

Appendix

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Attachment A
Annual Performance Progress
Report

SECRETARY of STATE

Annual Performance Progress Report (APPR) for Fiscal Year (2011-2012)

Original Submission Date: 2012

Finalize Date:

2011-2012 KPM #	2011-2012 Approved Key Performance Measures (KPMs)
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.
8	Petition Validity Rate- Percentage of assessed petition signatures that are validated. We are requesting approval to remove this measure as a Key Performance Measure and will discuss in our 2013 Legislative budget hearing.
9	Campaign Finance Information- Percent of committee filings determined to be sufficient.
10	Voter's Pamphlet Satisfaction- Percent of customers who rate the Voter's Pamphlet as useful or very useful. We are requesting approval to remove this measure as a Key Performance Measure and will discuss in our 2013 Legislative budget hearing.
11 a	Staff Diversity- Percent of Women as a percentage of SOS workforce.
11 b	Staff Diversity- Percent of People of Color as a percentage of SOS workforce.
11 c	Staff Diversity – Percent of Persons with Disabilities as a percentage of SOS workforce.
12	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.
New	Campaign Finance Proposed Penalty Notices – Percentage of notices mailed within 5 months of the deficient transaction. We are requesting approval of this new Key Performance Measure

SECRETARY of STATE

I. EXECUTIVE SUMMARY

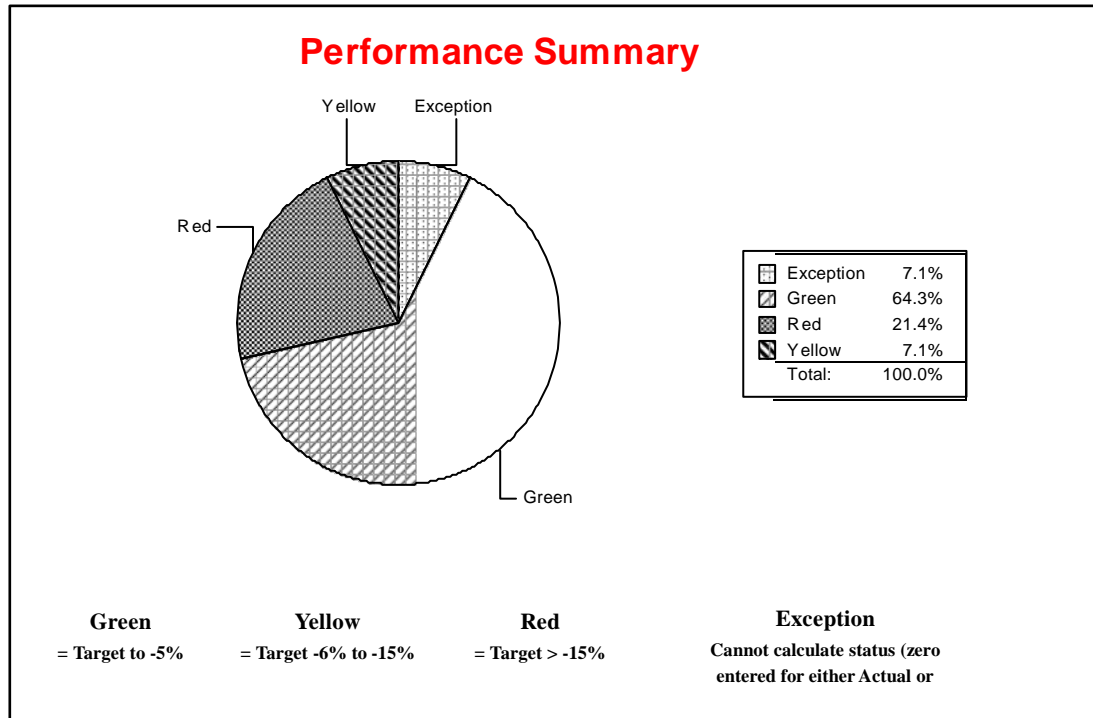
Agency Mission: The Secretary of State is a statewide elected constitutional office under Oregon Constitution Article VI section 2. She is the keeper of Oregon’s history, the auditor of public funds, the first stop for Oregon businesses and the chief elections officer. The Secretary of State provides complete, factual information about elections, corporations, government history and government performance, and maintains secure systems and reliable operations. A government open to public inspection and review guards against fraud, corruption and excessive expense. The Secretary of State provides the public open access to the information that makes Oregon's representative democracy work. Our Vision The Secretary of State delivers better results for Oregonians through: -More effective and efficient service delivery; -Greater transparency and accountability; Using innovation to connect Oregonians to their government.

Contact: Jennifer Friesen

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Alternate: Jeff Morgan, Director, Business Services

Alternate Phone: 503-986-2239



1. SCOPE OF REPORT

Agency Programs/services addressed by key performance measures are: the Audits Division, Corporation Division, Elections Division, Archives Division and the Human Resources Division. **Agency programs/services, if any, not addressed by key performance measures:** The internal support divisions conduct annual customer service surveys to determine quality of services provided.

2. THE OREGON CONTEXT

The Office of the Secretary of State is one of three constitutional offices established at statehood. The Secretary of State is the custodian of the state seal and oversees the functions of seven divisions. As the auditor of public accounts, the Secretary evaluates and reports on the financial condition and efficient operations of state government and administers the Municipal Audit law. The Secretary of State is the chief elections officer. She is responsible for uniformly interpreting and applying state election laws. She also acts as the filing officer for state offices, initiative and referendum petitions, campaign finance reports and other election documents. In addition, the Secretary publishes and distributes the Voters Pamphlet and investigates and prosecutes election law violations. The Secretary is the public records administrator for Oregon, a role that includes preserving official acts of the Legislative Assembly and state agencies, supervising the state archivist, publishing the administrative rules for state agencies and production of the Oregon Blue Book. The Secretary of State registers domestic and foreign corporations, assumed business names, trade and service marks, and is responsible for the state's business portal. The Secretary prepares notarial applications and serves as filing officer for Uniform Commercial Code transactions. The Secretary of State serves with the Governor and State Treasurer on the State Land Board, managing state-owned lands for the benefit of the Common School Fund. She also currently serves as Chair of the Oregon Sustainability Board and the State Complete Count Committee, by appointment by the Governor.

3. PERFORMANCE SUMMARY

KPMs MAKING PROGRESS or trending toward target achievement: KPM #165-01 Electronic Access to Public Information, KPM #165-02 Audit Cost Savings, KPM #165-05 Business Registry Timely Document Processing, KPM #165-06 Notary Timely Document Processing, KPM #165-07 UCC Timely Document Processing, KPM #165-09 Campaign Finance Information, KPM #165-012 Customer Satisfaction. KPMs with UNCLEAR PROGRESS or target not yet set: KPM #165-03 Audit Efficiency, KPM #165-04 Audit Recommendation Implementation, KPM #165-08 Petition Validity Rate, KPM #165-010 Voters' Pamphlet Satisfaction, KPM #165-011 Work force Percentage.

4. CHALLENGES

While the Oregon economy recovers sluggishly from the recession, the state's GF continues to be strained. Budget reductions taken over the course of the last four years have reduced overall funding to the agency. The Office of Economic Analysis is projecting the state's GF revenue growth rate going forward to be less than pre-recession GF growth rates. This creates challenges for agency programs funded by GF dollars to carry out their mission and core business functions.

Audits Division: Oregon government is working its way through severe financial and operational challenges. However, agency management is often consumed by the daily demands of immediate problems, making it difficult for them to address the more far-reaching issues and strategies for improvement. Performance auditors can bring an objective, fresh perspective to these issues, and focus on the operational and financial issues that can improve agency results. While our agency mission remains the same, Auditing to Protect the Public Interest and Improve Oregon Government we are setting our audit

objectives higher - to find ways that agencies can better achieve their mission. There is immense talent and experience in the Audits Division workforce that is now being applied to address some of the large challenges facing agency directors. Our audits will seek efficiency savings, improvements in the safety and quality of life of Oregonians, and adequate safeguards for the states significant assets and natural resources. We will also seek to produce audits that better inform decision-makers and the public about the

challenges and opportunities for Oregon government. We will focus not only on results from state dollars, but federal dollars as well, to ensure that we are obtaining the best value for Oregonians.

Corporation Division: The primary challenge facing the Corporation Division is maintaining performance levels for an increased volume of work with reduced staff and budget levels. The implementation of additional electronic filing and other e-Government initiatives continues to hold great potential for increasing efficiencies in the Corporation Division, but also at other government agency partners. Past e-Government successes have allowed the Corporation Division to eliminate 13 FTE positions over the past decade, while absorbing an increased workload and offering more and faster services to the public.

Elections Division: A large proportion of the work of the Elections Division is controlled by factors beyond our control: the number of candidates that file for office, the number of initiatives and referenda filed, the number of active political committees, the number of voters pamphlet statements filed and the number of challenges filed in court. Identifying meaningful outcomes we can impact is difficult. The measure related to the voters' pamphlet (Cost per Page) was removed in 2009 by the Legislature. The Elections Division also has responsibility for implementation of the Help America Vote Act (HAVA). For the measure related to customer satisfaction (#12) there is no new data to report. We are currently collecting data for the next reporting cycle next year.

Archives Division: The Division continues to face funding challenges. Archives is currently operating without any General Fund money for supplies and services and is relying on sales of copies of public records for revenue. This means the Division operates month to month and this funding challenge has severely limited the ability to work with local government agencies and state agencies with field offices as there is no money for travel. In addition, the management of electronic records becomes more and more costly and problematic for agencies to cope with, therefore requiring more and more of Archives staff time to work with and find solutions for agency electronic records problems. Finally, technological obsolescence is a real problem in regards to Legislative audio tapes. The last of the Division's reel to reel tape machines are breaking beyond repair and replacement machines are extremely difficult to find. Without equipment, legislative sessions will no longer be able to be heard.

5. RESOURCES AND EFFICIENCY

The Secretary of State 2013-15 Agency Request Budget: General Fund- \$ 8,987,057; Other Funds- \$51,716,662 and Federal Funds - \$7,740,353

The Agency Request Budget for the Audits Division is \$18,595,799 Other Funds for the 2013-2015 biennium. In the current biennium, the Division: Examined its audit processes to streamline its efforts; expanded the scope of financial reviews to report on the financial condition of Oregon and the 36 counties; and increased the scrutiny and reporting on local government financial audits.

