

Secretary of State

2015-17 Ways and Means Presentation Appendix

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Attachment A- Annual Performance Progress Report

SECRETARY of STATE

Annual Performance Progress Report (APPR) for Fiscal Year (2013-2014)

Original Submission Date: 2014

Finalize Date:

2013-2014 KPM #	2013-2014 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	Campaign Finance Information- Percent of committee filings determined to be sufficient.
9 a	Staff Diversity- Percent of Women as a percentage of SOS workforce.
9 b	Staff Diversity- Percent of People of Color as a percentage of SOS workforce.
9 c	Staff Diversity – Percent of 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.

SECRETARY of STATE

I. EXECUTIVE SUMMARY

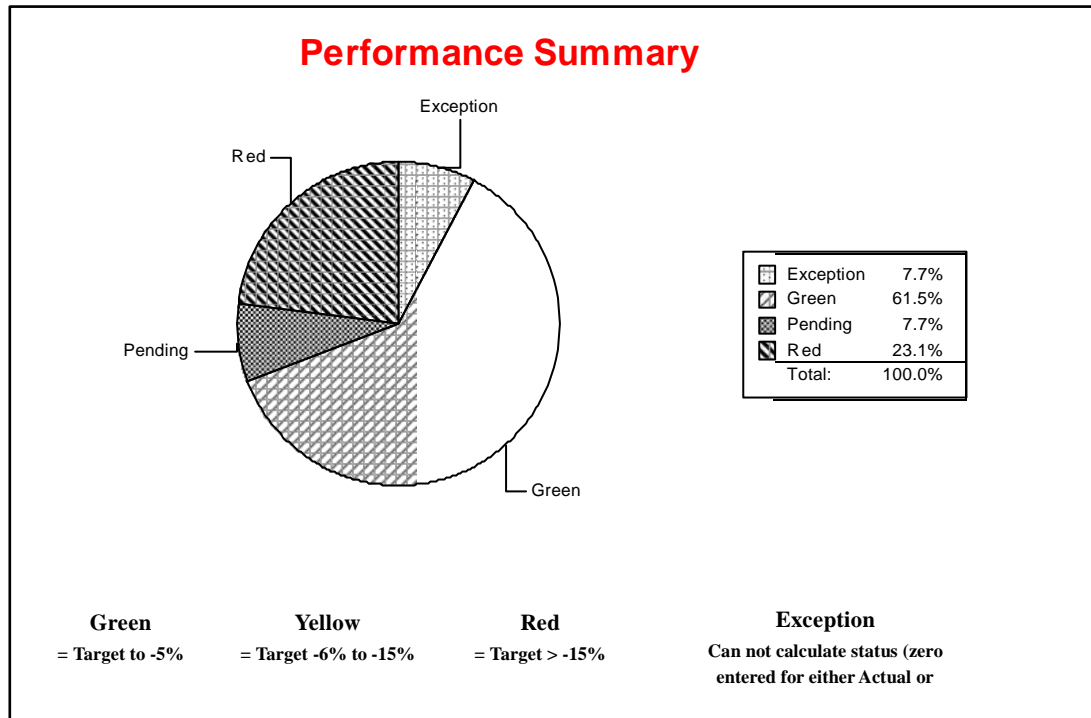
Agency Mission: The Secretary of State is a statewide elected constitutional office under Oregon Constitution Article VI section 2. She is the keeper of Oregon’s history, the auditor of public funds, the first stop for Oregon businesses and the chief elections officer. The Secretary of State provides 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

Contact Phone: 503-986-2232

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 #165-03 Audit Efficiency, KPM #165-05 Business Registry Timely Document Processing, KPM # 165-07 UCC Timely Document Processing, KPM #165-08 Campaign Finance Information, KPM #165-010 Customer Satisfaction. KPMs with UNCLEAR PROGRESS or target not yet set: , KPM #165-04 Audit Recommendation Implementation, KPM #165-06 Notary Timely Document Processing, KPM #165-09 Work force Percentage, KPM #165-011 Campaign Finance Proposed Penalty Notices.

4. CHALLENGES

While Oregon's revenue outlook has stabilized, the year-over-year GF growth rate is projected to be lower over the next several years. The Elections Division relies heavily on GF dollars to fund its core business functions and the Administrative Services Division relies on a combination of GF and OF revenues to fund their core business functions. GF reductions were taken by the agency in the 2013-15 LAB. The agency places a heavy reliance on information technology which enables us to provide efficient and timely services to our customers. There is a need for additional funds to add vital resources (i.e. added security for

computer applications, security hardware and additional staffing dedicated to computer application security) to protect these essential computer applications from ongoing attacks and threats in cyber crime.

Audits Division: Oregon government is working its way out of severe financial and operational challenges from the great recession. 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, to recommend changes 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. Our audits will seek efficiency savings, improvements in the safety and quality of life of Oregonians, and adequate safeguards for the state's 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 on results from state dollars, and 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 while meeting increasing customer expectations for better and faster service. The advancement and implementation of technology and e-Government initiatives presents the opportunity for increased efficiency in the Corporation Division processes and at other government agency partners, while requiring adoption of new procedures and changing the way we operate and do business. Past e-Government successes have allowed the Corporation Division to eliminate 7 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 transactions filed within ORESTAR, the number of voters' pamphlet statements filed and the number of challenges filed in court. Identifying meaningful outcomes we can impact is difficult. Additionally, most of our deliverables are deadline-driven and statutory. Therefore, we must complete all major projects and tasks on time as prescribed, without exception. For the last biennium, the Elections Division implemented one new Key Performance Measure (KPM), identified as KPM #11. KPM #11 was implemented to identify the percentage of time when proposed penalty notices are sent to committees within five months of the finding of an insufficient transaction. Data has been collected regarding this KPM and is noted appropriately in the appropriate Key Measure Analysis.

Archives Division: The Division received a more stable funding source in the 2013-15 Legislative session. Archives was moved out of General Fund and into an FTE based assessment model. This should help Archives to become less reliant on sales of services and supplies. Archives continues to work and build upon the Oregon Records Management Solution (ORMS) to provide the state with a more cost effective way to manage its electronic records and are also formalizing a plan to get more of the Archives holdings into ORMS so they are accessible online. We are using social media, especially Facebook and Twitter to promote our holdings which has resulted in more visits to the Archives in person and to our website. Finally, we are working to turn the audio tapes of the Legislature that are on obsolete technologies into a digital format with equipment that was purchased on E-bay, cleaned, repaired, and connected to computers, by Archives staff, for the conversion process and posting online as well as working with Legislative Administration to put Legislative Audio already in a digital format online.

5. RESOURCES AND EFFICIENCY

The Secretary of State 2015-17 Agency Request Budget: General Fund- \$ 11,132,679; Other Funds- \$54,294,731 and Federal Funds - \$6,646,779. **The Agency Request Budget for the Audits Division is \$20,183,511 Other Funds for the 2015-2017 biennium.** In the 2013-15 biennium, the Division

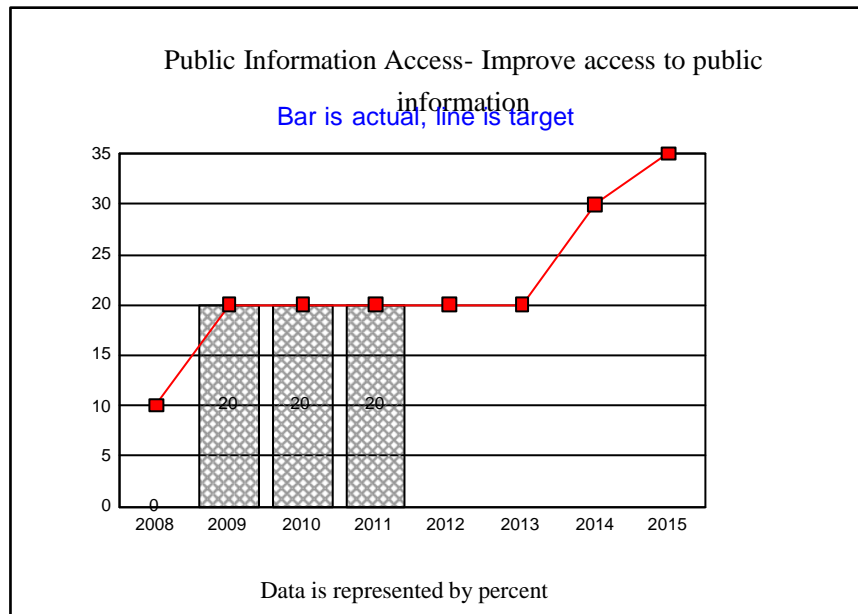
continued to refine its efforts: further streamlined its audit processes; reported on the financial condition of Oregon and the 36 counties; and improved its reporting methods and formats of audit results.

The Agency Request Budget for the Corporation Division is \$9,364,191 Other Funds for the 2015-2017 biennium. In the 2013-15 biennium, the Division: Implemented the Office of Small Business Assistance; reorganized division operations to maximize customer service delivery; implemented a new Notary Public application; and expanded the features and services of the Central Business Registry.

The Agency Request Budget for the Elections Division is \$8,501,806 General Fund; \$1,013,904 Other Funds and \$6,472,455 Federal Funds for the 2015-2017 biennium. In the 2013-15 biennium, the Elections Division successfully: presided over three successful state elections; processed the signatures on all statewide petitions; referred at least four violations of petition circulating laws and eight ballot cases (voting violations) to the Attorney General; and implemented several statutory enhancements to the online campaign finance and voters' pamphlet filing system (ORESTAR); and continued to develop and implement enhancements to the Oregon Centralized Voter Registration (OCVR) and the election management system, including ballot sorters and corresponding interfaces for five counties. In addition, 2013 was a year of transition regarding leadership in the Elections Division. An interim Director was in place for a period of time and then a new Director was hired in November.

The Agency Request Budget for the Archives Division is \$7,626,702 Other Funds and \$174,324 Federal Funds for the 2015-2017 biennium. In the 2013-15 biennium, the Division: Continued to update policies and procedures to ensure compliance to national standards; increased use of technology to assist, not only in locating resources, but in making more information available online to aid our users; used volunteers, interns and student workers to enhance services provided; continued to market, manage and implement the Oregon Records Management Solution - a statewide solution that is sold 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; working to improve the Administrative Rules applications to provide better access to Rules as well as streamlining the process; trained state agency rules coordinators so that they better understand the requirements of their position as it relates to Administrative Rules; enhancing the printed version of the Blue Book; 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 three year's worth of data. We won't know if our targets are reasonable or need to be adjusted until we have a couple more year's worth of data and can make a determination if this is what we should be collecting and measuring.

