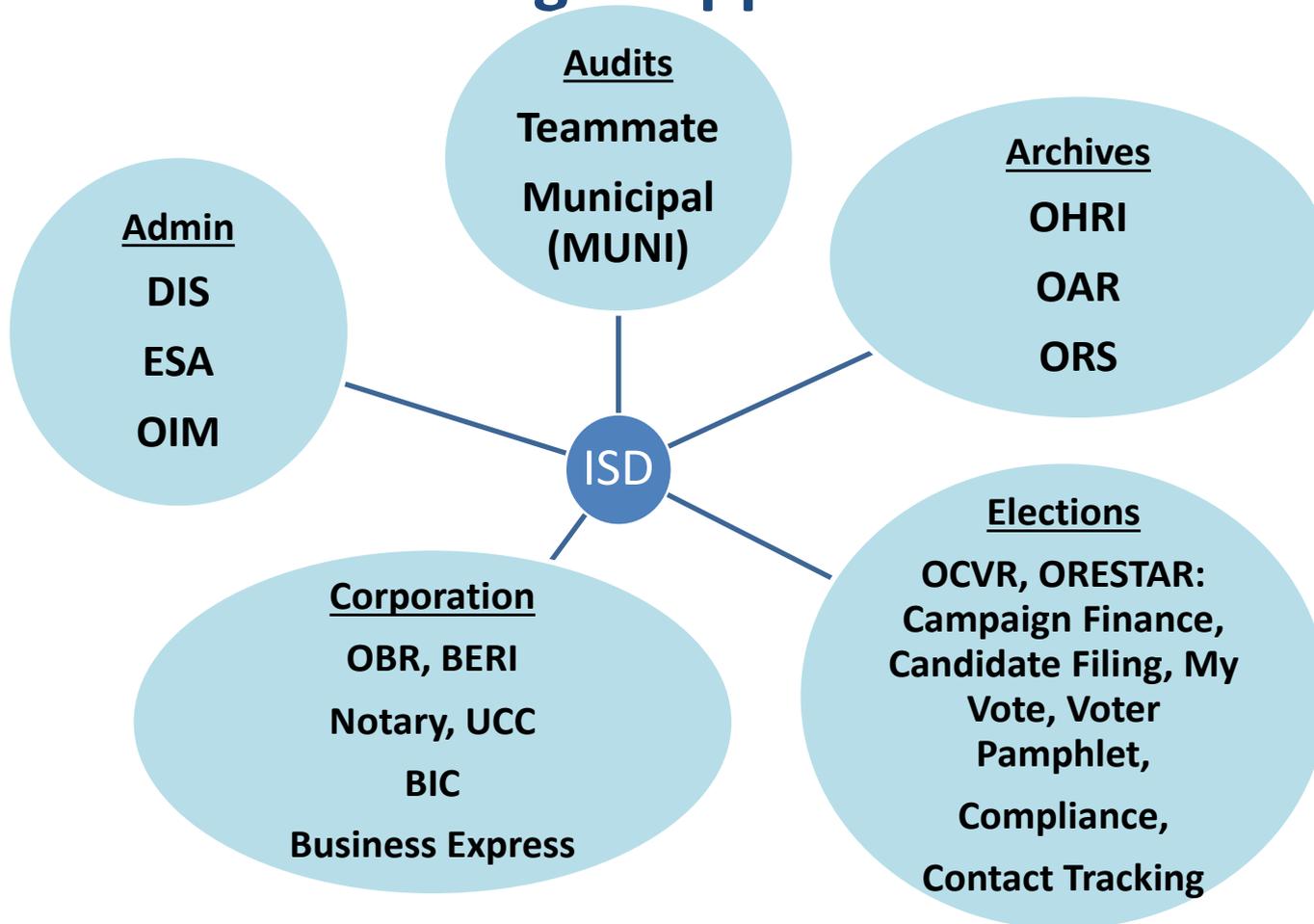
Administrative Services

INFORMATION SYSTEMS GOALS

- Continue to update IT infrastructure and application development methodologies in an effort to improve security posture to protect public data and information
- Revise application development processes, policies, and tools to enhance and create the robust delivery of user-friendly applications that meet the business needs of Oregon Citizens.