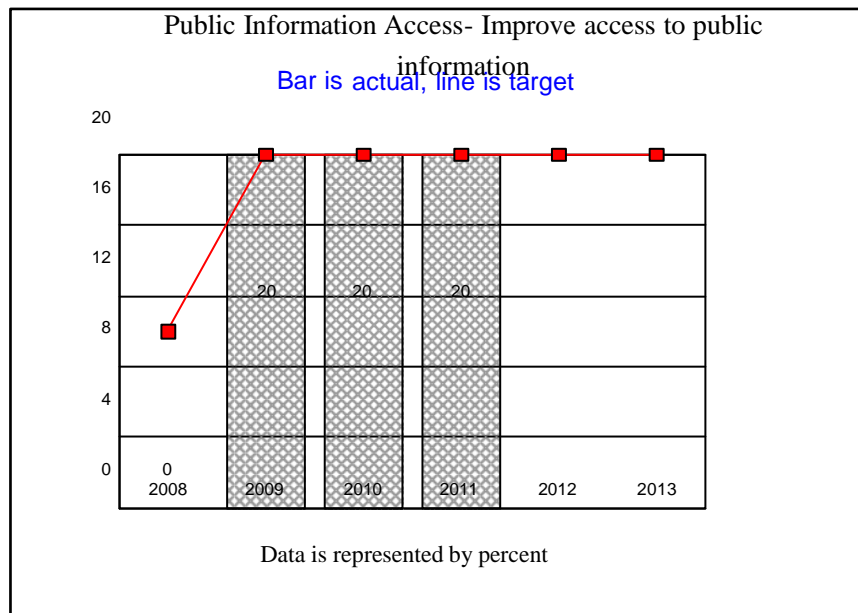
The Agency Request Budget for the Corporation Division is \$8,242,406 Other Funds for the 2013-2015 biennium. In the current biennium, the Division: Implemented the Business Xpress one-stop business portal, expanded the features and services of the Central Business Registry; and increased public records transparency.

The Agency Request Budget for the Elections Division is \$6,964,563 General Fund; \$128,042 Other Funds and \$7,571,484 Federal Funds for the 2013-2015 biennium. In the current biennium, the Division successfully: implemented an online voter registration system; presided over three statewide elections;

processed the signatures on all statewide petitions; produced convictions for violations of petition circulating laws; and moved forward with the online campaign finance filing system ORESTAR.

The Agency Request Budget for the Archives Division is \$8,381,884 Other Funds and \$168,869 Federal Funds for the 2013-2015 biennium. In the current biennium, the Division: Updated policies and procedures to ensure compliance to our standard; increased use of technology to assist, not only in locating records, but in making more information available online to aid our users; used volunteers, interns and student workers to enhance services provided; developed a statewide solution that is currently being piloted as a Software as a Service application to give state and local governments an efficient and cost-effective approach to managing their electronic records; participated on national standards development committees to find workable solutions for the ever developing technology industry; trained state and local government agencies on their responsibilities as a public employee as it relates to public records; updated schedules to ensure that public records are only kept for as long as they are necessary; eliminated the hardcopy publication of the Monthly Bulletin; continued to examine ways of streamlining production processes; trained state agency rules coordinators so that they better understand the requirements of their position as it relates to Administrative Rules; developed Blue Book Lyte a publication designed to help targeted audiences to learn more about government and how it works; and continued to upgrade our website to incorporate web 2.0 capabilities.

KPM #1	Electronic Access to Public Information- Percentage of targeted records made available electronically.	2008
Goal	Improve electronic access to public information.	
Oregon Context	This KPM does not have a primary link to the Oregon Benchmarks.	
Data Source	Measurements will come from a variety of sources: Customer Satisfaction Surveys; products produced, including new information made available on our website; and collection of statistics on use and services provided.	
Owner	Archives Division, Mary Beth Herkert, (503) 378-5196	



1. OUR STRATEGY

Invest resources to develop and enhance access to public records and information managed and held by the Archives Division.

2. ABOUT THE TARGETS

This is a relatively new performance measure and we currently have only two year's worth of data. We won't know if our targets are reasonable or need to be adjusted until we have collected a couple more year's worth of data.

3. HOW WE ARE DOING

This is a new measure (2009) with only two year's worth of data. We have received comments back on the Customer Service Survey which will be implemented as we go forward to continue to give our customers what they need. However, we still need a couple of more year's worth of data to have a clear understanding of what is working and how we can continue to improve.

4. HOW WE COMPARE

Based on preliminary research, we have not found any other state archives programs that are tracking this data. We have been told by numerous states that we are out in front in this arena and that they are looking to us for results. We will work with the Council of State Archivists to see if it is feasible to incorporate this type of information into their regular surveys of state archives programs.

5. FACTORS AFFECTING RESULTS

Available funding to continue to improve existing work related to public access is a concern. Without funding of current staffing levels, we will not be able to continue down the path we are going. We have fully implemented the use of Twitter and Facebook with positive results. This allows us to provide more information to our constituents, both in the public and private sector. The Administrative Rules Bulletin is now exclusively published online (hard copies are no longer printed). This has resulted in increases in use of public information that we are currently posting to our website.

6. WHAT NEEDS TO BE DONE

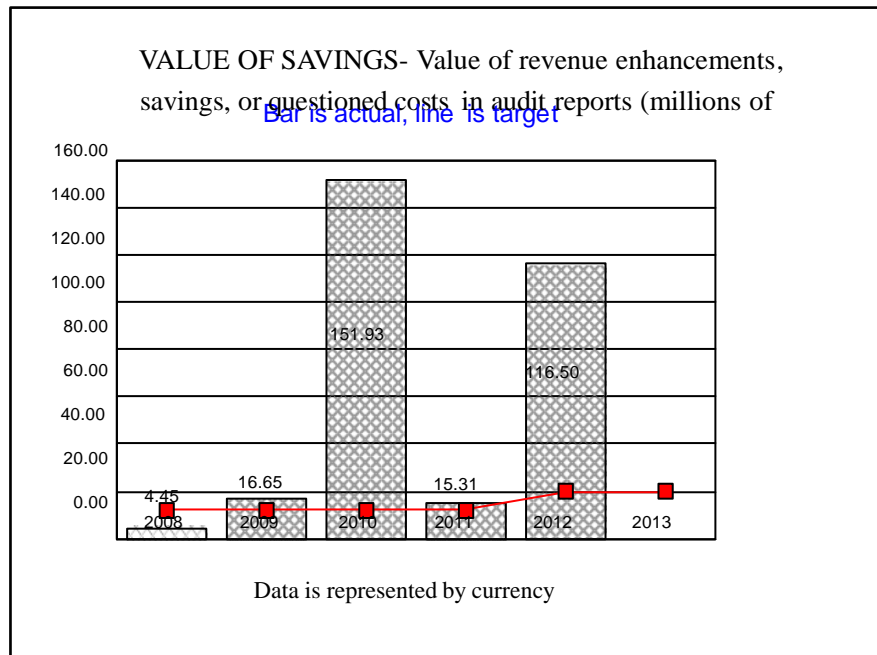
We won't really know until we have a couple more year's worth of data to determine what needs to be done to continue making more government information available electronically. However, based on our survey results, customers are looking for and asking for more information, especially records, to be accessed from our website. We continue to implement the web-based component of our electronic records management system making readily available, the Secretary of State's records with a "published" (level 1) asset classification, to the public in a searchable database. We have also worked with our pilot agencies in the Oregon Records Management Solution to take advantage of WebDrawer to make their information readily available to the public as well. If we can resolve

some of our funding issues, Archives staff will scan holdings so that records in the Archives can be made available for viewing for free and if desired, the ability to purchase copies of those same records via the web.

7. ABOUT THE DATA

We continue to analyze the data at least on a yearly basis when the Customer Satisfaction Surveys are conducted. In addition, we are reviewing and comparing web-use statistics from the previous year to the current year. Finally, we are tracking what new information is being loaded onto our website and then checking use statistics to see if there are any spikes in activity.

KPM #2	Audit Cost Savings- Dollar Value of Revenue Enhancements, savings, or questioned costs in performance audit reports.	2003
Goal	Quality Products: We are dedicated to producing a quality product that meets our customers' needs in a timely, accurate, professional, and efficient manner.	
Oregon Context	Benchmark #35 - PUBLIC MANAGEMENT QUALITY Governing magazine's ranking of public management quality.	
Data Source	Data is an accumulation of all revenue enhancements, savings, or questioned costs that we identify in our audit reports for the period.	
Owner	Audits Division, Gary Blackmer, (503) 986-2355	



1. OUR STRATEGY

This measure is a simple display of one of the primary benefits of our performance audit work. For audits where economy and efficiency is a focus, documenting the potential for savings through implementation of our recommendations is important. We feel potential savings is important information for

decision makers to have, when weighing the cost / benefit of implementing a change in processes or controls. This measure combined with measure 165-003, helps to measure our efficiency and the cost / benefit for the performance audit work that we do.

2. ABOUT THE TARGETS

The basis for the estimate is historical information.

3. HOW WE ARE DOING

We continue to identify revenue enhancements, savings, and questionable costs. Since we are responsible for selecting many audit projects, a large impact indicates we are selecting a percentage of projects that have identifiable and quantifiable savings. This information combined with measure 165-003 shows a history of audit work that identifies significant savings and does so at a net benefit. We also caution that some audits have less measurable results, such as improvements in quality of life.

4. HOW WE COMPARE

This measure makes comparison difficult, due to varying sizes of other states. A year-to-year comparison may be the most appropriate.

5. FACTORS AFFECTING RESULTS

Several factors can affect this measure including the amount of performance audit resources we choose to dedicate to projects without significant potential for quantifiable savings. Over this past year we have responded to requests from the Legislature that have limited our choice of audit projects. Even though much of the work we are undertaking would not be classified as having great potential for identification of savings, the work is important for a number of other reasons.

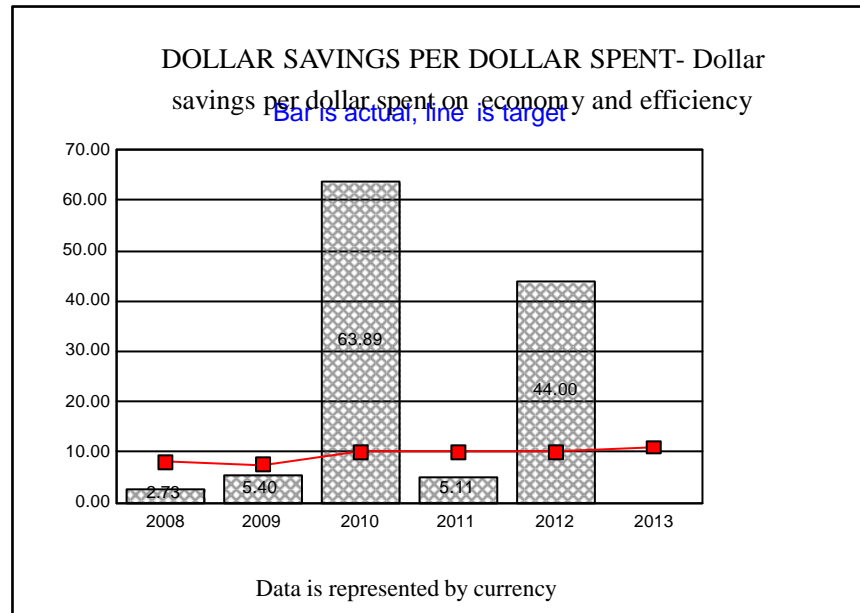
6. WHAT NEEDS TO BE DONE

We will continue to solicit and identify as many audit ideas as we can and make decisions as to which performance audit projects are the most important to undertake. We will continue to strive to strike a balance with our discretionary audit hours and devote a significant percentage to economy and efficiency work.