3. HOW WE ARE DOING

This is a relatively new measure with three year's worth of data. Our Customer Service Survey shows that 97% of our customers who use the website like and find useful the information posted. Those that gave us an unsatisfactory rating commented that they wanted more information than what is currently there, an indicator that we are on the right track in making more information available. One addition to our website since last report is our use of social media (Facebook and Twitter). our statistics in this show that since we have gone with consistent and more thematic "Document/Picture of the Day" postings, our followings have gone up dramatically. Since January 2014 we have added over 900 "likes" to our page and reach on average over 4,000 individuals weekly. In addition, our "tweets" which directly relate to what we have posted on Facebook or alert to a function or event at the Archives, are re-tweeted 95% of the time which means if an individual receives our tweet they are sending it out to others. During 2012-2013, we averaged 172,515 visitors to our site. Our 2013-2014 statistics are currently being compiled.

4. HOW WE COMPARE

We still 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. The February 2014 security breach faced by the Secretary of State's agency and subsequent security measures has impacted our statistics to a certain degree but we have not finished compiling and analyzing the 2013-2014 data.

6. WHAT NEEDS TO BE DONE

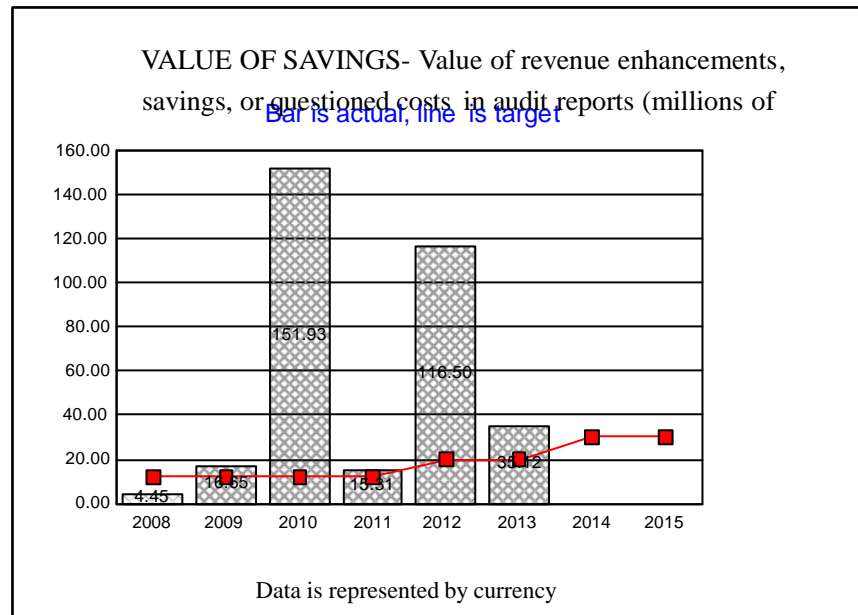
Based on the information gathered at this time, we need to continue to do what we are doing by making more information available to the public for their use.

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. We still rely heavily on the copies of records that we sell to buy basic supplies such as paper and pens, but know that our move to assessment based funding will begin to ease this reliance. Archives staff will continue to 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. We will also be looking at the information that we are analyzing to create this report to see if we are collecting the correct data.

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.

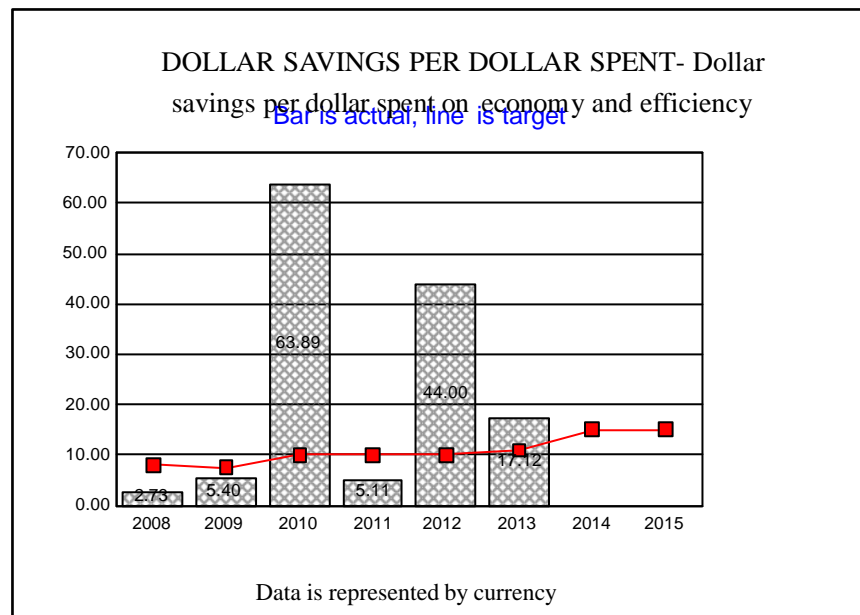
6. WHAT NEEDS TO BE DONE

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, though 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.

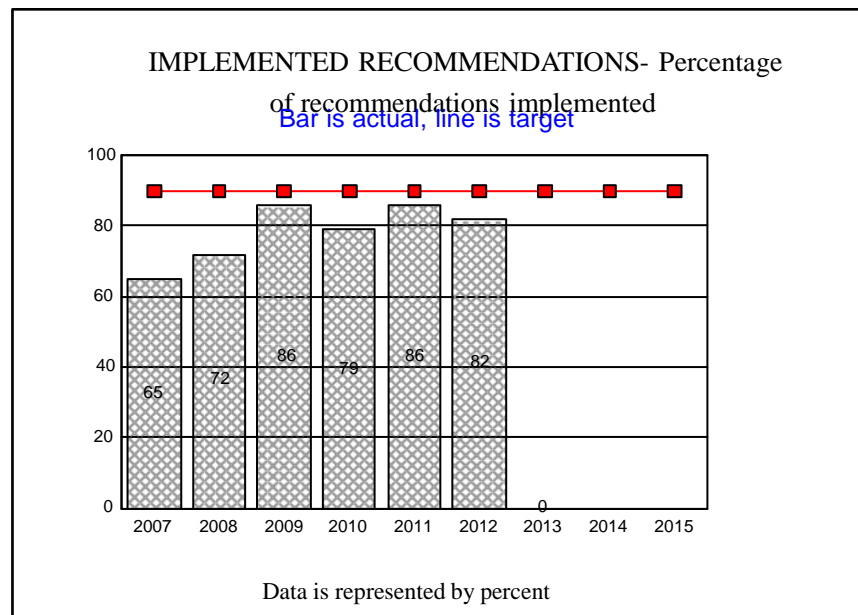
6. WHAT NEEDS TO BE DONE

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.

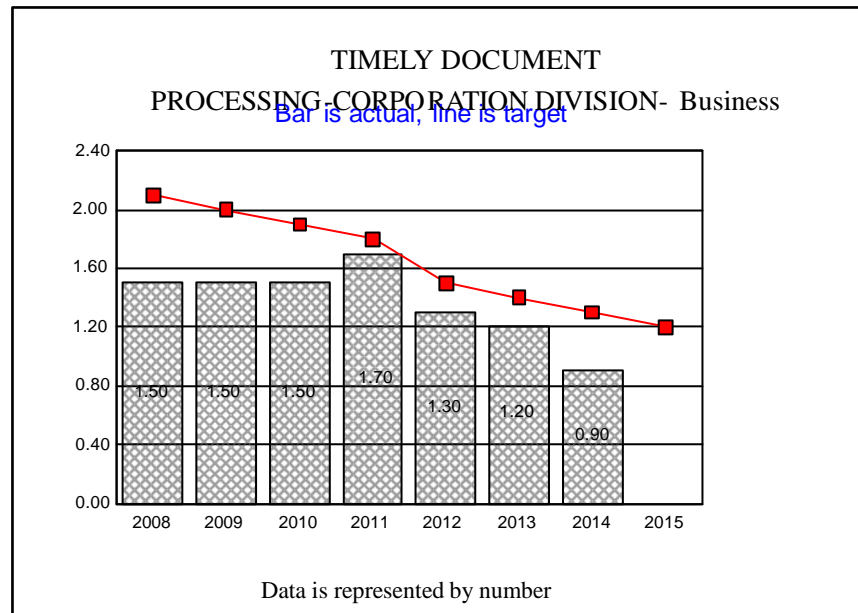
6. WHAT NEEDS TO BE DONE

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. We update the data each 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 2014, document processing turnaround time was 0.9 days. This result is faster than the target goal of 1.3 days.

4. HOW WE COMPARE

The World Bank report Doing Business 2014 ranks the time to start a business in 193 countries. The report lists New Zealand as the fastest place to start a business (.5 day), Canada second fastest at 5 days. Oregon's average of 0.9 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.

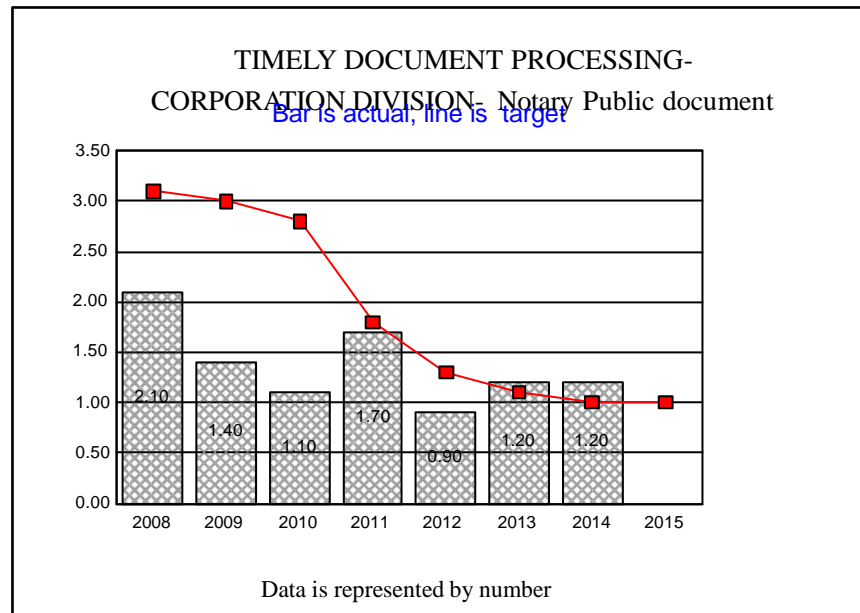
6. WHAT NEEDS TO BE DONE

Continue the build out of the Central Business Registry and other electronic filing applications as envisioned in POP 102 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 2014, document processing turnaround time was 1.2 days. This result just missed the target goal of 1.0 days.