Innovation & Security – Administrative Division

IT Staffing: Support Overview



Administrative Services Division

Policy Package

Package 101 Staffing Needs

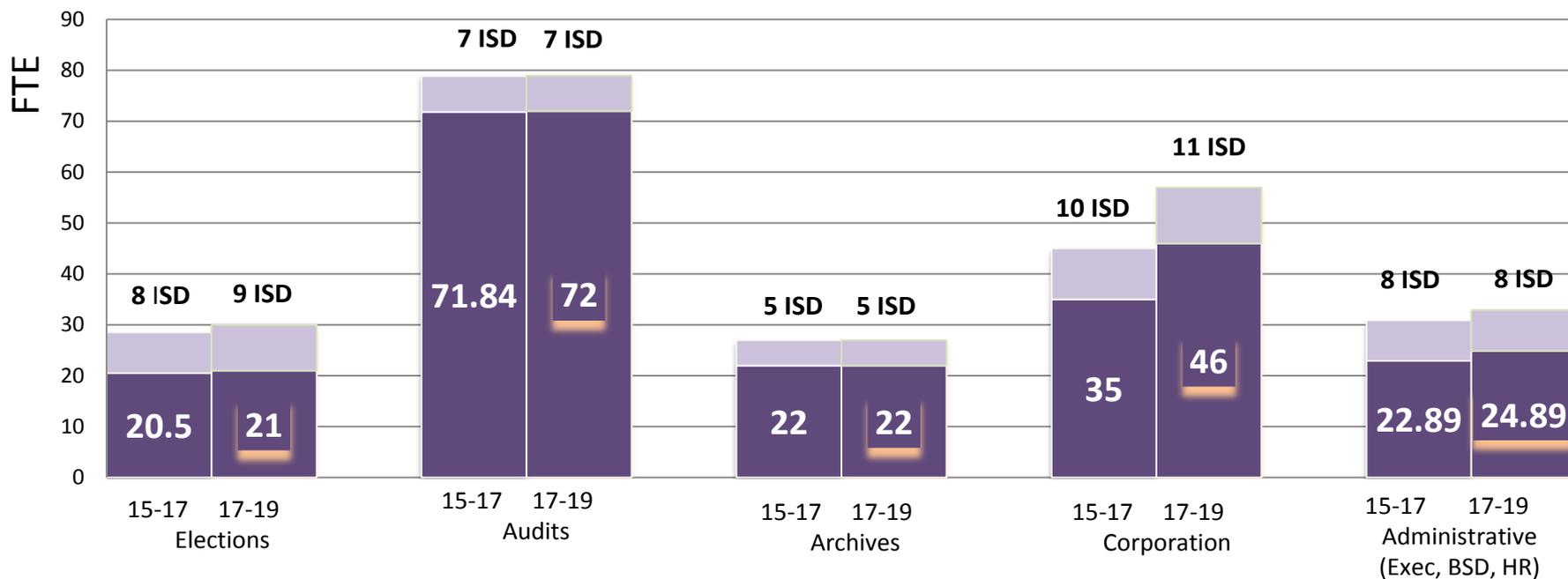
Information Systems: 4 FTE- \$715,223 GF; \$215,915 OF

- 1. CORP Lead Systems Analyst - *Information Systems Specialist 8***
Provides application security remediation design, requirements gathering, and technical leadership for development of business applications
- 2. Elections Program Manager - *Information Systems Specialist 8***
Provides application development oversight (cost, schedule, scope), project planning, problem analysis, and monitoring vendor relationships for all elections technology projects
- 3. Elections Java Developer – (LD to Perm) *Information Systems Specialist 7***
Provides security remediation, system design, enhancement, maintenance, and programming support for elections applications
- 4. Elections Java Developer – (LD to Perm) *Information Systems Specialist 7***
Provides security remediation, system design, enhancement, maintenance, and programming support for elections applications

Innovation & Security – Administrative Division

IT Staffing: Support Across the Agency

Secretary of State
Order of Priority & Risk Evaluation FTE



Accountability

Transparency

Integrity

Innovation & Security – Administrative Division

Package (New) – Information Technology Security Enhancements: \$250,000 OF

Robust security requires nimble responsiveness to evolving threats and vulnerabilities. This package would address the need to mature our existing posture.

1. Web Security Gateway

Provides better visibility and additional controls over web access and filtering, as well as providing better reporting on web activity

2. Network Monitoring (Full Packet Capture)

Provides more detailed insight into what is happening on our network, both for protection and for determining more details on those events

3. Network Access Visibility/Control

Provides better, policy-based alerts and controls over new or rogue devices on our network

Administrative Services

Human Resources Services

- **Compliance:** Interpretation, application and compliance of state and federal laws as well as policies, procedures and rules
- **Payroll:** Payroll and benefits administration; compensation and classification
- **Recruitment & Training:** Recruitment; employee orientation; employee training
- **Personnel Management:** Performance management; counseling; complaint resolution; progressive disciplinary action; employee reduction, layoff and outplacement assistance

Administrative Services

HUMAN RESOURCES GOALS

- Be prepared for significant loss of key business knowledge due to staff retirements
- Support employee satisfaction through support of continuing education and training.