7. ABOUT THE DATA

This data is captured from our quality assured audit reports.

KPM #3	Audit Efficiency- Dollar savings per dollar spent on economy and efficiency audits.	2003
Goal	Quality Products: We are dedicated to producing a quality product that meets our customers needs in a timely, accurate, professional, and efficient manner.	
Oregon Context	Benchmark #35 - PUBLIC MANAGEMENT QUALITY Governing magazine's ranking of public management quality.	
Data Source	This data is extracted from our timekeeping / project management system and our quality assured audit reports.	
Owner	Audits Division, Gary Blackmer, (503) 986-2355	



1. OUR STRATEGY

This measure is designed to display the cost / benefit of our audit work, a measure of our efficiency where economy and efficiency audit projects are concerned.

2. ABOUT THE TARGETS

There is some volatility in this number, and we will not always succeed in identifying a return of \$63 on every dollar spent as we did in FY2010. We believe the current target is appropriate. With more history, we will revisit the target to determine whether it needs to be raised.

3. HOW WE ARE DOING

The historical trend has been up and our performance in this area has been good.

4. HOW WE COMPARE

As we revisit our measure this next year, we will look for comparable data from other states.

5. FACTORS AFFECTING RESULTS

We will choose audit areas with the greatest likelihood of returning the largest benefits for our audit efforts, through we can't presume that every audit will produce dollar benefits. Some audits are mandated by statute and some are focused on qualitative improvements. Nonetheless, we will continue to track the overall costs of our performance audits as well as the benefits identified.

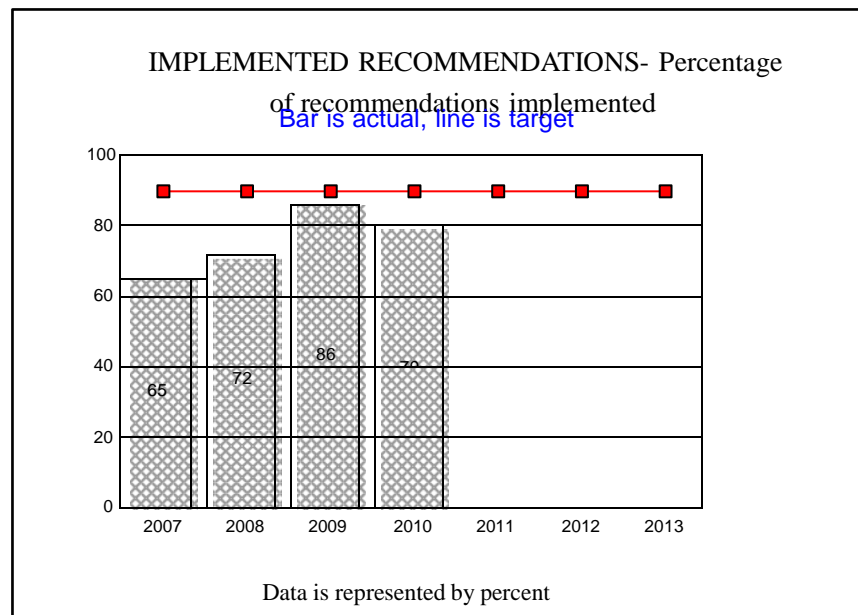
6. WHAT NEEDS TO BE DONE

Similar to measure 165-002, we need to ensure that a percentage of our audit work is devoted to economy and efficiency audit projects where there is a high likelihood that the identifiable savings are greater than the costs. Further, our process attempts to ensure we are selecting the projects with the most potential first. This is done through our existing audit selection process where potential for savings is one of our four primary selection criteria.

7. ABOUT THE DATA

The data is from our timekeeping / project management system and our quality assured audit reports.

KPM #4	Audit Recommendation Implementation- Percentage of audit recommendations implemented.	2003
Goal	Quality Products: We are dedicated to producing a quality product that meets our customers' needs in a timely, accurate, professional, and efficient manner.	
Oregon Context	Benchmark #35 - PUBLIC MANAGEMENT QUALITY Governing Magazine's ranking of public management quality.	
Data Source	The data is captured in our recommendation data base.	
Owner	Audits Division, Gary Blackmer, (503) 986-2355	



1. OUR STRATEGY

Because we expanded the scope of our audits, this performance measure needs to be expanded as well. In the past, we tracked the percent of recommendations that were implemented within a year of the audit. Now, with more far-reaching recommendations management would likely take more than a

year to implement. Further, because these recommendations often have a much larger impact on an agency's mission or bottom line, we will continue to track each recommendation's status until it is implemented or rejected by the agency. The overall percentage implemented would continue to be the Key Performance Measure, though it will calculate a bit differently. We will continue to aspire to the same target.

2. ABOUT THE TARGETS

The basis for the estimate is historical information and an approach that we should be able to do better than we have in the past. Our experience has been that some of our recommendations are not implementable for various reasons. Our target for implementation will never be 100%, but 90% is appropriate.

3. HOW WE ARE DOING

We returned a high percentage of implemented recommendations after a drop five years ago. We believe this is partially due to our increased emphasis on follow-up reports which review in detail the efforts made by agencies to implement our audit recommendations .

4. HOW WE COMPARE

Using the methodology we propose, other agencies have achieved an 80% to 90% implementation rate. As we gather the data consistent with their methods, we will compare the results. As we revisit our measure next year, we will look for comparable data from other states.

5. FACTORS AFFECTING RESULTS

A primary factor in implementation is an agencies willingness to implement our recommendations . The only influence we have is in showing a convincing argument for implementation and reporting the status of recommendation implementation.

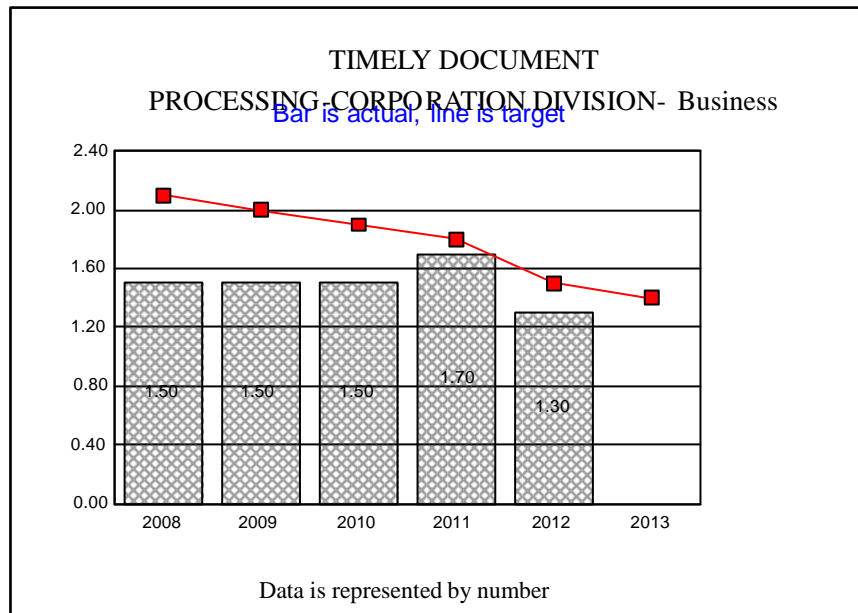
6. WHAT NEEDS TO BE DONE

We are modifying our follow-up procedures to incorporate our proposed changes. We will also be conducting selective follow-up audits and reporting the results of our review of specific agency responses on the status of our recommendations.

7. ABOUT THE DATA

The status of recommendation implementation is captured either through the following year's audit work or through a follow-up form sent to the agency, asking for the status of each recommendation. Once returned to the Oregon Audits Division, the responsible audit manager will verify the accuracy of the response and undertake any additional work needed to confirm their response prior to entry into our database. 2011 data will be available in early December.

KPM #5	Business registration-document processing turnaround time from receipt.	2005
Goal	Timely Document Procession: Business Registration documents submitted for filing and registration are completed timely.	
Oregon Context	This KPM does not have a primary link to the Oregon Benchmarks.	
Data Source	Excel spreadsheet tracking oldest receipt date to be processed at start of each business day.	
Owner	Corporation Division, Peter Threlkel, (503) 986-2205	



1. OUR STRATEGY

The goal is to reduce the average time delay to process a business registration document, from receipt to completion.

2. ABOUT THE TARGETS

Lower turnaround time is better. Faster document processing means fewer delays for business owners.

3. HOW WE ARE DOING

In FY 2012, document processing turnaround time decreased from an average of 1.7 days to 1.3 days. This result is faster than the target goal of 1.5 days.

4. HOW WE COMPARE

The World Bank report Doing Business 2011 ranks the time to start a business in 183 countries. The report lists New Zealand as the fastest place to start a business (1 day), Australia second fastest at 2 days, and the United States ranked ninth at 6 days. Oregon's average of 1.3 days compares very favorably.

5. FACTORS AFFECTING RESULTS

Implementation of the electronic filing for new business formations through the Central Business Registry has allowed the Division to speed the processing of customer documents. In addition, cross training allows staff resources to be reallocated to help manage peak volumes.

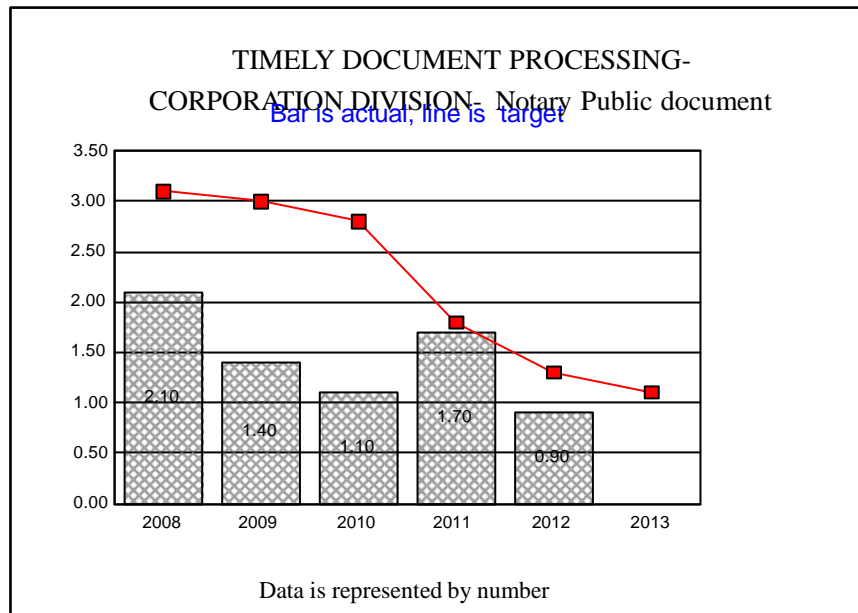
6. WHAT NEEDS TO BE DONE

Continue the build out of the Central Business Registry and other electronic filing applications as envisioned in POP 172 to maximize the number and types of business filings that can be completed by customers online to further reduce delays in processing times.