4. HOW WE COMPARE

The Division did not benchmark its FY 2013 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.

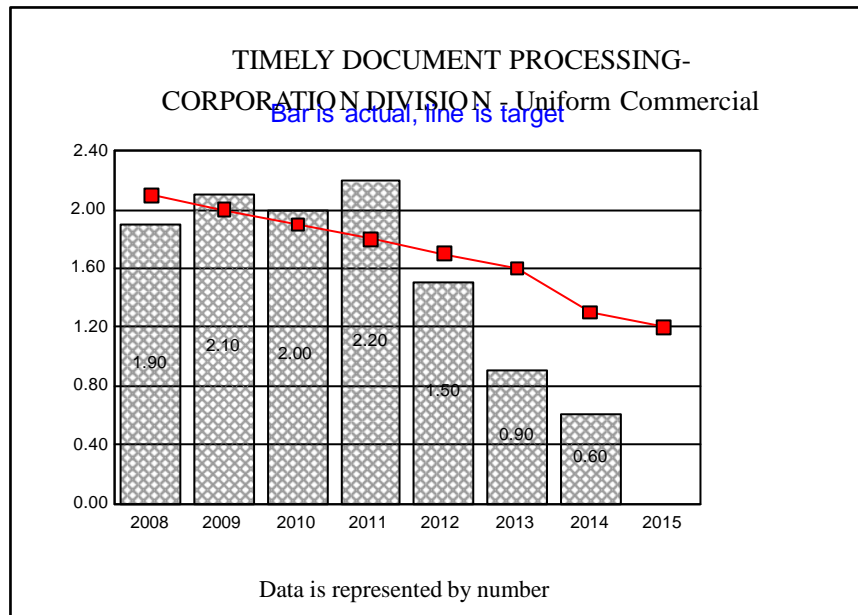
6. WHAT NEEDS TO BE DONE

The Division implemented a new Notary application in fall 2013 to comply with notary law changes required by House Bill 2834. Once staff and Oregon notaries adjusted to the new changes, processing times for calendar year 2014 have averaged less than 1.0 days. The Division expects to fully meet the target for FY 2015.

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 2013, document processing turnaround time reduced from 0.9 days to 0.6 days, and is faster than the target goal of 1.3 days.

4. HOW WE COMPARE

The Division did not benchmark its FY 2014 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 2011-13 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.

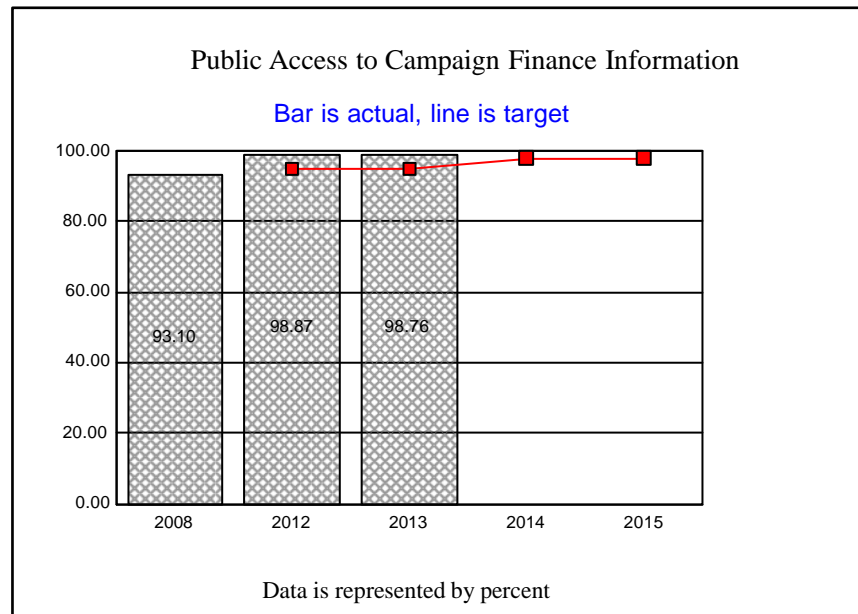
6. WHAT NEEDS TO BE DONE

Implement additional electronic filing applications for agricultural lien filings, and automation of Revenue Warrant filing with the Department of Revenue to help increase the effectiveness of Oregon Income Tax collection.

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	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, Jim Williams (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 political committees to avoid insufficiencies. Resolution of insufficiencies prior to filing increases 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 the 2011-2013 biennium the percentage of sufficient cases is 98.79%. The division credits the features in the ORESTAR system to the success of filings.

2. ABOUT THE TARGETS

Since July of 2013, the Elections Division has examined 107,287 transactions. Of those, only 1,340 were deemed insufficient. This means that 98.76% of transactions in the 2014 election cycle were sufficient. This is consistent with the results from 2008 (98.87%) and 2012 (98.79%).

3. HOW WE ARE DOING

After more 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 now completely caught up to cases within five months of a violation occurring.

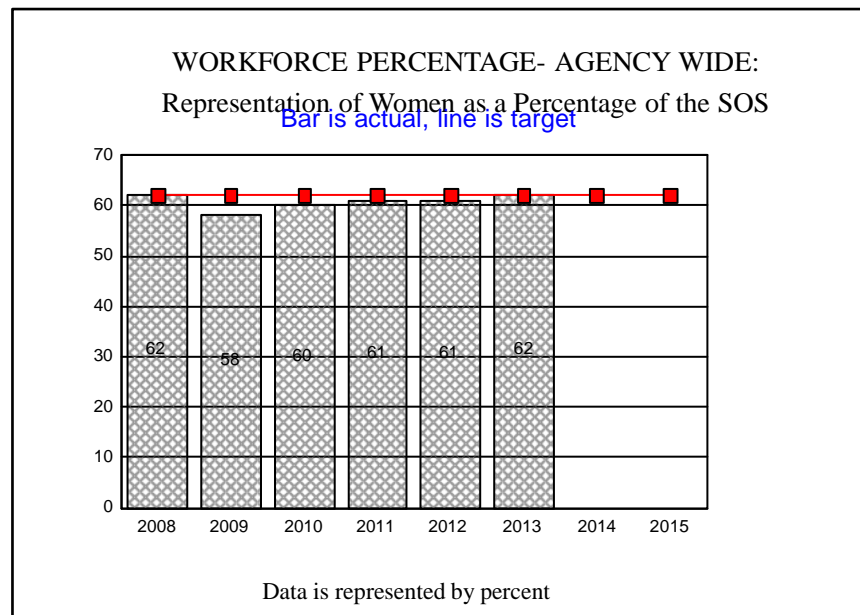
6. WHAT NEEDS TO BE DONE

We continue 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 provides reliable data.

KPM #9a	Staff Diversity- Percent of Women as a percentage of SOS workforce.	2005
Goal	Adaptable government for future generations. The Agency's goals are set to gradually increase the representation of women in the Secretary of State's workforce while tracking at the same or better representation levels as the State as a whole.	
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, 2014.	
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 of women exceeds the statewide workforce by 8%.

4. HOW WE COMPARE

Women represent 62% of the Agency workforce.

5. FACTORS AFFECTING RESULTS

Factors contributing to 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 varies our representation.

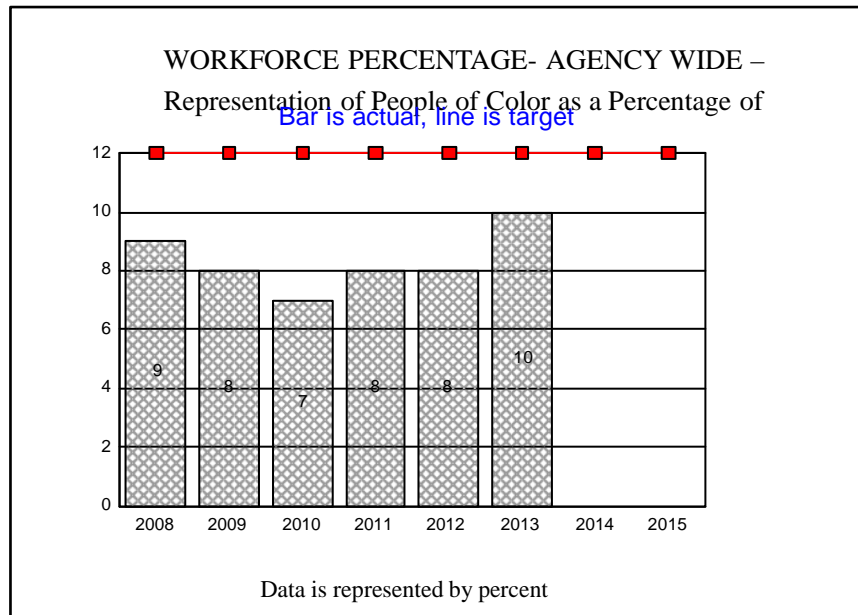
6. WHAT NEEDS TO BE DONE

The agency will continue its efforts to attract job applicants and retain employees that 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, sent to the Governor's Office list serve and distribution on Affirmative Action mailing list.

7. ABOUT THE DATA

The data used to determine agency percentages of women was taken from the Department of Administrative Services Affirmative Action report as of June 30, 2014.

KPM #9b	Staff Diversity- Percent of People of Color as a percentage of SOS workforce.	2005
Goal	Adaptable government for future generations. The Agency's goals are set to gradually increase the representation of people of color in the Secretary of State's workforce while tracking at the same or better representation levels as the State as a whole.	
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, 2014.	
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

We experienced close to a 3% increase in our representation of people of color with relatively no change in overall workforce count.

4. HOW WE COMPARE

People of Color (POC) currently represent a little over 10% of the Agency workforce. We fall short of the statewide representation by 4%.

5. FACTORS AFFECTING RESULTS

Factors contributing to 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 varies our representation.