Administrative Services Division

Policy Package

Package 102 – Staff True-Ups \$19,621 OF

Executive Office- 2 positions

PEM E- *PEM D to PEM E* - \$0 (GF/OF)

The position serves as the Secretary of State's Chief of Staff. This proposal would increase the classification to a PEM E to more appropriately reflect the responsibilities associated with this position.

Public Service Representative 2 – *Executive Support Specialist 2 to a Public Services Representative 2* - \$0 (GF/OF)

This is a budget neutral change to better reflect the duties and responsibilities of the position.

Business Services- 1 position

PEM G- *PEM F to PEM G* - \$0 (GF/OF)

The position serves as the Director of Business Services. This proposal reflects the level of responsibility and risk associated with this position and increased the classification to a PEM G. This also brings parity in this position with the other two administrative support directors.

Administrative Services Division

Policy Package

Package 102 – Staff True-Ups

Information Systems- 3 positions

Enterprise Lead Systems Analyst - *Information Systems Specialist 7 to 8- \$9,765 (OF)*

Position was upgraded to provide technical leadership and day-to-day assigning, prioritizing, and reviewing development team tasks

Web Content Coordinator – *Information Systems Specialist 4 to Public Affairs Specialist 2 - \$2,799 (OF)*

Position was reclassified to be more inline with agency needs to focus on web interface and functionality of applications

Web Usability Tester – *Information Systems Specialist 4 to 6 - \$7,057 (OF)*

Position was reclassified to capture added responsibilities of providing senior-level experience and knowledge of technical testing requirements

Secretary of State

Long-term Vacancies as of December 2016

Position	Anticipated Fill Date
Information Systems Specialist 8 (0036009)	Position filled January 2017
State Auditor 1 (0099001)	Position filled March 2017
State Auditor 1 (0099003)	Position filled March 2017
State Auditor 1 (0099004)	Position filled March 2017
State Auditor (0099021)	Position filled March 2017
Audits Division Director (0186001)	Recruitment and search is currently under way to fill this critical position
Office Specialist 2 (2103222)	Recruitment initiated early March
Program Analyst 3 (1503605)	Position filled March 2017

Administrative Services

Budget Drivers

The Administrative Services Division's primary customers are the divisions of the agency. Other customers include state agencies, municipalities, elected officials, contractors, and the general public. The business needs of agency divisions drive the workload of ASD, which can include:

- Demand for online services to the public; increasing reliance on technology; continued increase in our customer and partnership base; and development for "*any data, any device, anywhere*" (applications must be tested for different devices and ever-changing Internet browsers)
- Impacts of new legislation; financial year-end reporting; agency division contracting needs; corporation and business registry filings.
- Number of recruitments, resignations, retirements, dismissals, and layoffs.

Administrative Services

Impacts of 15% reduction request

- Administrative Services (Executive Office, Business Services, Information Systems, and Human Resources)
 - 5% \$583,115
 - 10% \$1,166,230
 - 15% \$1,749,345

Requires reductions in all controllable S & S (i.e. Travel, It Professional, Professional Services, Attorney General, Data Processing SW & HW, IT Hardware, etc.). Eliminates up to 7 FTE in the support divisions.

Secretary of State

Secretary Richardson-Closing Remarks

- *What we are asking for and why*
 - *Here's what we have to do*
 - *Here's what we need in order to do it*
- *Impacts if we don't get what is required*

Appendix

- Attachment A – Proposed Technology Projects
- Attachment B — Ending Balance Form
- Attachment C - 2015-17 Key Performance Measures

Attachment C

Our 2017-19 Key Performance Measures

Number	Description
1	Electronic Access to Public Information—Percentage of targeted records made available electronically.
2	Audit Cost Savings—Dollar Value of Revenue Enhancements, savings or questioned costs in performance audit reports.
3	Audit Efficiency—Dollar savings per dollar spent on economy and efficiency audits.
4	Audit Recommendation Implementation—Percentage of audit recommendations implemented.
5	Business Registration—document processing turnaround time from receipt.
6	Notary—document processing turnaround time from receipt.
7	UCC—document processing turnaround time from receipt.

Attachment C

Our 2017-19 Key Performance Measures

Number	Description
8	Campaign Finance Information—Percentage of committee filings determined to be sufficient.
9	Staff Diversity—Percent of women, people of color, and persons with disabilities as a percentage of SOS workforce.
10	Customer Satisfaction—Percent of customers rating their overall satisfaction with the agency as “good” or “excellent”; overall customer service, timeliness, accuracy, helpfulness, expertise and availability of information.
11	Campaign Finance Proposed Penalty Notices—Percentage of notices mailed within five months of a deficient transaction. <u>Requesting this KPM be removed.</u>