7. ABOUT THE DATA

The reporting cycle is an Oregon fiscal year. Data is tracked and collected by reviewing the date of the oldest document needing to be processed at the start of each business day. Data is entered into an excel spreadsheet to determine average processing turnaround time in business days.

KPM #6	Notary-document processing turnaround time from receipt.	2005
Goal	Timely Document Processing: Notary Public documents submitted for filing and registration are completed timely.	
Oregon Context	This KPM does not have a primary link to the Oregon Benchmarks.	
Data Source	Excel spreadsheet tracking oldest receipt date to be processed at start of each business day.	
Owner	Corporation Division, Peter Threlkel, (503) 986-2205	



1. OUR STRATEGY

The goal is to reduce the average time delay to process a Notary Public application document, from receipt to completion.

2. ABOUT THE TARGETS

Lower turnaround time is better. Faster document processing means fewer delays for notary applicants.

3. HOW WE ARE DOING

In FY 2012, document processing turnaround time decreased from an average of 1.7 days to 0.9 days. This result is faster than the target goal of 1.3 days.

4. HOW WE COMPARE

The Division did not benchmark its FY 2012 results with peers in other states.

5. FACTORS AFFECTING RESULTS

Cross training of staff has helped the Division to meet processing performance measures, as staff resources can be reallocated between programs to manage peak volumes.

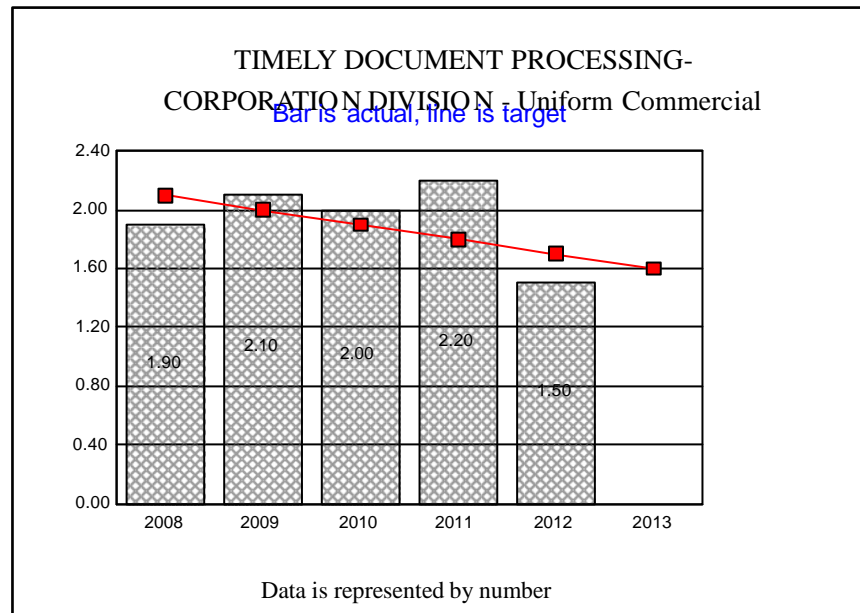
6. WHAT NEEDS TO BE DONE

The Division is working to streamline and reengineer the Notary program process and database to include online filing.

7. ABOUT THE DATA

The reporting cycle is an Oregon fiscal year. Data is tracked and collected by reviewing the date of the oldest document needing to be processed at the start of each business day. Data is entered into an excel spreadsheet to determine average processing turnaround time in business days.

KPM #7	UCC-document processing turnaround time from receipt.	2005
Goal	Timely Document Processing: Uniform Commercial Code documents submitted for filing and registration are completed timely.	
Oregon Context	This KPM does not have a primary link to the Oregon Benchmarks.	
Data Source	Excel spreadsheet tracking oldest receipt date to be processed at start of each business day.	
Owner	Corporation Division, Peter Threlkel, (503) 986-2205	



1. OUR STRATEGY

The goal is to reduce the average time delay to process a Uniform Commercial Code (UCC) filing document, from receipt to completion.

2. ABOUT THE TARGETS

Lower turnaround time is better. Faster document processing means fewer delays for business customers.

3. HOW WE ARE DOING

In FY 2012, document processing turnaround time deduced from 2.2 days to 1.5 days, and is faster than the target goal of 1.7 days.

4. HOW WE COMPARE

The Division did not benchmark its FY 2012 results with our peers in other states; although all states have adopted the UCC Model Act, Revised Article 9 which requires processing turnaround times of 4 days or less.

5. FACTORS AFFECTING RESULTS

The Division implemented a new UCC application system with online electronic filing capability in the current biennium to improve efficiency and document processing speed. Cross training of staff has helped the Division to improve processing performance measures, as staff resources can be reallocated between programs to manage peak volumes.

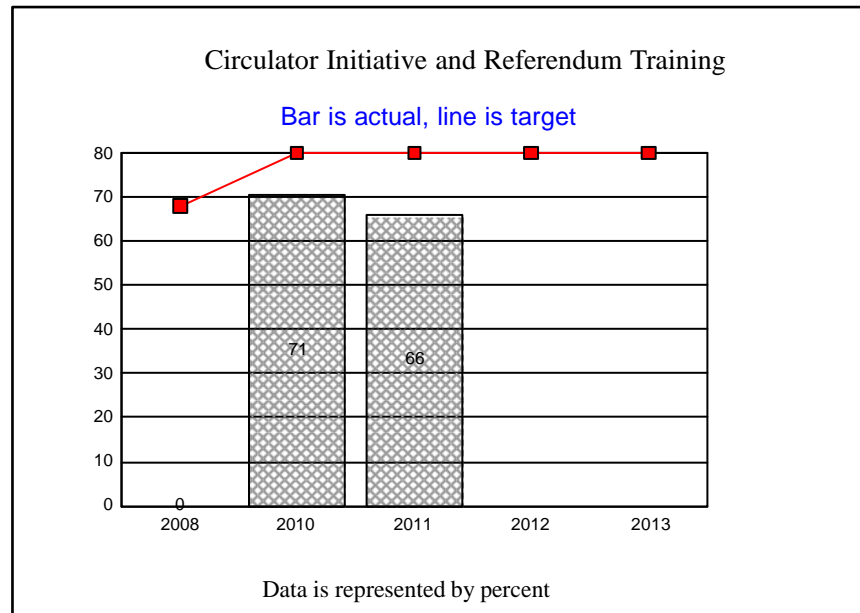
6. WHAT NEEDS TO BE DONE

Implement additional electronic filing applications for agricultural and other lien filings.

7. ABOUT THE DATA

The reporting cycle is an Oregon fiscal year. Data is tracked and collected by reviewing the date of the oldest document needing to be processed at the start of each business day. Data is entered into an excel spreadsheet to determine average processing turnaround time in business days.

KPM #8	Petition Validity Rate- Percentage of assessed petition signatures that are validated	2008
Goal	Increase rate of valid signatures collected by paid petition circulators	
Oregon Context	This KPM does not have a primary link to the Oregon Benchmarks	
Data Source	Performance data will be calculated for each initiative petition submitted to the Secretary of State	
Owner	Elections Division, Steve Trout, (503) 986-2239	



1. OUR STRATEGY

This is the second cycle for this measure. Validity rates for Oregon initiative petitions are remaining in the range from 60% to 65%. In the 2012 cycle the validity rate for qualified initiatives was 66%. 9 initiatives were filed for signature verifications and 8 have qualified for the ballot. Circulators continue to need

increased awareness of rules related to petitioning. Providing online training to circulators aims to increase awareness of rules and result in a higher validity rate. However, chief petitioners must train and oversee their circulators activities to ensure compliance with election laws. Providing chief petitioner training will increase their awareness as well.

2. ABOUT THE TARGETS

Second cycle - we have seen a slight increase from the last cycle. However, until we have a couple of years of data, we will not know if the target is reasonable or needs adjusting. An upward trend is better.

3. HOW WE ARE DOING

When we have a couple of cycles of data, we will have a better idea of how we are doing and where improvements can be made to achieve better outcomes.

4. HOW WE COMPARE

We will continue tracking this information to provide an opportunity for benchmarking. Oregon, however is not a typical state when it comes to petitioning. We have more petitioning activity than any other state, including California.

5. FACTORS AFFECTING RESULTS

Potential increase in petition signature fraud could affect the outcome. Training of circulators will not necessarily deter those who want to defraud the system.

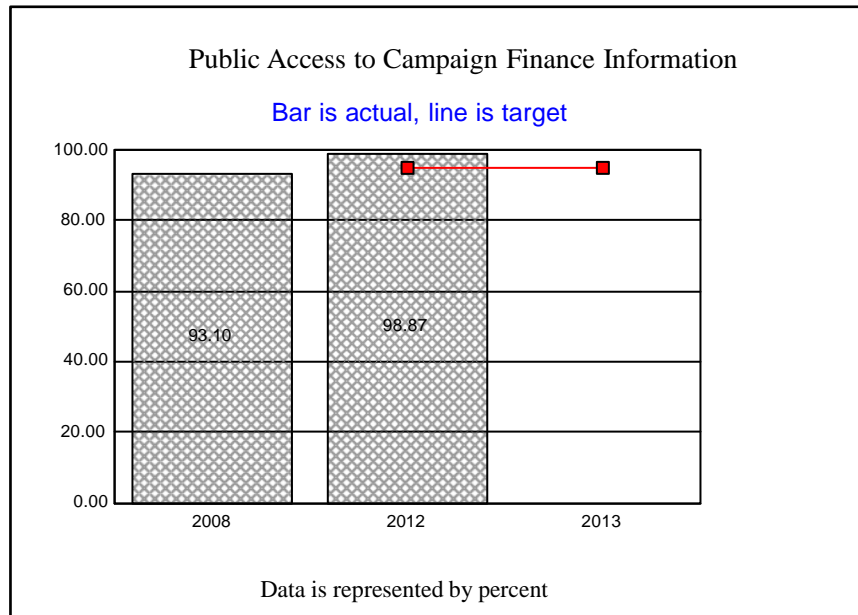
6. WHAT NEEDS TO BE DONE

When we have a couple of cycles of data, we will have a better understanding of what actions we can take to improve training to achieve better outcomes.

7. ABOUT THE DATA

The petitioning cycle spans two years. The data is easy to obtain and reliable.

KPM #9	Campaign Finance Information- Percent of committee filings determined to be sufficient.	2008
Goal	Reduce insufficient and late filings which increases public access to campaign finance information	
Oregon Context	This KPM does not have a primary link to the Oregon Benchmarks	
Data Source	Performance data on timeliness of responses related to insufficiencies will be provided by reports generated through ORESTAR (the Elections Management System).	
Owner	Elections Division, Steve Trout (503) 986-2339	



1. OUR STRATEGY

By using features in the ORESTAR system, such as the validation of transactions prior to filing, information can be communicated quickly to committees to avoid insufficiencies. Resolution of insufficiencies prior to filing translates to ready access to accurate campaign finance information by the public and fewer fines

imposed on committees. Success will be tracked by the number of sufficient cases filed against political committees. Since the beginning of this biennium the percentage of sufficient cases is 98.87%. The division credits the features in the ORESTAR system to the success of filings.