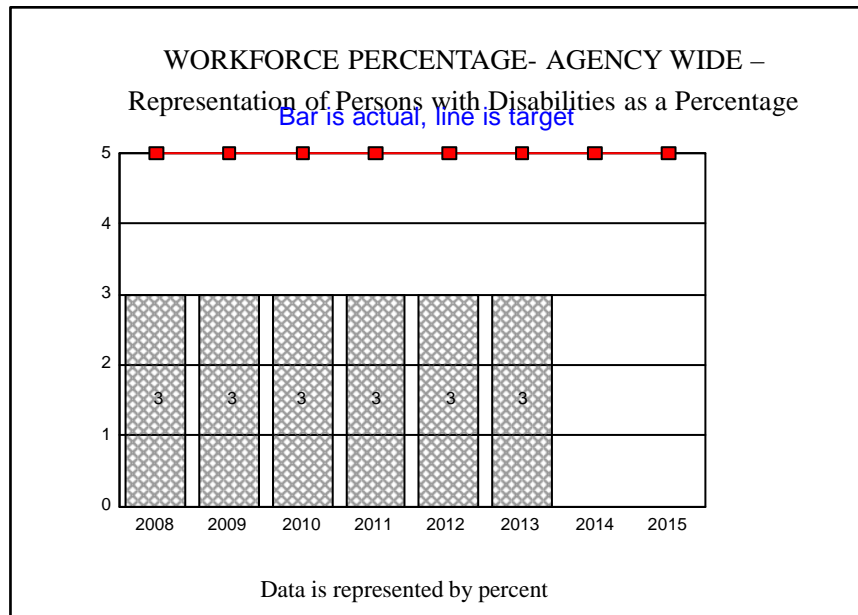
6. WHAT NEEDS TO BE DONE

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, sent to the Governor's Office list serve and distribution on Affirmative Action mailing list.

7. ABOUT THE DATA

The data used to determine agency percentages of people of color was taken from the Department of Administrative Services Affirmative Action report as of June 30, 2014.

KPM #9c	Staff Diversity – Percent of Persons with Disabilities as a percentage of SOS workforce.	2005
Goal	Adaptable government for future generations. The Agency's goals are set to gradually increase the representation of persons with disabilities in the Secretary of State's workforce while tracking at the same or better representation levels as the State as a whole.	
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, 2014.	
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 of persons with disabilities remained consistent.

4. HOW WE COMPARE

Persons with Disabilities (PWD) remained steady representing 3% of the Agency workforce. Our representation of persons with disabilities parallels the statewide workforce of 3%.

5. FACTORS AFFECTING RESULTS

Factors contributing to 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 varies our representation. An additional factor for consideration is that employees frequently do not identify themselves as having a disability; therefore, our reports do not always reflect accurate figures for employees with disabilities.

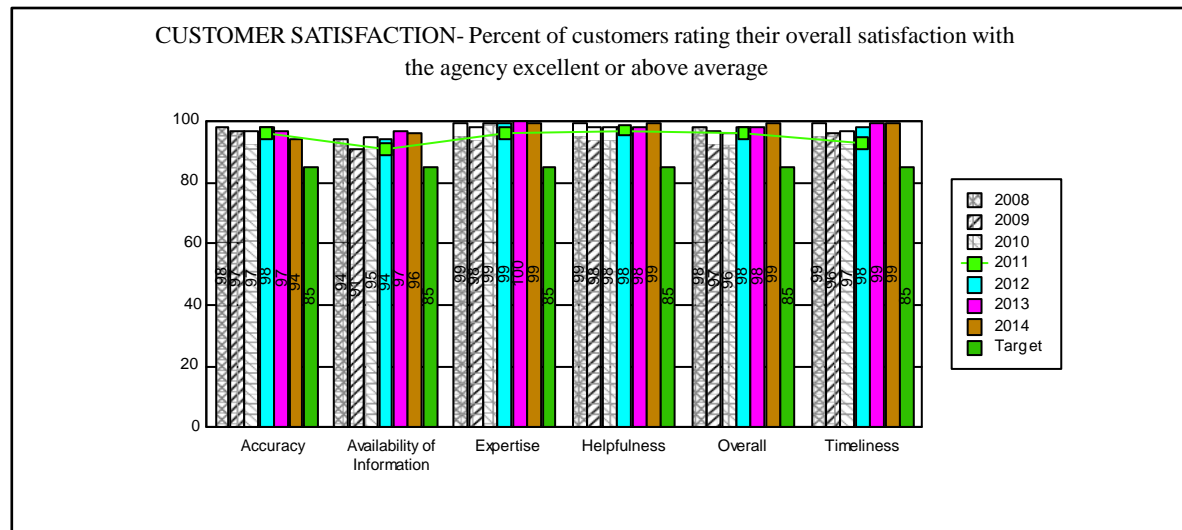
6. WHAT NEEDS TO BE DONE

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, sent to the Governor's Office list serve and distribution on Affirmative Action mailing list.

7. ABOUT THE DATA

The data used to determine agency percentages of persons with disabilities was taken from the Department of Administrative Services Affirmative Action report as of June 30, 2014.

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.	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, Jim Williams, (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.

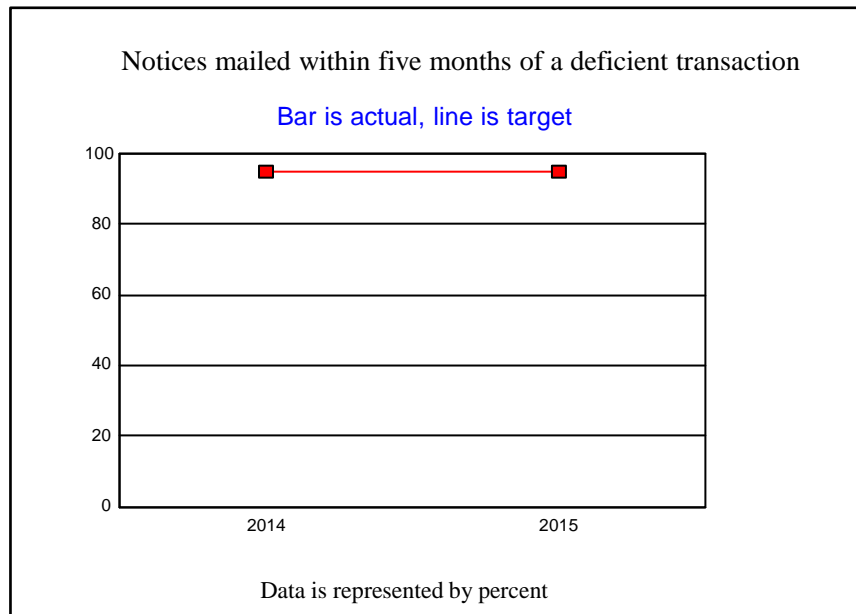
6. WHAT NEEDS TO BE DONE

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. Completed survey responses are entered into a database. The Elections Division did not complete a survey in FY 2013 or 2014. Revisions to the survey questions and methodologies were begun during FY 2013 but were not completed and the survey did not occur. A survey will be designed and performed during FY 2015.

KPM #11	Campaign Finance Proposed Penalty Notices - Percentage of notices mailed within five months of a deficient transaction.	2013
Goal	To ensure all proposed penalty notices are provided timely to committees within five months of a finding of a violation of the filing of a campaign finance transaction.	
Oregon Context	This KPM does not have a primary link to the Oregon Benchmark	
Data Source	Performance data on timeliness of notices related to insufficient and late filings will be provided by reports generated through ORESTAR (the Elections Management System).	
Owner	Elections Division, Jim Williams (503) 986-2339	



1. OUR STRATEGY

The ORESTAR system provides a report of all committees who have insufficient or late transaction filings. Transactions are examined by Elections staff within

10 business days of the transaction being filed. If a transaction is found to be insufficient the committee may correct the transaction within 14 business days without a penalty occurring. After this time period any committee's transactions that were filed late or still found to be insufficient will receive a penalty notice from the Elections Division. The Elections Division's goal is to prepare and send all notices based upon the report provided by ORESTAR within five months of when the violation occurred.

2. ABOUT THE TARGETS

We want to establish 2014 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

As of midway into the 2014 election year, 82% of proposed penalty notices (representing 185 cases of 226 deficient transactions) were issued within 5 months of a deficient transaction. Of the 41 cases where proposed penalty notices (ppn) were issued after 5 months, 33 of the cases involved legislators where the ppn could not be issued during the legislative session. Those ppn's were issued within six weeks after session ended. In the remaining 8 cases, the ppn was issued 1-3 days later than the 5 month target deadline. This was the first year that data was collected for this KPM. Based on the experience we gained from tracking the data, we are confident that we can achieve 100% compliance in future years.

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 to determine.

5. FACTORS AFFECTING RESULTS

Performance of the ORESTAR system could be a factor in collecting data. The division is currently caught up with cases and this will assist us in determining the factors.

6. WHAT NEEDS TO BE DONE

The Elections Division staff must continue to be vigilant in reviewing and providing notices regarding insufficient and late transaction filings. 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 provides reliable data.

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 Legislature during annual legislative sessions and meeting of the legislative Ways and Means committee between legislative sessions.
- * **Stakeholders:** Customer Service Surveys to agency customers on quality and timeliness of services provided.
- * **Citizens:** Customer-based surveys

2 MANAGING FOR RESULTS

During the agency's 2013-15 legislative budget hearings, the Ways and Means Sub-Committee on General Government directed all agencies coming through their committee to review and evaluate their KPMs and report back to the committee with any proposed changes. We have reviewed our KPM's in each of our divisions and will bring newly proposed KPM's for the Elections Division during the 2015-17 Legislative Session.