2. ABOUT THE TARGETS

We want to establish 2008 as the base year to determine how to set a reasonable target for the future. When we have completed this cycle we will be able to establish a target.

3. HOW WE ARE DOING

When we have a couple of cycles of data we will have a better understanding of how we are doing and where we can find improvements that will help us obtain better outcomes.

4. HOW WE COMPARE

Oregon is the only state that requires public disclosure of campaign finance information on a transaction by transaction basis. A comparison to data in other states may be difficult.

5. FACTORS AFFECTING RESULTS

Performance of the ORESTAR system could be a factor in collecting data. We started out two years behind, and have been working on FY 2008 and FY 2009 cases in the 2009-11 biennium. The division is now caught up with cases and this will assist us in determining the factors.

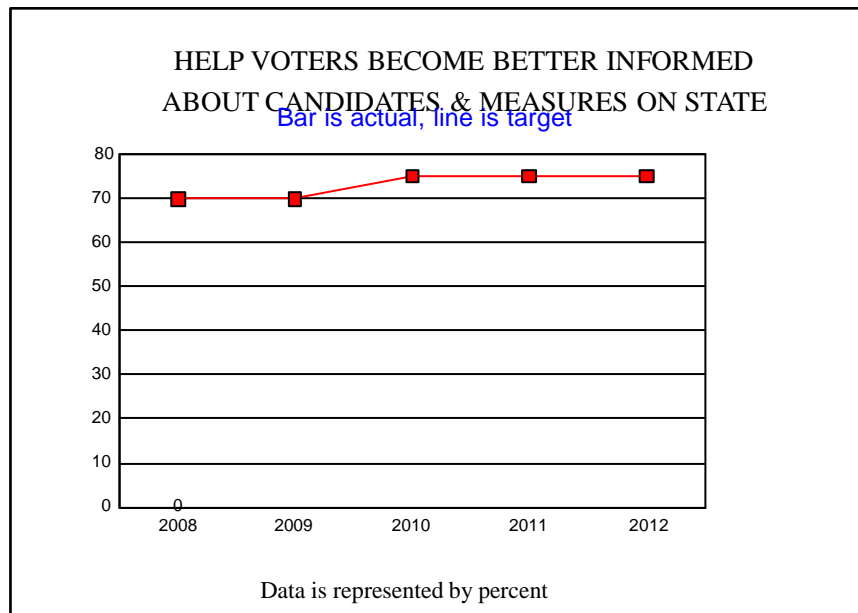
6. WHAT NEEDS TO BE DONE

Because the ORESTAR system is new, we need to use this measure to assess the effectiveness of our electronic reporting system and supporting statutes. Based upon the number of sufficient filings it is clear that the system is very effective. The division will continue to enhance the system to better serve our customers.

7. ABOUT THE DATA

Two Year Election Cycle (even numbered years). The ORESTAR system should provide reliable data.

KPM #10	Voter's Pamphlet Satisfaction- Percent of customers who rate the Voter's Pamphlet as useful or very useful	2008
Goal	Improve readability and usability of the State Voter's Pamphlet	
Oregon Context	This KPM does not have a primary link to the Oregon Benchmarks	
Data Source	Performance data will be obtained through a survey of voters regarding satisfaction with the amount of information and readability of information provided in the Voter's Pamphlet.	
Owner	Elections Division, Steve Trout, (503) 986-2339	



1. OUR STRATEGY

The division has not acquired any new information regarding this measure. The strategy is to design a survey after the 2012 general election that will provide customer satisfaction with the voters' pamphlet publications. The division hopes to have this survey conducted in early 2013.

2. ABOUT THE TARGETS

Data will be obtained, for the first time, through surveys of voters. Targets for 2013 will be established based on the information received in the 2012 cycle.

3. HOW WE ARE DOING

When we have survey data we will have a better understanding of how the design changes in the VP improve the usability of the Voters' Pamphlet. Through the voter surveys we also hope to gain information that will allow for continued improvements in the design of the Voters' Pamphlet.

4. HOW WE COMPARE

We will research other states to determine if there are similar measures that will provide opportunities for benchmarking.

5. FACTORS AFFECTING RESULTS

Although we have made some changes to the design of the Voters' Pamphlet we will need to do more in order to provide optimum usefulness and readability to the largest segment of the voting population. One of the challenges regarding improvements to readability of the Voter's Pamphlet is the long held notion that producing the publication at the lowest cost per page is division's main responsibility. A low cost publication may not be useful or readable for voters.

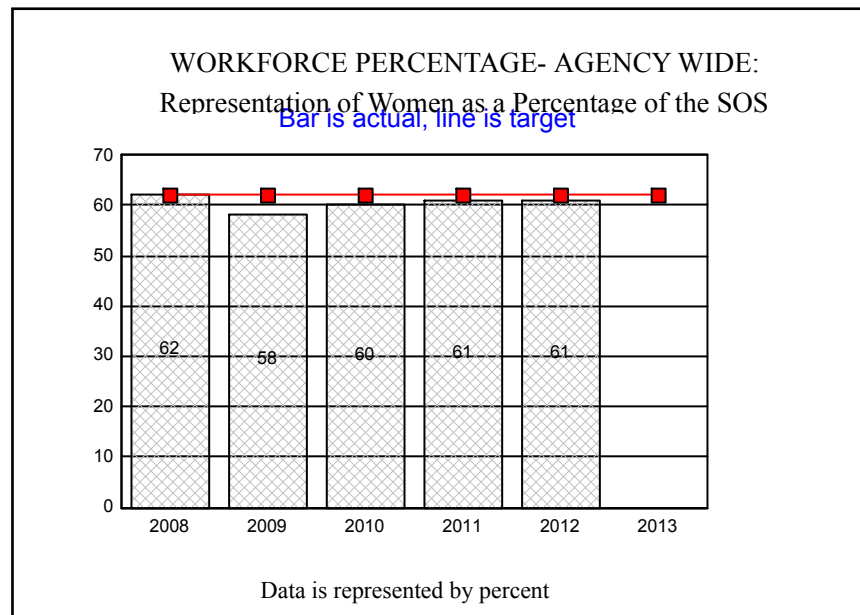
6. WHAT NEEDS TO BE DONE

When we have survey data, we will have a better understanding of where continued improvements can be made to increase the usefulness and readability of the Voters' Pamphlet.

7. ABOUT THE DATA

An Election Year cycle (every two years). Voter surveys will be used to obtain information to propose design changes in the Voters' Pamphlet. We believe the surveys are the best method of obtaining constructive feedback that will provide useful information as we strive to improve the usefulness of the Voters' Pamphlet.

KPM #11a	Staff Diversity- Percent of Women as a percentage of SOS workforce.	2005
Goal	Adaptable government for future generations	
Oregon Context	Benchmark #35 - PUBLIC MANAGEMENT QUALITY = Governing Magazines ranking of public management quality.	
Data Source	Department of Administrative Services Affirmative Action Report as of June 30, 2012.	
Owner	Human Resources Division, Jackie Steffens, (503) 986-2168	



1. OUR STRATEGY

Create employment opportunities and a work environment that attracts and retains diverse and skilled workers.

2. ABOUT THE TARGETS

The agency strives to achieve the same or better representation levels as the State as a whole in each of the categories.

3. HOW WE ARE DOING

Our representation remained consistent in the representation of women, people of color and persons with disabilities.

4. HOW WE COMPARE

Our representation of women exceeds the statewide workforce by 8%. Our representation of persons with disabilities meets the State's representation. In the category of people of color, we trail behind the statewide workforce by 5%.

5. FACTORS AFFECTING RESULTS

Factors affecting our ability to meet Agency targets are driven in part by the applicant pool for vacant positions as well as our relatively small workforce and the significant impact of even minor attrition which fluctuates our representation.

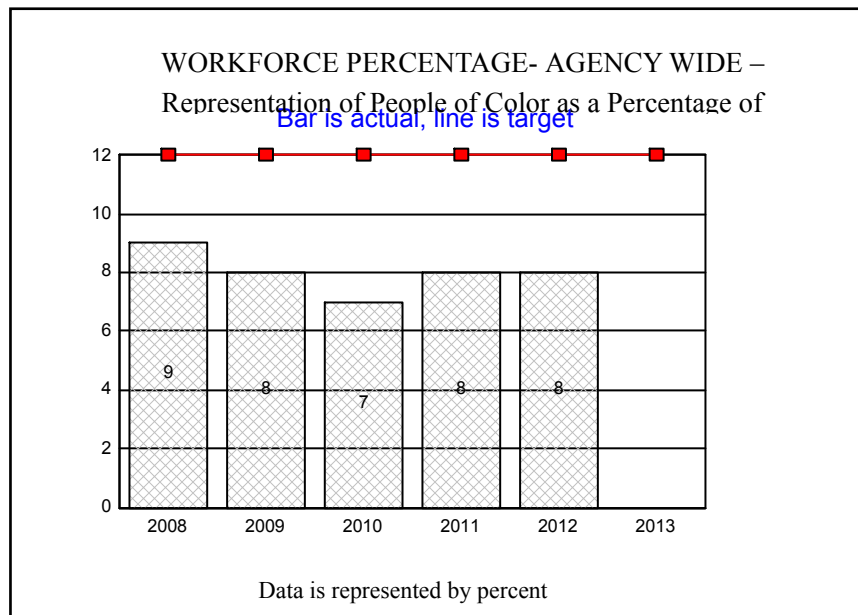
6. WHAT NEEDS TO BE DONE

The agency will continue its efforts to attract job applicants and retain employees which are representative of the diversity of the local workforce and will diligently work toward achieving AA/EEO objectives. We will maintain the requirement that 100% of all open competitive vacancies be advertised on diversity websites.

7. ABOUT THE DATA

The data used to determine agency percentages of women, people of color and persons with disabilities was taken from the Department of Administrative Services Affirmative Action report as of June 30, 2012..

KPM #11b	Staff Diversity- Percent of People of Color as a percentage of SOS workforce.	2005
Goal	Adaptable government for future generations	
Oregon Context	Benchmark #35 - PUBLIC MANAGEMENT QUALITY = Governing Magazines ranking of public management quality.	
Data Source	Department of Administrative Services Affirmative Action Report as of June 30, 2012.	
Owner	Human Resources Division, Jackie Steffens, (503) 986-2168	



1. OUR STRATEGY

Create a work environment and employment opportunities that attract and retain diverse and skilled workers.

2. ABOUT THE TARGETS

The Agency strives to achieve the same or better representation levels as the State as a whole in each of the categories.

3. HOW WE ARE DOING

Our representation remained consistent in the representation of women, people of color and person with disabilities.

4. HOW WE COMPARE

Our representation of women exceeds the statewide workforce by 8%. Our representation of persons with disabilities meets the State's representation. In the category of people of color, we trail behind the statewide workforce by 5%.

5. FACTORS AFFECTING RESULTS

Factors affecting our ability to meet Agency targets are driven in part by the applicant pool for vacant positions as well as our relatively small workforce and the significant impact of even minor attrition which fluctuates our representation.

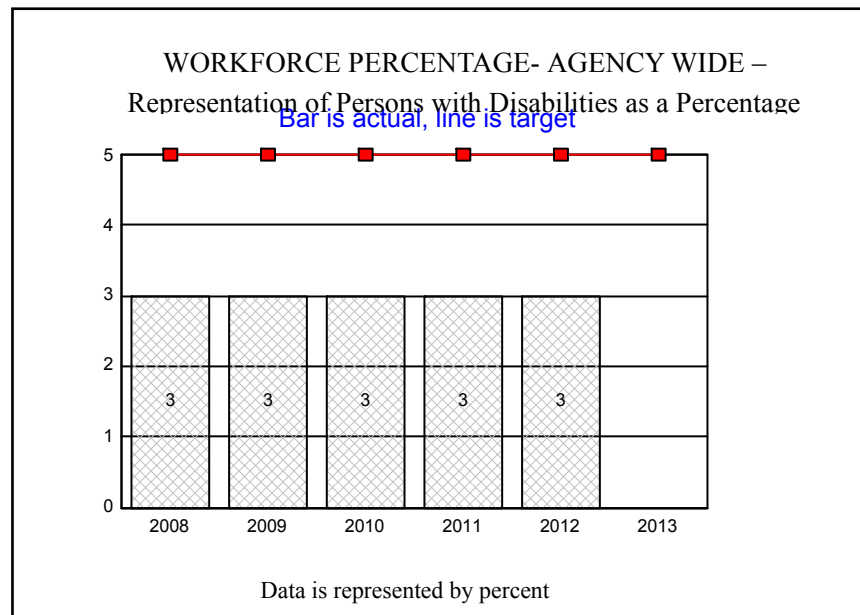
6. WHAT NEEDS TO BE DONE

The agency will continue its efforts to attract job applicants and retain employees which are representative of the diversity of the local workforce and will diligently work toward achieving AA/EEO objectives. We will maintain the requirement that 100% of all open competitive vacancies be advertised on diversity websites.

7. ABOUT THE DATA

The data used to determine agency percentages of women, people of color and persons with disabilities was taken from the Department of Administrative Services Affirmative Action report as of June 30, 2012.

KPM #11c	Staff Diversity – Percent of Persons with Disabilities as a percentage of SOS workforce.	2005
Goal	Adaptable government for future generations	
Oregon Context	Benchmark #35 - PUBLIC MANAGEMENT QUALITY = Governing Magazines ranking of public management quality.	
Data Source	Department of Administrative Services Affirmative Action Report as of June 30, 2012.	
Owner	Human Resources Division, Jackie Steffens, (503) 986-2168	



1. OUR STRATEGY

Create a work environment and employment opportunities that attract and retain diverse and skilled workers.

2. ABOUT THE TARGETS

The Agency strives to achieve the same or better representation levels as the State as a whole in each of the categories.

3. HOW WE ARE DOING

Our representation remained consistent in the representation of women, people of color and persons with disabilities.

4. HOW WE COMPARE

Our representation of women exceeds the statewide workforce by 8%. Our representation of persons with disabilities meets the State's representation. In the category of people of color, we trail behind the statewide workforce by 5%.

5. FACTORS AFFECTING RESULTS

Factors affecting our ability to meet Agency targets are driven in part by the applicant pool for vacant positions as well as our relatively small workforce and the significant impact of even minor attrition which fluctuates our representation.

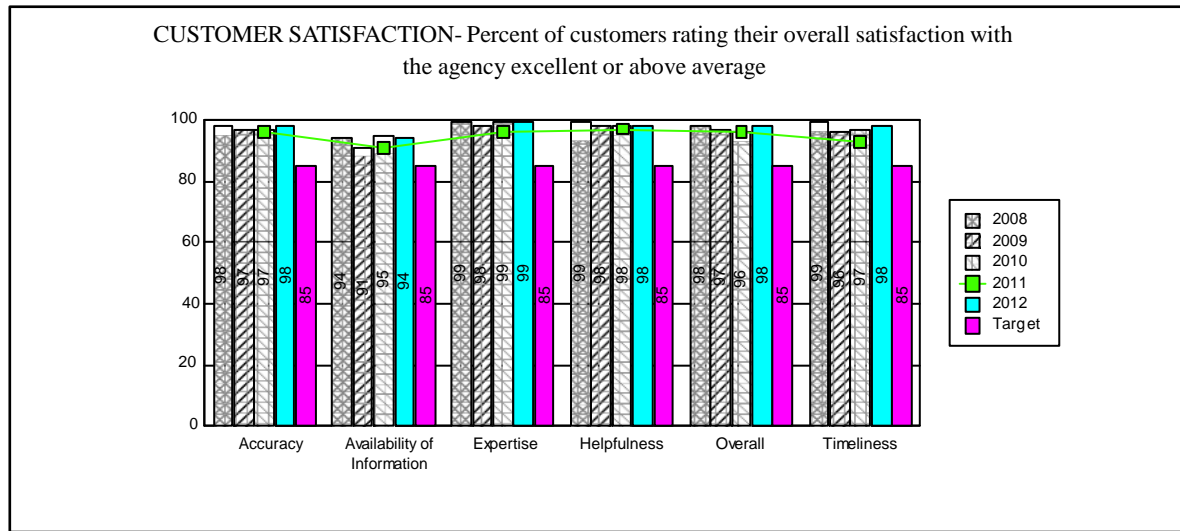
6. WHAT NEEDS TO BE DONE

The agency will continue its efforts to attract job applicants and retain employees which are representative of the diversity of the local workforce and will diligently work toward achieving AA/EEO objectives. We will maintain the requirement that 100% of all open competitive vacancies be advertised on diversity websites.

7. ABOUT THE DATA

The data used to determine agency percentages of women, people of color and persons with disabilities was taken from the Department of Administrative Services Affirmative Action report as of June 30, 2012.

KPM #12	Customer Satisfaction- Percent of customers rating their overall satisfaction with the agency as "good" or "excellent": overall customer service, timeliness, accuracy, helpfulness, expertise aand availability of information.	2005
Goal	Customer Satisfaction: Percent of customers rating their satisfaction with the agency as excellent or above average.	
Oregon Context	Oregon Benchmark #35- Public Management Quality	
Data Source	Customer responses to surveys are entered into a spreadsheet. The data represents the Corporation Division, Elections Division and the Archives Division.	
Owner	Corporation Division, Peter Threlkel, (503) 986-2205; Elections Division, Steve Trout, (503) 986-2339; and Archives Division, Mary Beth Herkert, (503) 378-5196	



1. OUR STRATEGY

Listen to our customers and respond to, and anticipate, their needs. Provide training and support to employees to provide high levels of customer service.

2. ABOUT THE TARGETS

A higher percentage means more customers are satisfied with the level of service received. Providing excellent customer service is a top priority for the agency and our customers.

3. HOW WE ARE DOING

Our customers consistently give us high ratings 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. All targets are being exceeded.

4. HOW WE COMPARE

Benchmarking with other state agencies has not been completed.

5. FACTORS AFFECTING RESULTS

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.

6. WHAT NEEDS TO BE DONE

Continue using feedback from surveys to identify areas where additional improvement is required, and continue providing services that customers value. By increasing transparency and the availability of public records available online, we will increase the satisfaction of our customers specifically regarding our measure: Availability of Information.

7. ABOUT THE DATA

The reporting cycle is an Oregon fiscal year (July 1 to June 30). During one to two weeks each year, customer surveys are mailed with acknowledgement letters to all customers of the Corporation Division and Archives Division. Completed survey responses are entered into a database. The Elections Division did not complete a survey in FY 2012.

SECRETARY of STATE**III. USING PERFORMANCE DATA**

Agency Mission: The Secretary of State is a statewide elected constitutional office under Oregon Constitution Article VI section 2. She is the keeper of Oregon's history, the auditor of public funds, the first stop for Oregon businesses and the chief elections officer. The Secretary of State provides complete, factual information about elections, corporations, government history and government performance, and maintains secure systems and reliable operations. A government open to public inspection and review guards against fraud, corruption and excessive expense. The Secretary of State provides the public open access to the information that makes Oregon's representative democracy work. Our Vision The Secretary of State delivers better results for Oregonians through: -More effective and efficient service delivery; -Greater transparency and accountability; Using innovation to connect Oregonians to their government.

Contact: Jennifer Friesen

Contact Phone: 503-986-2232

Alternate: Jeff Morgan, Director, Business Services

Alternate Phone: 503-986-2239

The following questions indicate how performance measures and data are used for management and accountability purposes.

1. INCLUSIVITY

- * **Staff :** Reviewed and provided feedback for performance measures development and goals; The Deputy Secretary of State, Division Directors and their management teams worked with staff to develop the performance measures. In areas where gaps exist, we will look to input during the Ways and Means process to more fully develop measures for the future.
- * **Elected Officials:** Through review by the Oregon Progress Board, JLAC and Ways and Means.
- * **Stakeholders:**
- * **Citizens:** Customer-based surveys

2 MANAGING FOR RESULTS

As a result of work with a contractor specializing in performance measure development the agency reworked our KPMs. We eliminated KPM's that did not meet the criteria of a KPM and added new KPMs that better align with the agency mission and goals. The new KPMs were approved by the 2009 Legislature. These new measures, combined with previous KPMs that were retained, will provide a better view of how efficiently and effectively the various divisions are meeting customer needs and program requirements.