3 STAFF TRAINING

The agency places a high value and emphasis on providing training and continuing education for all employees. The agency holds two all-stall meetings annually in which training is a portion of the agenda and reporting on performance measures is provided. Performance measure results are also communicated with staff through ongoing communication where appropriate as well as through annual performance evaluations. Ongoing training and continuing education

	become a part of employee professional development goals for the next year for the purpose of helping enhance skills and expertise.
4 COMMUNICATING RESULTS	<p>* 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.</p> <p>* Elected Officials: Through the budget development process and the Annual Performance Progress Report</p> <p>* Stakeholders: Annual Performance Progress Report available on DAS website</p> <p>* Citizens: Annual Performance Progress Report available on DAS website</p>

Attachment B- Program Prioritization

PROGRAM PRIORITIZATION FOR 2015-17

Secretary of State																			Agency Number: 16500	
2015-17 Biennium																				
Agency-Wide Priorities for 2015-17 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	ASD	SOS	ISD - Technology Positions	Package 100 - Technology Positions	KPM 1, 10	4	559,260			1,510,926			\$ 2,070,186	10	10.00		Y			
2	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 & 11	4	1,459,309		131,974		530,241		\$ 2,121,524	4	3.95			S	Chapters 246-260	
3	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 & 10	4	937,897		0				\$ 937,897	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.
4	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 re presented fairly and that significant deficiencies in its fiscal systems are identified and corrected.	KPM 2, 3 & 4	4	0		9,029,845		0		\$ 9,029,845	32	32.00			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.
5	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 & 10	4	0		4,269,691		174,324		\$ 4,444,015	14	12.46			S	ORS192.001-192.170; ORS 357.805-357.920; ORS171.420-171.430;	

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																				
6	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.	KPM 5 & 10	4		0				4,895,585	\$ 4,895,585	19	19.00			S	ORS 56, 58, 60, 92, 63, 65, 67, 68, 128, 554, 647 and 648		
7	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 8 & 10	4		2,034,172					\$ 2,034,172	6	5.75			S	Chapter 260		
8	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 & 10	4						673,913	\$ 673,913	6	6.00			S	ORS 79, 80, 87		
9	ASD	SOS	ISD - Information Systems	The Information Systems Support consists of Server Administration, Network and Security Administration, Infrastructure Design, 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		529,781				2,427,422	\$ 2,957,203	8.5	8.50						

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																		
10	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	658,482		4,067,593				\$ 4,726,075	13.5	13.50					
11	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 technology standards. Keeping standards in alignment with business goals.		4	67,621		783,983				\$ 851,604	3	3.00					
12	ASD	SOS	ISD - Business Continuity and Security 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	4,651		368,912				\$ 373,563	1	1.00					
13	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	139,492		1,007,030				\$ 1,146,522	3	3.00					
14	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			448,097				\$ 448,097	2	2.00			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

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																		
15	ELT	SOS	Voters' Pamphlet	The Elections Division is required to produce a Voters' Pamphlet for each statewide election that is mailed to all households where voters live. Space is offered in the Voters' Pamphlet to all candidates as well as all opponents and proponents of measures appearing on the upcoming ballot. Information for the Voters' Pamphlet is filed electronically in the ORESTAR Application.	KPM 10	4		1,760,609				\$ 1,760,609	0	0.90			S	Chapter 251	
16	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				7,522,353		\$ 7,522,353	27	27.00			S, C	ORS 419C.001, Section 4c of Article XV of the Constitution	Example mandated audit areas are the juvenile justice system and Health Exchange, both of which must be audited periodically.
17	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				506,281		\$ 506,281	2	2.00			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.
18	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				1,488,781		\$ 1,488,781	5	5.00			FM, S	Single Audit Act of 1984 (PL 92-502); ORS 286A.195	Some Information Technology audits are required to determine the reliability of computer-processed information used to prepare the state's financial statements. Others address data security problems.
19	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 & 10	4				1,079,743		\$ 1,079,743	4	4.04			S	ORS183.325-183.362	
20	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.	KPM 1 & 10	4		0			1,360,975	\$ 1,360,975	3	4.50					
21	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 & 10	4					1,430,530	\$ 1,430,530	5	5.00			S	ORS 194	
22	ELT	SOS	HAVA Program	HAVA Services	KPM 10	4						\$ 2,039,957	4	4.00			FM		Implement and oversee the Help America Vote Act regarding voter registration
23	ELT	SOS	HAVA OCVR	HAVA OCVR	KPM 10	4		845,811				\$ 3,139,176					FM		Create and maintain a centralized voter registration system for all statewide voter registration records.
24	ELT	SOS	HAVA ADA Services	HAVA ADA Services (Section 261)	KPM 10	4		0				\$ 106,192					FM		Provide the opportunity and tools for registered voters who are disabled and unable to vote to vote their ballot independently and privately.

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																		
25	CRP	SOS	Corporation - Call Center	The Corporation Division operates a customer service call center as part of the Business Registration information Center to support businesses and prospective entrepreneurs start and grow their business in Oregon.	KPM 10	4		1,321,174				\$ 1,321,174	2	2.00			S	ORS 56	
26	ELT	SOS	HAVA OCVR	Package 201 - OCVR Modernization and OF Limitation Increase	KPM 10	4				1,502,700		\$ 1,502,700							
27	CRP	SOS	Corporation Position	Package - 362 Permanent Financing for Positions	KPM 10	4		229,952				\$ 229,952	1	1.50					
28	CRP	SOS	Office of Business Assistance	The Office of Small Business Assistance was authorized by House Bill 3459 (2013) to serve as an independent voice for small business' within state government by solving problems with state regulators and cut through red-tape.		4	0		381,037			\$ 381,037	2	1.50					
29	ASD	SOS	ISD - Corp Technology Projects	Package 102 - Oregon Business Registry Enhancements	KPM 5	4	0		624,000			\$ 624,000					Y		
30	ELT	SOS	Elections Division	Package 200 - New Elections positions	KPM 10	4	160,939		0			\$ 160,939	1	1.00					
31	ARC	SOS	Archives Division	Package - 121 Phase 2 Compact Shelving	KPM 1 & 10	4	0		500,000			\$ 500,000	0	0.00					
32	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			639,215			\$ 639,215	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.
33	ARC	SOS	Security Depository	Storage of microfilm for state and local government entities	KPM 1 & 10	4			242,770			\$ 242,770	1	1.00			S	ORS192.070-192.072	
34	ARC	SOS	Oregon Blue Book	The Oregon Blue Book is compiled, published and sold/distributed by the Archives Division.	KPM 1 & 10	4			173,523			\$ 173,523					S	ORS177.120	
35	CRP	SOS	Corporations	Package - 360 Merchant and Treasury Fee Adjustment	KPM 5, 6, & 7	4		240,000				\$ 240,000					Y		
36	CRP	SOS	Corporations	Package - 361 License Directory Modernization Subscription	KPM 10	4			192,000			\$ 192,000							
37	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	285,031		1,445,922			\$ 1,730,953	6	6.00					
38	ASD	SOS	Purchasing & Contracts	Performs all levels of procurement activity (formal & informal solicitations) and contract administration for the agency.		4	79,822		1,029,611			\$ 1,109,433	5	5.00					

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																		
39	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 9	4	81,232			770,624		\$ 851,856	3	2.69					
40	ASD	SOS	Financial Services	The Financial Services Section in BSD provides accounting, financial reporting, fixed asset management, budget development & budget execution, cash management services, mail services.		4	165,196			1,660,463		\$ 1,825,659	8.5	8.00					
41	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, and risk management services.		4	33,763			326,173		\$ 359,936	1	1.00					
42	ASD	SOS	BSD - Application Administration	The BSD application administrator serves as the infrastructure subject matter expert for all BSD information technology applications (i.e the Deposit Interface System (DIS); Fixed Asset Management System; eCommerce tools used by SoS).		4	26,541			83,764		\$ 110,305	0.5	1.00					
43	AUD	SOS	New Positions	Package - 400 New Auditor Positions	KPM 2, 3 & 4	4				548,940		\$ 548,940	3	3.00					
44	ELT	SOS	ORESTAR upgrades	Package 202 - ORESTAR upgrades	KPM 10	4	1,303,070			881,930		\$ 2,185,000					Y		
												\$ -							
												\$ -							
							11,132,679	-	54,294,731	-	6,646,779	-	\$ 72,074,189	214	213.69				

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

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 and Reclasses

Agency New Hires 2013-15 as of January 2015

Division	Position Description	Step	Justification
Admin	Executive Assistant	1	N/A
Admin	Office Specialist 1	3	Promotion within state
Admin	Accountant 2	7	Promotion within state
Admin	Procurement and Contract Spec 2	2	N/A
Admin	ISS 7	5	Failed recruitment
Admin	Electronic Publishing Design Spec	9	Previous applicable experience
Admin	ISS 8	7	Failed recruitment
Admin	Office Specialist 2	8	Executive Service
Admin	Public Affairs Specialist 2	5	Previous applicable experience
Audits	State Auditor 2	2	N/A
Audits	State Auditor 2	2	N/A

Agency New Hires 2013-15 as January 2015

Division	Position Description	Step	Justification
Audits	State Auditor 2	5	Promotion with in state
Audits	State Auditor 2	5	Previous applicable experience
Audits	State Auditor 2	3	Promotion with in state
Audits	(2) State Auditor 2	1	N/A
Audits	State Auditor 2	4	Promotion with in state
Corp	Program Analyst 4	1	N/A
Corp	Public Service Rep 4	4	Previous applicable experience
Corp	Public Service Rep 4	4	Promotion with in state
Corp	(2) Public Service Rep 4	2	N/A
Corp	(4) Public Service Rep 4	1	N/A

Agency New Hires 2013-15 as of January 2015

Division	Position Description	Step	Justification
Elections	PEM H	8	Previous applicable experience
Elections	PEM D	3	Previous applicable experience
Elections	Public Service Rep 2	1	N/A
Elections	Operations & Policy Analyst 1	4	Previous applicable experience
Elections	Public Service Rep 2	2	N/A

Reclasses 2013-15

Division	From	Salary Range	To	Salary Range
Audits	(3) State Auditor 1	24	State Auditor 2	28
Admin	HR Analyst 2	26	HR Analyst 3	29
Admin	PEM E	33	PEM G	38
Admin	Training & Dev	27	HR Analyst 2	26
Admin	ISS 4	25	Electronic Pub Design Spec 3	23
Corp	Office Spec 2	15	Public Service Rep 4	19
Corp	(2) Research Analyst 3	26	Operation & Policy Analyst 2	27
Corp	PEM D	31	Operation & Policy Analyst 4	32

Reclasses 2013-15

Division	From	Salary Range	To	Salary Range
Corp	Program Analyst 2	27	Training & Dev Spec 1	23
Corp	(2) Office Specialist 2	15	Pubic Service Rep 4	19
Corp	Research Analyst 2	22	Ops & Analyst 2	27
Corp	Research Analyst 1	19	Ops & Analyst 1	23
Corp	Ops & Policy Analyst 4	32	Public Service Rep 4	19

Attachment D- Proposed Legislation

Secretary of State

2015-17 Legislative Concepts

Number	Description
HB 2176	Makes technical amendments to state elections law to improve clarity and consistency.
SJR 4	Amends the Constitution to prohibit the fixing an age for mandatory retirement of judges.
SJR 5	Amends the Constitution to allow limits on campaign contributions.
SB 75	Establishes limits on campaign contributions.
HB 2173	Requires the Secretary of State, as State Auditor, to report fraud or other violations of criminal law to appropriate criminal justice authorities.
HB 2174	Allows withholding of certain moneys to encourage municipal corporations to timely submit audited financial statements to the Secretary of State and deregulates the form of municipal corporation contracts for required audits.