3 STAFF TRAINING

As an agency, we place a special emphasis on training our employees. During the past year, we used both our annual all-employee meeting and individual division training sessions to discuss performance measures with our employees. As we move to a performance evaluation process that incorporates performance measure achievement, we will use the training opportunities surrounding this to reinforce that training. In September of 2007, the agency established a

	<p>contract with an outside contractor to provide performance measure development. Three separate workshops were held from September to November 2008. This training provided a stronger foundation for agency management to understand the purpose and intent of performance measures. As a result of this training, the agency proposed new key performance measures that were approved by the 2009 Legislature. The current KPMs for 2011-13 more closely align with the agency mission and goals.</p>
<p>4 COMMUNICATING RESULTS</p>	<ul style="list-style-type: none"> * Staff : Through annual staff meeting, quarterly updates from various divisions; DAS Budget and Management Division: Through the budget process and the Annual Performance Progress Report. * Elected Officials: Through the budget development process and the Annual Performance Progress Report * Stakeholders: Annual Performance Progress Report available on DAS website * Citizens: Annual Performance Progress Report available on DAS website

Attachment B

Program Prioritization

PROGRAM PRIORITIZATION FOR 2013-15

Secretary of State																				
2013-15 Biennium																			Agency Number: 16500	
Agency-Wide Priorities for 2013-15 Biennium																				
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
Priority (ranked with highest priority first)	Agency Initials	Program or Activity Initials	Program Unit/Activity Description	Identify Key Performance Measure(s)	Primary Purpose Program- Activity Code	GF	LF	OF	NL-OF	FF	NL-FF	TOTAL FUNDS	Pos.	FTE	New or Enhanced Program (Y/N)	Included as Reduction Option (Y/N)	Legal Req. Code (C, D, FM, FO, S)	Legal Citation	Explain What is Mandatory (for C, FM, and FO Only)	
Agcy	Prgm/ Div																			
1	AUD	SOS	Financial Audits	Audit Division conducts each year the single audit of the state's financial statements. This includes both a review of the state's Comprehensive Annual Financial Report and the state's internal controls and compliance with federal funding requirement, which are reported separately. The single audit is performed to satisfy the legislature, the governor, and citizens that the state's financial statements are presented fairly and that significant deficiencies in its fiscal systems are identified and corrected.	KPM 2,3 & 4	4		10,045,960				\$ 10,045,960	35	35.00				FM, S	Single Audit Act of 1984 (PL 92-502); ORS 286A.195	The single audit is performed to satisfy the legislature, the governor, and citizens that the state's financial statements are presented fairly and that significant deficiencies in its fiscal systems are identified and corrected. State law requires the Secretary of State to annually conduct a financial audit of bond programs.
2	ARC	SOS	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, as well as by working with state and local government agencies to facilitate the prompt disposition of records. In addition, the Archives Division is responsible for writing standards for the appropriate use of technology and media. By doing this, the Archives Division is working to ensure that government information is accessible to the public for as long as is required by the authorized retention schedules that it writes.	KPM 1 & 12	4	3,562,339		485,091	168,869		\$ 4,216,299	15	13.46				S	ORS192.001-192.170; ORS 357.805-357.920; ORS171.420-171.430;	
3	ELT	SOS	Conduct of Elections	Elections Divisions mission is to interpret, apply and enforce election laws, provide elections information to the public, and maintain all documents related to elections	KPM 8, 9 10 & 12	4	1,588,507			513,600		\$ 2,230,159	4	3.95				S	Chapters 246-260	
4	CRP	SOS	Corporation - Business Registry	The Corporation Division Administers the state's Business Registration programs. The primary purpose of registration is to create a public record of business information that allows the public to know whom they are doing business with. An electronic Central Business Registry allows a business to register with the Secretary of State, Department of Revenue, and the Employment Department from a single online application. The program offers access to an online searchable database, publishes the Oregon Business Guide and provides a number of online tools to support business, such as the Business Xpress one-stop business portal, License Directory and Business Wizard.		4			4,488,916			\$ 4,488,916	19	18.50				S	ORS 56, 58, 60, 92, 63, 65, 67, 68, 128, 554, 647 and 648	
5	ELT	SOS	Initiative & Referendum	The Division is the filing officer for all state initiatives, referendums, and recalls. Responsibilities include administration of ballot title process and assisting chief petitioners in compliance with laws and rules. In July of even-numbered years, the Division must review, sort, and prepare petitions sheets for signature verification by counties.	KPM 8 & 12	4	1,618,868					\$ 1,618,868	6	5.40				C&S	Chapter 250 and Article IV Sec. 1 of the Constitution	Reserves the right of initiative/ referendum to the people. Provides - required number of signatures to place an initiative/ referendum on the ballot. Provides timeline of submitting and completing signature verification. Provides effective date of measures and the election in which they will appear on the ballot.

PROGRAM PRIORITIZATION FOR 2013-15

Secretary of State																			Agency Number: 16500		
2013-15 Biennium																					
Agency-Wide Priorities for 2013-15 Biennium																					
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	
6	CRP	SOS	Corporation - Uniform Commercial Code	The Corporation Division administers the state's state-wide lien filing programs, including filings for Uniform Commercial Code financing statements, Farm Product liens, Agricultural Services liens, Grain Producers liens, Effective Financing Statements, and IRS, Revenue, and Employment tax liens. The primary purpose of filing is to create a public notice of records of debt to establish priority of claim for the secured party in the event of a bankruptcy by the debtor. This reduces risk for creditors, which helps to open access to credit for small business. A searchable database is accessible over the internet.	KPM 7 & 12	4			1,595,171				\$ 1,595,171	6	6.00			S	ORS 79, 80, 87		
7	ELT	SOS	HAVA Program	HAVA Program	KPM 10 & 12	4					4,734,005		\$ 4,734,005	4	4.00			FM		Implement and oversee the Help America Vote Act regarding voter registration	
8	ELT	SOS	HAVA OCVR	HAVA OCVR		4	818,791				2,221,079		\$ 3,039,870					FM		Create and maintain a centralized voter registration system for all statewide voter registration records	
9	ELT	SOS	HAVA ADA Services	HAVA ADA Services (Section 261)		4					102,800		\$ 102,800					FM		Provide the opportunity and tools for registered voters who are disabled and unable to vote to vote their ballot independently and privately	
10	AUD	SOS	Performance Audits	Performance auditing is an objective and systematic examination of evidence to provide an independent assessment of a government organization, program, activity, or function. The goal of these performance audits is to provide information to improve public accountability and facilitate decisionmaking by parties with responsibility for overseeing or initiating corrective action.	KPM 2, 3 & 4	4			5,767,748				\$ 5,767,748	29	29.00			S, C	ORS 419C.001, Section 4c of Article XV of the Constitution	Example mandated audit areas are the juvenile justice system and Lottery funds dedicated to parks and natural resources, both of which must be audited periodically. Performance audits of IT systems are often needed for financial reporting requirements.	
11	CRP	SOS	Corporation - Notary Public	The Corporation Division administers the state's Notary Public program. The primary purpose is to commission and regulate the activities of the state's Notaries. The program investigates complaints of Notary misconduct, provides free training to Notaries, publishes the Oregon Notary Guide, and authenticates notarizations used in international adoptions and commerce.	KPM 6 & 12	4			1,322,160				\$ 1,322,160	5	5.00			S	ORS 194		
12	ELT	SOS	Contributions & Expenditures	The Elections Division enforces laws related to public disclosure by political committees of campaign contributions and expenditures. The Division assists political candidates and committee treasurers and examines each campaign finance report filed by each committee. The Division makes campaign finance reports available to the public and investigates complaints alleging violation of campaign finance laws and rules.	KPM 9 & 12	4	1,932,890						\$ 1,932,890	6	5.75			S	Chapter 260		
13	ASD	SOS	BSD- Accounting & Budgeting	Business Services is one of three internal support programs for the Agency. The function of the Business Services is to provide accounting, budget, purchasing, contracting, cashing, mail, and risk management services.		4	100,029		1,002,119				\$ 1,102,148	4	4.00						

PROGRAM PRIORITIZATION FOR 2013-15

Secretary of State																				
2013-15 Biennium																			Agency Number: 16500	
Agency-Wide Priorities for 2013-15 Biennium																				
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
14	ASD	SOS	BSD- Cash Mgmt & Business Services	Prepares documents for bank deposits, verify deposits, lockbox and credit card transactions, maintains fixed asset records and accounts and reconciles to fixed asset subsidiary account to the accounting books. Blue Book sales and distribution, maintains agency Storeroom and sorts and stributes all incoming mail and packages to agency divisions.		4	94,909		694,900				\$ 789,809	5	5.00					
15	ASD	SOS	BSD- Purchasing & Contracts	Performs all procurement activity and contract administration for agency.		4	81,599		1,052,726				\$ 1,134,325	5	5.00					
16	ASD	SOS	HRD	Human Resources Division provides advice and assistance in the interpretation and application of State and Federal laws and policies and Secretary of State policies and procedures. We maintain a complete and confidential personnel record system, monitor human resource management activities in the agency, and process payroll.	KPM 11	4	85,431		800,974				\$ 886,405	4	3.69					
17	ASD	SOS	ISD - Tech Support	This program is responsible for Hardware, Software support, Communications (telephone and cell) Network and Server Administration back-up, Help Desk and User Support, Release and Distribution Management, and asset tracking and disposition. Oversight and reporting of service level agreements with agency divisions. Coordinate, administer, maintain and monitor technolog standards. Keeping standards in alignment with business goals.		4	290,116		1,075,315				\$ 1,365,431	4	4.25					
18	ASD	SOS	ISD - Information Systems	The Information Systems Support consists of Server Administration, Network and Security Administration, Infrastructure Desing, Database Administration, Standards Administration, Data Management, Development Tools Administration, Document Management, and Technical Library Management, Infrastructure Project Management, Service Level Administration. Analysis for process improvements through technology.		4	807,712		2,355,080				\$ 3,162,791	8	8.00					
19	ASD	SOS	ISD - Business Continuity Support	This program consists of Disaster Recovery/Business Continuation Planning, Administration and Oversight. The program also includes all aspects of the Agency Security Program which includes, strategic planning, policy development, training and enforcement.		4	0		402,658				\$ 402,658	1	1.00					
20	ASD	SOS	ISD - Business Application Support	Business Application Support consists of Business Process analysis, system analysis, Project Management and Contractor Management, Internet Development, Application Development and Maintenance, and System Verification and Validation. This includes all aspects of application development from initialize, plan, execute, control and close, providing support of designing development. Maintaining the final application, managing requirements and providing Quality Assurance. Develop and follow standards and methodology to ensure a successful product.		4	0		3,573,197				\$ 3,573,197	12	11.75					

PROGRAM PRIORITIZATION FOR 2013-15

Secretary of State																					
2013-15 Biennium																			Agency Number: 16500		
Agency-Wide Priorities for 2013-15 Biennium																					
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	
21	ASD	SOS	ISD - Admin Oversight & Strategic Planning	This program is responsible for budget preparation for the Division including control and manage a consistent budgeting process for technology resources. This includes development of a strategic plan defining how technology will be used in support of agency business needs. Working with Management Council, DAS IRMD Division and the legislature. Coordinate administrator, maintain and monitor contractor, vendor and supplier services and contracts. Oversight of service level agreements with agency divisions. Coordinate, administer, maintain and monitor technology standards. Keeping standards in alignment with business goals.		4	243,440		397,195				\$ 640,635	1	1.00						
22	ASD	SOS	BSD - Admin Oversight & Strategic Planning	Provides administrative support to section managers, policy and procedure development and review, strategic plan development and execution, serves as member of agency Executive Management Council, and acts as Agency's Chief Financial Officer.		4	32,698		306,649				\$ 339,347	1	1.00						
23	ASD	SOS	Exec Office	The Executive Office coordinates policy development, strategic planning and legislative initiatives for the eight divisions of the agency and performs those duties not directly associated with those divisions. In addition staff serves as liaison with the State Land Board.		4	286,559		1,372,623				\$ 1,659,182	6	6.00						
24	AUD	SOS	Financial Mgmt Audits	These audits fall into three major categories: Resource Management audits; Financial Compliance audits; and Change of Director audits.	KPM 2, 3 & 4	4			559,811				\$ 559,811	0	0.00				FM	Single Audit Act of 1984 (PL 92-502)	Some of these audits are necessary to assure that federal funds are managed in compliance with rules and sound financial practices.
25	ARC	SOS	Administrative Rules Section	Administrative Rules provides a statewide centralized filing of all Agencies Administrative Rules. The unit publishes the Oregon Administrative Rules Compilation.	KPM 1 & 12	4			1,058,612				\$ 1,058,612	3	3.04				S	ORS183.325-183.362	
26	ARC	SOS	State Records Center	The State Records Center serves state agencies by providing low-cost, high-density storage for inactive records. The unit provides access to records as the agency that stored them requires. They also store 230,000 rolls of security microfilm for state agencies and political subdivisions.		4	65,772		1,186,476				\$ 1,252,248	3	4.50						
27	AUD	SOS	Municipal	All municipal corporations in Oregon are required to be audited every year and file copies of their financial reports with the Audits, Division. The Division reviews a sample of reports filed each year for compliance with administrative rules and professional standards regarding their preparations. Also, the Division conducts site visits to review the working papers of independent Certified Public Accountants who audit or review the annual financial reports for compliance with administrative rules and professional standards.	KPM 2, 3 & 4	4			0				\$ -	2	2.00				S	ORS 297.415	The Division must review the audits for compliance with rules and professional guidelines. Currently about 1750 municipalities file reports.
28	ARC	SOS	Oregon Blue Book	The Oregon Blue Book is compiled, published and sold/distributed by the Archives Division.	KPM 1 & 12	4			336,024				\$ 336,024						S	ORS177.120	

PROGRAM PRIORITIZATION FOR 2013-15

Secretary of State 2013-15 Biennium																			Agency Number: 16500	
Agency-Wide Priorities for 2013-15 Biennium																				
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21
29	AUD	SOS	Information Tech Audits	Information Technology audits fall into four major categories: General control reviews; Application control reviews; Security reviews; and System development reviews.	KPM 2, 3 & 4	4			1,679,433				\$ 1,679,433	5	5.00			FM, S	Single Audit Act of 1984 (PL 92-502); ORS 286A.195	Some Information Technology audits are performed to determine the reliability of computer-processed information used to prepare the state's financial statements.
30	AUD	SOS	Investigations	The Audits Division investigates allegations related to improper governmental activities by state employees or agencies. Investigations are also initiated when auditors, while on assignment or through data mining, become aware of inappropriate or suspicious activity.	KPM 2, 3 & 4	4			542,847				\$ 542,847	0	0.00			S	ORS 177.170	Statutes require that the Secretary of State Investigate and report on calls alleging fraud, waste, or abuse of state-funded programs
31	ARC	SOS	Security Depository	Storage of microfilm for state and local government entities		4			233,732				\$ 233,732	1	1.00			S	ORS192.070-192.072	
32	ELT	SOS	Voters' Pamphlet	Voters' Pamphlets are prepared for all state-wide elections by the Elections Division. This pamphlet is mailed to each residence in the state. This activity identifies Elections staff time to prepare the Voters' Pamphlet.		4	1,005,507						\$ 1,005,507	0	0.90			S	Chapter 251	
33	CRP	SOS	Corporation - Call Center	The Corporation Division operates a customer service call center at the Oregon State Corrections institute. The call center is staffed by inmate operators who answer customer requests for information about businesses registered in Oregon. All calls are recorded, and live calls are monitored by two Corporation Division staff members.		4			581,357				\$ 581,357	2	2.00			S	ORS 56	
34	ASD	SOS	ISD - Technology Positions	Package 171 - Technology Positions		4			1,335,155				\$ 1,335,155	7	6.68			y		
35	ASD	SOS	ISD - Corp Technology Projects	Package 172 - Online Services for Businesses		4			2,000,000				\$ 2,000,000					y		
36	ARC	SOS	Archives Division	POP #121 - Statewide Assessment / Shelving		4	(3,562,338)		4,716,107				\$ 1,153,769	1	1.00					
37	ARC	SOS	State Records Center	POP #121 - Statewide Assessment / Shelving		4	(65,772)		65,772				\$ -							
38	ARC	SOS	State Records Center	POP #122 - Records Center Capacity Expansion		4			300,000				\$ 300,000					y		
39	CRP	SOS	Office of Business Assistance	POP # 151 - Office of Business Assistance	KPM 12	4			254,802				\$ 254,802	2	1.50			y		
									\$ -				\$ -							
									\$ -				\$ -							
									\$ -				\$ -							
								8,987,057	-	51,716,662	-	7,740,353	-	\$ 68,444,072	206	204.37				

7. Primary Purpose Program/Activity Exists

- 1 Civil Justice
- 2 Community Development
- 3 Consumer Protection
- 4 Administrative Function
- 5 Criminal Justice
- 6 Economic Development
- 7 Education & Skill Development
- 8 Emergency Services
- 9 Environmental Protection
- 10 Public Health
- 11 Recreation, Heritage, or Cultural
- 12 Social Support

19. Legal Requirement Code

- C Constitutional
- D Debt Service
- FM Federal - Mandatory
- FO Federal - Optional (once you choose to participate, certain requirements exist)
- S Statutory

Prioritize each program activity for the Agency as a whole

PROGRAM PRIORITIZATION FOR 2013-15

Secretary of State																					
2013-15 Biennium																					
																			Agency Number:	16500	
Agency-Wide Priorities for 2013-15 Biennium																					
1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	

Document criteria used to prioritize activities:

The Secretary of State is a statewide elected constitutional office under Oregon Constitution Article VI section 2, serving as Auditor of Public Accounts, custodian of Legislative and statewide Executive public records, and Chief Elections Officer. The Secretary oversees the functions of seven program Divisions. The Secretary of State's office provides stewardship of public resources by: facilitating access to government records and information; ensuring that public dollars are well-spent; offering registration services to businesses and consumers; safeguarding the democratic process; and overseeing state lands for the Common School Fund. The Secretary of State meets all of the constitutional and statutory responsibilities of the office while delivering high quality customer service at the lowest possible cost.

Agency program activities were prioritized on constitutional, federal and state statutes; services to citizens; and services provided to customers of the seven program divisions in the Secretary of State.

Attachment C

Agency New Hires

Agency New Hires 2011-13 as of December 2012

Division	Pos	Position Description	Step	Justification
Admin	1	Office Specialist 1	5	Transfer in from a higher level state position
Admin	1	Executive Assistant	1	N/A
Admin	1	Procurement & Contracts Assistant	2	N/A
Admin	1	ISS 4	2	N/A
Admin	1	ISS 7	9	Promotion within state
Admin	1	Human Resource Analyst 2	3	Previous applicable experience
Admin	1	Operations & Policy Analyst 2	8	Two failed recruitments
Admin	1	PEM D	7	Promotion within state
Admin	1	PEM F	6	Previous applicable experience

ENGAGE OREGONIANS -- INNOVATE FOR THE FUTURE -- DELIVER RESULTS

Agency New Hires 2011-13 as of December 2012

Division	Pos	Position Description	Step	Justification
Audits	1	State Auditor 2	5	Experience and education
Archives	1	Records Management Analyst 1	2	N/A
Audits	6	State Auditor 2	2	N/A
Audits	1	State Auditor 1	1	N/A
Corp	1	Office Specialist 2	5	Previous applicable experience
Corp	2	Office Specialist 2	3	Previous applicable experience
Corp	1	Public Service Rep 4	2	N/A

ENGAGE OREGONIANS -- INNOVATE FOR THE FUTURE -- DELIVER RESULTS

Attachment D

Proposed Legislation

LC	Bill	Relating to	Concept	Summary
9539	SB 5539	Financial administration	Secretary of State Budget	Appropriates moneys. Limits expenditures.
513	SB 139	Education Audits	Access to education records for auditing purposes	Authorizes the Oregon Education Investment Board to allow Secretary of State Auditor to access student records from K-12 schools and institutions of higher education in accordance with federal law.
514	SB 140	Social Security numbers in public audits	Access to Records	Directs state government bodies that request disclosure of Social Security numbers to inform individuals that Social Security numbers may be used in matching with other public records for purposes of state auditing. Allows auditors to use numbers for fraud detection and data analysis.
515	SB 141	Documents used in connection with business entities	Business Identity Theft Prevention	Expand the definition of a person covered by Oregon's identity theft law to include business entities. Extends criminal sanctions for signing false documents for filing with the Secretary of State.
516	SB 142	Improving the Secretary of State's business registry procedures	Business Registration Streamlining	Update statutes to allow an authorized agent to sign and submit filings to Secretary of State on behalf of a business. Allows limited use of the words "cooperative and "partnership" in name or title of business. Aligns provisions regarding the winding up of affairs for administratively and voluntarily dissolved entities.
518	SB 144	Benefit companies	Benefit Companies	Creates new corporate status that allows companies to expand fiduciary responsibility to include creating a public benefit in addition to maximizing profit.
517	SB 143	Office of Small Business Assistance	Office of Small Business Assistance	Create two FTE to advocate on behalf of small businesses in navigating Oregon's state business regulations.

519	HB 2197	Campaign finance	Campaign Finance Reform	Adopts federal style campaign finance limits. Requires expedited reporting of campaign finance statements during two weeks immediately preceding an election. Requires disclosure of source of communication made in support of or opposition to candidate or measure.
521	HB 2198	Information for voter registration records	NVRA Compliance Council	Requires certain designated voter registration agencies to submit change of address information to Secretary of State for purposes of updating voter registration records.
526	HB 2199	Ballot security	Ballot Security	Resolves conflict in statutes regarding the safekeeping and destruction of ballots after an election.
524	SB 147	Voters' pamphlet	Voters' Pamphlet	Requires all submissions to the Voters' Pamphlet to be filed online. Modifies requirements for disclaimers in the voters' pamphlet.
525	SB 148	Election petitions	Initiative and Referendum Updates	Requires chief petitioners to perform criminal background checks for paid circulators. Allows someone to submit monthly petition sheets on behalf of the chief petitioner. Creates whistleblower protections for paid circulators.
528	SB 150	Conduct of elections	Elections Housekeeping	Raises maximum penalties for certain violations of election laws or rules. Eliminates requirement to print party ballots in different colors.
527	SB 149	Absent electors	Military and Overseas Voters	Removes obsolete language regarding absentee ballots. Mirrors language used in federal law.
520	SB 145	Campaign finance	Campaign Finance Housekeeping	Expands definition of petition committee to include supporting or opposing a petition. Simplifies process for discontinuing a political committee. Increases threshold to trigger requirement to file campaign finance statements. Removes outdated spot check requirement.
522	SB 146	Minor political parties	Minor Political Party Maintenance	Updates and clarifies statute regarding the maintenance requirements for minor political parties.