Secretary of State

2015-17 Legislative Concepts

Number	Description
HB 2175	Reduces submissions of certain agency filings and financials statements to the SoS Audits Division that do not support current auditing activities.
SB 77	Eliminates an obscure type of tax-free non-profit going forward that is often used by tax evaders.
SB 76	Repeals and streamlines unnecessary, obscure, or seldom-used business laws to lessen the regulatory burden on Oregon businesses.
HB 2178	Increases the transparency of large campaign contributions in the two weeks leading up to an election.
HB 2179	Extends the period of prohibition on electioneering to more closely match the period during which ballots are currently available and may be voted under existing law.
HB 2180	Aims to reduce agencies' end-of-biennium spending by creating an incentive to not spend all appropriated general fund dollars unless there is good reason to do so.

Secretary of State

2015-17 Legislative Concepts

Number	Description
HB 2177	Uses DMV records to register eligible Oregonians into the current state facilitated voting database, the Oregon Centralized Voter Registration (OCVR) system.

Attachment E- HB 4131

Voluntary Compliance with HB 4131 (2012)

The Secretary of State was exempted from HB 2020 and HB 4131; however, we continue to take voluntary steps to achieve the intent of the legislation.

- In Audits Division, we removed 26 State Auditors from management service, shifting them into non-management positions
- Reclassifications underway across other divisions, changing positions from management service to non-management wherever appropriate to work toward the staffing ratio target

Attachment F- Proposed Technology Projects

Secretary of State
Proposed Technology Projects 2015-17

Name	Description	Division
Archives Administrative Rules Application Rebuild	<p>Redesign and refactor the Administrative Rules database (FIS) and application.</p> <p>One goal of this project is to update the FIS FileMaker database, making use of newer FileMaker database functionality and features. Another goal of this project is to refactor application code so that unused and obsolete code is removed. A final goal of this project is to enhance the Administrative Rules application, implementing new features and functionality.</p> <p>This project may need to be broken into 2 phases: redesign and refactor; implement enhancements. The contractor will work with the business to determine best approach for updating the application and implementing new features.</p>	Archives
Archives Administrative Rules Migration	<p>Migrate administrative rules static pages to SharePoint.</p> <p>The goal of this project is to reduce amount of staff time involved in having to maintain 2 different sites using different content management tools.</p>	Archives
Archives Administrative Rules Subscription Notification	<p>Implement a solution for notifying interested parties when OARs are created or change.</p> <p>The goal of this project is to provide a helpful service to Archives patrons.</p>	Archives
Archives Blue Book Website Migration	<p>Migrate the Blue Book web sub-site to SharePoint.</p> <p>The goal of this project is to reduce amount of staff time involved in having to maintain 2 different sites using different content management tools.</p>	Archives

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Proposed Technology Projects 2015-17

Name	Description	Division
Archives Digital Image Ecommerce	<p>Identify and implement modern solution for online sales and fulfillment of digital images.</p> <p>The goal of this project is to provide a means for the public to browse and purchase Archives digital images. Digital images include: historic photos, scenic photos, various scanned document images.</p> <p>Budget needs to cover Archives staff, Archives BA, ISD infrastructure team.</p>	Archives
Archives Early Oregonian Data Maintenance	<p>Implement data maintenance functionality for the PRS Early Oregonian Search subsystem so that data can be maintained in PRS instead of in the FileMaker Pioneer Project database.</p> <p>The goal of this project is to eliminate the need for quarterly data refreshes of the Early Oregonian (EO) data from the Pioneer Project data. Data entered into EO would be available via the online search immediately instead of every 3 months.</p>	Archives
Archives FileMaker Support	<p>Determine FileMaker's role as an application development environment in the agency; once its role is decided, continue with defining application and system support requirements.</p> <p>Once FileMaker's role is determined, then proceed from decision. If FileMaker is to stay, then SLA and software development process/policies need to be reviewed and put in place for FileMaker. If FileMaker is to be phased out, then determine course of action to migrate existing systems from FileMaker to supported environment.</p>	Archives

Secretary of State
Proposed Technology Projects 2015-17

Name	Description	Division
Archives Online Application Alignment	<p>Review all online applications (currently PRS, Administrative Rules, and Historic Index) in terms of “look and feel” and align them so that certain functions behave the same way and appear on the online pages in the same locations.</p> <p>The goal of this project is to present a streamlined, standard “look and feel” for all of Archives’ online applications, making it easier for the public to navigate from one application to another without having to figure out how to access similar functionality</p>	Archives
Archives PRS Maintenance 2013-14	Project for all maintenance activities for the PRS application. PRS is comprised of 2 subsystems: Historic Trademarks, Early Oregonian Search.	Archives
Archives Publication Solution	<p>Identify and implement modern, streamlined solution for publishing OARs in print and digital form. Online publishing can include PDF, HTML/web and downloadable e-book.</p> <p>The goal of this project is to reduce the staff time it takes to maintain the OARs and to introduce publishing software and distribution options that reduce cost and reflect the times.</p> <p>An additional goal of this project is to find a solution that will streamline the publishing of the Oregon Blue Book.</p>	Archives
Lean Project - Archives - OR Records Management Solution	Mapping the ORMS - focus on the build/test phase, the portion of the business line directly impacting Archives Records Management staff.	Archives

Secretary of State
Proposed Technology Projects 2015-17

Name	Description	Division
State Archives Subsite Migration & Modernization	Fourth level and down: Migrate content from Dreamweaver, build/edit/format in SharePoint content management system. Note: For the Web Migration & Modernization Project, only the top three levels of the Archives subsite were in scope. This project will benefit the agency and customers. Completion of the content migration will free up IT staff time and resources because the Web servers no longer need to be maintained. Completion benefits customers through delivering curated content and resolving the need for redirects that can slow page load times. Budget needs to cover Archives content managers and ISD Web team, including PM/content manager.	Archives
Audits MUNI Online Fee Payment	Implement ecommerce functionality that will allow local governments to pay annual audit report submission fees online. The goal of this project is to reduce the amount of BSD staff time required to enter fee payments into the MUNI system.	Audits
Audits MUNI Online Report Filing	The goal of this project is to reduce the amount of BSD and Audits staff time required to upload reports. Functionality will be developed that will allow municipalities or firms to file audit reports online.	Audits
Audits MUNI TRIM Interface	Modify MUNI to discontinue storing annual audit reports in the backend Oracle database. Interface MUNI with TRIM via WebDrawer to display audit reports to internal and external users.	Audits
Enhanced Email Announcements	Work with ISD to improve communications to the agency regarding interruption of service, application and server downtime, and infrastructure projects that affect continuity of service or connectivity.	Audits

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Name	Description	Division
Onsite Electronic Deposit	The BSD group will be implementing Onsite Electronic Deposit (OED) technology to increase the efficiency of check processing. Implementation of this new technology solution offers an excellent opportunity to review and revise (Lean out) all associated financial processes from entry of the payment info to research and refund. Changes to the DIS application may be necessary as well.	Business Services
Apostille/Authentication Verification Online - Project	Provide ability to perform Apostille/Authentication Verification Online	Corporation
BERI Extract Automation	Automate the extract from BERI for delivery to third parties. May roll into BERI Interface Modernization project or be implemented via Toad Data Point Investigating transitioning to NIC	Corporation
BERI Interface Modernization	Migration of BERI system to web interface. Migration to be performed in phases with New Business filings to be the first phase. Additional phases will be planned based on a to-be-determined schedule. WO69	Corporation
BERI Lockbox Elimination	Modify BERI reports to facilitate the elimination of the BERI lockbox. Waiting on eCheck payment in order to convert final 3 entities WO16	Corporation
BERI smoosh name	Strategy for implementation has changed. Name availability and name search are to be split. Scope needs to be addressed.	Corporation
OBR - Partner Services	Add "push" communications for partner services	Corporation

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Name	Description	Division
OBR Enhancements (Package 102)	Modify the OBR interface. Includes DCBS integration, postal address validation, new reporting, framework for local registration/licensing, framework for state licensing, potential framework for Notary, and potential framework for BERI migration.	Corporation
OBR 4 Local Government Licensing Pilot (Bend)	Pilot for implementation of business licensing for the City of Bend	Corporation
OBR 4 Local Government Tax Registration Pilot (Portland)	Pilot for Portland business tax registration in OBR	Corporation
OBR 4/BERI Enhanced Authentication/Security	This is part of overall OBR enhanced authentication/security effort. Component elements include; BERI event eNotices, postal address validation (part of OBR 4 Interface Refresh), new administration tools (part of OBR 4 Interface Refresh), and OBR partner view only queue WO57 WO68	Corporation
OBR CER Status Change	CER change of status modification to OBR	Corporation
OBR Existing Business Notification Opt-In	Allow business to opt-in to notification of changes and/or renewals.	Corporation
OBR State License Pilot with CCB	Pilot OBR data sharing with CCB.	Corporation
Corp Application Support	Production Support of Corporation Division Applications Placeholder for Zirous work WO64	Corporation
HB 2253 UCC ag lien eFiling		Corporation

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Name	Description	Division
Implement 2009 OBR Assessment Findings	SOS engaged KPMG to provide both a penetration test and a vulnerability assessment of the OBR application, from an external attack perspective. These are the security vulnerabilities that KPMG identified during the execution of the project.	Corporation
License Directory Modernization (Package 361)	1. Build or provide a single knowledgebase repository for data used by Business Wizard (BizWiz), Information Referral List (IRL), and License Directory (LD). 2. Modernize the Business Wizard (show fees and costs). 3. Modernize the Referral list (index). 4. Modernize the License Directory (show fees and costs).	Corporation
Notary Modernization Enhancements	Notary modernization _enhancements Imported from MS Project	Corporation
Notary Modernization Phase 2	Phase 2 of Notary Modernization includes Find a Notary, workflow enhancements/additional functionality that is identified by the customer and electronic notarization of amendments as being required for this release.	Corporation
Oregon Quarterly Business Report		Corporation
Relocate Data Extracts, Special Search, Master List to NIC	Relocate Corporation Division Data Extracts, Special Search, Master List to NIC. New development to modernize, standardize and enhance data extract from Corporation Division's databases, and special searches for subscription based customers and one off customers, and provide enhanced search and self service options to query public records online.	Corporation
UCC - Develop Admin Functionalities	Develop and enhance admin functionalities for UCC including data corrections	Corporation
Address Management	Priority Level 4 Implement new methodologies to help manage addresses.	Elections

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Name	Description	Division
Complaints & Violations /others violations	<p>Priority Level 5</p> <p>The Complaints and Violations module of ORESTAR is only configured to track Contribution & Expenditure violations. The original design and structure was developed to track all cases in elections but was never configured or tested to track all cases. Configure ORESTAR to track other complaints and violations and make any coding changes required to do the tracking.</p>	Elections
Election Night Reporting	<p>Priority Level 4</p> <p>Evaluate Election Night Reporting for possible replacement/changes/other solutions that we may prefer to implement.</p>	Elections
NVRA Partner Voter Registration Web Service	<p>Priority Level 5</p> <p>We are developing a process for our NVRA Partners to submit voter registrations. This Project is to implement this new process. The process is designed to streamline our partner's ability to submit registrations without creating overhead. In most cases our partners have collected a majority of the data that is required to register and they will only need to collect three of four additional data elements. Once they have collected the information they will submit the information to the Secretary of State Voters Registration Service. The Voter Registration Web Service runs on the Secretary of State's Servers and gives our partners the ability submits a registration without collecting a signature or processing paper. Once the registration has been submitted to the web service the registration will be processed in batches nightly.</p>	Elections
ORESTAR Modernization (Package 202)	<p>This project will standardize the data between how it exists in OCVR and ORESTAR.</p>	Elections
OCVR Modernization (Package 201)	<p>Assessment and follow-on technical work to address changes/updates to OCVR.</p>	Elections

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Name	Description	Division
OCVR Paper Online Registration	This project will enable OCVR to accept online registrations that still require a signature to be submitted via paper.	Elections
OCVR Public Data (inquiry, data subscription)		Elections
Statement of Organization Fixes/Upgrades	<p>Priority Level 3</p> <p>The Statement of Organizations Module needs some functionality repaired along with new logic to be implemented. This project started because Admin update functionality for the SOO has never fully worked and staff is required to perform workarounds. We also will be upgrading the SOO public search to implement performance enhancement.</p>	Elections
Transition Abstracting	<p>Priority Level 3</p> <p>Abstracting is a process where all the votes are compiled by office, candidate and county and then generated into reports. Abstracting is also done for measures identifying the yes and no votes per county by measure. Currently abstracting is a manual process where counties submit their reports and then state elections staff compile them into a statewide report.</p>	Elections
Transition Calendar	<p>Priority Level 4</p> <p>The Elections Division generates a calendar of election events every year. This calendar is generated utilizing information in the database to determine when events should be scheduled. Currently this functionality is in the old EBS system and will need to be transitioned to ORESTAR. A majority of the logic is done in PLSQL so it may be able to be reused if we write the code in PLSQL.</p>	Elections
VIP/Drop Sites other election information		Elections
Voter Registration Modernization	The Voter Registration Modernization project advances voter registration initiatives.	Elections

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Name	Description	Division
Voter's Pamphlet	<p>Priority Level 5</p> <p>Implement Online submission and reporting of Voters' Pamphlet filings & Publishing.</p>	Elections
Audit online PDFs and PDF forms for ADA Accessibility, informational accuracy, relevance and agency style	<p>Audit all PDFs on site for relevance, accuracy, style and ADA accessibility and then act on the content per audit findings. This work is necessary to complete the website redesign. All pages on the new website have been audited, revised and plugged into ADA accessible templates. The PDFs need the same attention.</p> <p>This work will coincide with a one-year pilot of CommonLook Clarity software as a service (SAAS) that monitors whether PDFs posted to the site are PDF/UA compliant and CommonLook Office, a MS Word wizard that walks users through the steps of making each document accessible.</p> <p>Budget must cover staff time - content coordinator, PM, Social Media & Web Strategist and division content managers - as well as software purchase and SAAS. Nice to have: budget to pay volunteers referred by the Commission for the Blind or other resources to test selected remediated PDFs, particularly forms.</p> <p>This project is a one-year pilot of CommonLook Clarity software as a service (SAAS) that monitors whether PDFs posted to the site are PDF/UA compliant and CommonLook Office, a MS Word wizard that walks users through the steps of making each document accessible. The terms of the pilot have been negotiated, and it is scheduled to begin July 15.</p>	Enterprise
Automated Cross Browser/Mobile Devices Testing Project 2013-2015	Build tools for automated testing of SoS Applications across multiple browsers and multiple platforms	Enterprise
Citrix Farm Upgrade	Upgrade Citrix farm to Server 2008 R2 or 2012 to support new applications.	Information Systems
Complete Replace NAS	Network Attached Storage	Information Systems

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Name	Description	Division
Continuous Integration of Regression Test Scripts 2013-2015 Biennium	Integrate automated test scripts with the development/build process to ensure all builds have been tested prior to deployment	Enterprise
Design and implement new agency Intranet site	Build new agency intranet in SharePoint, which has its roots as an intranet tool. Designate and train content managers in all divisions in service of unifying agency and improving communication. NIC has informed us that we can use an instance of SharePoint under their license, so the primary cost is staff time to design, implement and populate a new intranet site. Budget needs to cover time of ISD Web Team and intranet content managers.	Information Systems
Develop managed vocabularies based on domain-specific vocabulary commonly used in each division	Improve SOS site search accuracy and content consistency by creating managed vocabularies for the overall agency and each division; implement managed vocabularies in SharePoint content management. Budget must cover ISD Web Team, including content coordinator, and content managers.	Enterprise
Developer PC - Baseline Software Configuration	Create a standard baseline configuration of software and settings for all Developer PC's	Information Systems
Edit Web content manager training video	Support ongoing education by creating a Web writing/editing training video. The project involves editing film shot during the March 2013 training, and then enhancing it with screenshots in Adobe Captivate. Budget must cover staff time of the ISD Web Team, including content coordinator. No software purchases are anticipated.	Information Systems
Enterprise File Sharing Solution	Several Secretary of State divisions have the need to share files with outside-the-agency customers. These customers include (but are not limited to): Library of Congress, agency administrative rules filers, audited agencies, and the public. This goal of this project is to find and implement a file sharing solution that will provide the required file sharing capabilities in a secure environment.	Enterprise

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Name	Description	Division
FileMaker Assessment	<p>The FileMaker Platform has been utilized primarily by the Archives and Corporation Divisions for several years to serve up internal applications and external functionality.</p> <p>An assessment of its current state and the feasibility of future plans for it is necessary to ensure that FileMaker is working as well as possible and that it will be able to support the future needs of Corporation and Archives in the future.</p> <p>This project is co-sponsored by Mary Beth Herkert, Peter Threlkel, and Chris Molin.</p>	Enterprise
Finish Implementation of Network Assessment Findings	State statutes require the agency to review, monitor, and verify the security of its information systems, including conducting periodic security risk and vulnerability assessments.	Information Systems
Implement OIM Assessment Findings	SoS's most exposed components of the application will benefit from improved Confidentiality, Integrity and Availability	Enterprise
Implement Oracle Enterprise Manager	Oracle Enterprise Manager implementation	Information Systems
Implement application availability monitoring - ORESTAR, OBR	Automated application monitoring for real time reporting of application down time.	Enterprise
Implement www.Ready-ORSOS.com (COOP Plan Management System)	EMplans.com is a web-based system designed specifically to meet the COOP planning requirements of the government sector as mandated by Presidential Decision Directive 67 (PDD 67) and FEMA Federal Preparedness Circular 65 (FPC 65).	Information Systems
Replacing Oracle Designer	Oracle Designer replacement to include failover plan.	Enterprise
Java/WebLogic Upgrade	The current version of WebLogic needs to be upgraded to 11. and Java to 1.7	Information Systems
Load Testing Project	Develop load and stress testing tools for SoS Applications	Information Systems
Novell File Repository Reorganization	This project will redefine the Novell File Folder structure.	Information Systems

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Name	Description	Division
OIM Improvements	OIM modifications including - Eliminate collection of user address Double email entry (or email confirmation with token) Direct login Purging	Enterprise
Provide Web writing training to content creators	Train agency content originators in Web writing, style and usage, including highlights of Associated Press style. This project is distinct from content manager training. All who are writing and editing for the agency website need training in the current voice, brand and style. This training may include managers, subject matter experts and anyone who edits agency Web content.	Information Systems
Single Sign-on Tool for SoS Staff (Pilot)	Review, explore and pilot a single sign-on tool for SoS staff.	Information Systems
Replace Helpdesk Tool	Ticketing, SLAs, and automated reporting	Information Systems
Upgrade WebLogic and Java	Upgrade the WebLogic server to the recent version and Java to 1.6	Information Systems
Upgrade print/file network systems	Upgrade print/file network systems	Information Systems
Upgrade to Filemaker 13	Upgrade to Filemaker 13	Information Systems
ZENworks Patch Management - ZPM	ZENworks Patch management will help apply software updates to Windows 7 OS, Microsoft Applications, and many other applications that need updates outside of Microsoft updates. This is also a needed tool in order to be able to move forward and complete the Workstation Lockdown project	Information Systems
Upgrade/Replace Luntbuild	Upgrade/Replace Luntbuild	Information Systems
Address Repository	Development of a statewide address repository from address point databases maintained by local governments.	Enterprise
Audits TeamMate SQL Server Migration	The goal of this project is to migrate from an Oracle backend database to SQL Server so that TeamMate can continue to be supported by vendor.	Audits

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Name	Description	Division
Corporation Division Statistical Data	Centralize Corporation data used for Statistical reporting into FileMaker and define reports	Corporation
Data Storage Consolidation	This project will convert backup data from tape to disk storage, except for mainframe applications, and will use the State of Montana as Oregon's offsite data replication facility. (Phase 1) Data that has not been used in 5 years (about 30%) will be moved to slower, less expensive disks. (Phase 2)	Enterprise
Database Upgrade	Upgrade the database versions to 11.2, terminal release	Information Systems
E-Paystub	The purpose of the project is to identify and implement the electronic distribution of pay stubs and identify how such a project would align with the state mandate for efficiency, change and continuous improvement.	Enterprise
Enterprise Active Directory	The Enterprise technology Services (ETS) is seeking to establish an Enterprise Active Directory for the State of Oregon that will provide a shared services platform for common services such as authentication, access control, auditing, collaboration, certification services and service and computer object management. The scope includes the build out to 10,000 user capacity.	Information Systems
Enterprise E-Mail / Active Directory	Enterprise E-Mail / Active Directory Imported from MS Project	Information Systems
Enterprise-E-Mail	The e-mail Consolidation Roadmap was endorsed by CIO Council for State CIO Adoption in August 2010 (53 email systems deployed at that time). The Roadmap outlines steps to be taken over the next 4-5 years to reduce the number of email systems deployed across state government and to improve the efficiency, effectiveness and interoperability of those that remain.	Information Systems
Firewall install	Install new Check Point 4000 Appliances	Information Systems

Secretary of State
Proposed Technology Projects 2015-17

Name	Description	Division
ISD Training Checklists per Role	Through this project, training checklists will be created for each ISD role. When a new employee begins in a particular role, he/she will be asked to have each task on their corresponding list checked off before their entry training will be assumed complete. In this way, the division will ensure common practices, policies and procedures are adhered to. It will also ensure for greater competence in a shorter time-frame for new-hires.	Information Systems
Information Asset Inventory	Establish an Information Asset Inventory	Information Systems
Lean Project - Audits - Performance Audit	Define the performance audit process for the Audits Division identifying staff and stakeholder roles, project milestones and integrate into audit planning calendar. Items that are not addressed in this Lean project or are not within the scope of the project are minor process variations. Adopted Agile project management tool. Implementation occurred Spring 2012. Pilot with 2 projects to test out different ideas.	Audits
Lean Project - Audits - Qualitative Data Analysis	Audits has purchased NVivo software. With NVivo you can deeply analyze your data using powerful search, query and visualization tools. Uncover subtle connections, add your insights and ideas as you work, rigorously justify findings, and effortlessly share your work.	Audits
National Voter Registration Day page	On Sept 25, Kate is doing a big statewide voter engagement effort with high schools. So far we have over 150 school participating. We also have a facebook event and are displaying electronic billboard PSAs. We'd love to build a quick webpage. The content's created.	Elections
Naturalization Ceremonies (New Americans Voter Project)	MSK continually checking in with group to ensure that pilot is running smoothly - at this point, project is off the ground so current involves implementing tablet usage, and future commitments will entail a group debriefing meeting at end with KTB	Elections

Secretary of State
Proposed Technology Projects 2015-17

Name	Description	Division
New Citizen Video	MSK to assist in drafting grant award; conduct outreach and work with design to finalize video plan; coordinate focus group to gauge community reaction, and complete by June	Elections
Online Time	The pilot effort will demonstrate the feasibility and practical application of using web services interface between agency's existing internally-built timekeeping applications and the state's mainframe computer-based timekeeping system.	Information Systems
Oracle Database Upgrade to 12g	Upgrading database to latest version.	Information Systems

Attachment G- Order of Priority and Risk Evaluation

Secretary of State- Order of Priority and Risk Evaluation

Position Request – Order of Priority and Risk Evaluation

Each Full-Time Equivalent (FTE) below is designed to address a specific need and risk identified in our agency. All of the risks identified are not acceptable to our agency and should be addressed by these additional requested FTEs. We have also identified what division/divisions will be supported by each requested FTE.

1. 1503011 Information Systems Specialist 7 (Security Analyst)

Need: The most critical of needs for our agency is another set of hands in our security program. We need a Security Analyst dedicated to the technical aspects of our physical, operational, and communications security. This ISS7 will focus primarily on how the security policies and advisories apply to our infrastructure and applications development services. This position will also be responsible for ensuring security compliance tracking for the entire operation.

Risk: If this position is not filled, we will not be able to strengthen our *network and infrastructure*. The network scanning tools will not get the level of scrutiny and administration they need to successfully track vulnerability management and track continued compliance to the level needed, which will put this agency and Oregon citizen's data at risk.

FTE: .2 Audits, .2Archives, .2 Corporation, .2Elections, .2 Administrative

2. 1503012 Information Systems Specialist 8 (Systems Architect)

Need: Another critical need for our agency is to fortify our applications. We require a Systems Architect responsible for leading the introduction of industry best practices and the implementation of security standards across all applications. This position would also be greatly involved in compliance tracking of development tools and ensuring the Open Web Application Security Project (OWASP) recommendations are followed as part of the system development lifecycle.

Risk: If this position is not filled, we will not be able to strengthen our *applications* to the level needed. Our application penetration testing and application vulnerability management tool (RiskSense) will not get the level of administration and oversight needed, putting this agency's applications and Oregon citizen's data at risk.

FTE: .2 Audits, .2Archives, .2 Corporation, .2Elections, .2 Administrative

3. 1503014 Information Systems Specialist 7 (Enterprise Java Developer)

Need: This vital position would be responsible for independently analyzing the diverse systems, complex customer requirements and business rules; translate them into functional system and/or program specifications; and capture functional and design requirements for the Archives, Audits, and Business Services divisions as well as cross-domain enterprise projects. The Enterprise Java Developer will also recommend options to best utilize application development software and technologies to maximize future organizational benefits for our agency.

Risk: Not having this position filled will stop our ability to progress with any enterprise initiatives for application projects including securing our enterprise applications, building web search functionality for state audits, and replacing antiquated technology. These gaps will result in the inability to move forward with any innovation for improving customer's user experience with these systems and expose our agency to continued hack attempts.

FTE: .33 Audits, .33 Archives, .33 Administrative

4. 1503015 Information Systems Specialist 7 (Elections Java Developer)

Need: This critical position is needed to keep up with the constant Election deadlines and legislatively mandated changes to our Elections systems. Due to the aggressive deadlines for modifications and additions to these modules, we need a full-time developer to offset the additional workload as we currently only have one developer assigned to the ORESTAR application.

Risk: Not having this position filled will continue to cause our backlog of bug fixes to build up, resulting in non-efficient code, potential missed deadlines, and application performance issues. We are currently staffed to sustain the existing application with very little room for time to improve the performance of candidate filing, voter's pamphlet, election night reporting, etc. Moreover, these developer positions need time to build penetration testing into their development cycles. With aggressive schedules and resource conflicts, it's become a matter of security versus innovation and performance. We should be staffed to be able to provide both.

FTE: 1 Elections

5. 1503007 Public Affairs Specialist 2 (Web Project Lead)

Need: The primary purpose of this crucial position is to secure and develop the agency's content strategy. While the Systems Architect is focusing on securing our applications and the Infrastructure Manager is focusing on securing our network and systems, the Web Project Lead will be focusing on securing our web presence. The majority of our major applications are web-based and it's paramount our web services are providing secured connectivity for citizen's online transactions. This staff member will also focus on the user experience of our citizens as they access our web applications, focusing on quality, consistency, and effectiveness.

Risk: Not having this position filled will stop our ability to progress with any web-based security initiatives for our applications. The tools and resources we use to manage our web services security need hands-on oversight and guidance by a technically proficient leader. The lack of this position will have a grave impact on our ability to monitor web vulnerabilities and security mitigation actions. By allowing this position to not be filled, we also greatly risk the ability to improve accessibility to our existing and legacy Election, Audit, Archives, and CORP data.

FTE: .2 Audits, .2Archives, .2 Corporation, .2Elections, .2 Administrative

6. 1503006 Information Systems Specialist 7 (Elections Business Analyst)

Need: The needs of the ORESTAR application have grown beyond the capacity our Project manager to provide both management and technical analysis of the application and its modules to maintain. Due to the zealous deadlines for the mandated changes and additions to these modules, we need a full-time Business Analyst to provide continuity for the Project Manager, act as the liaison between the technical and managerial staff, offset the constant deadlines, and handle the additional workload.

Risk: Not having this position filled will continue to cause our backlog of bug fixes to build up, resulting in non-efficient code, potential missed deadlines, and application performance issues. We are currently staffed to sustain the existing application with very little room for time to improve the performance of candidate filing, voter's pamphlet, election night reporting, etc. Moreover, this position needs time to build penetration testing into their development cycles. With aggressive schedules and resource conflicts, it's become a matter of security versus innovation and performance. We should be staffed to be able to provide both.

FTE: 1 Elections

7. 1503008 Information Systems Specialist 7 (Corporation Applications Developer)

Need: The Corporation development team is grossly understaffed with only 3 in-house developers building and sustaining 5 of our most significant applications; Oregon Business Registry (OBR), Business Entity Registration Information (BERI), Business Information Center (BIC), Notary, and Uniform Commercial Code (UCC). This position is currently a double-filled position because we needed the FTE to assist with the development of the new OBR system. This biennium, we are planning on rebuilding the BERI system and need the additional developer. Also, we need the additional assistance as we build the penetration testing into securing our applications.

Risk: Not having this position filled will stop our ability to progress with our Corporation application initiatives including security, building web and performance functionality for business owners, and replacing antiquated technology. This vacancy would seriously impact further innovations for improving Corporation-specific application usability and security thus exposing the agency to potential security breaches against our systems.

FTE: 1 Corporation

8. 1503013 Principal Executive Manager D (Infrastructure Manager)

Need: We currently have 12 infrastructure technicians with no direct management, other than the CIO. This critical management position would provide fundamental project oversight responsibilities on infrastructure projects. The infrastructure manager would oversee the definition, management and control of all out-sourced tasks, develop and oversee contracts, and be responsible for validation of new systems. They would also enforce agency IT security standards and manage agency business requirements to the satisfaction of our user community.

Risk: Not filling this position will have critically negative impact in our ability to progress with any infrastructure initiatives including securing our network, complying with security best practices and replacing antiquated software, operating systems, services, and hardware. The lack of leadership over the infrastructure team will impede oversight for improved standardization and innovation for our server, network, and database platforms exposing our agency to future attempts to exploit potential network, server, database, and client vulnerabilities.

FTE: .2 Audits, .2Archives, .2 Corporation, .2Elections, .2 Administrative

9. 1503010 Information Systems Specialist 7 (Enterprise Business Analyst)

Need: Many of the security initiatives and system innovation projects we are bringing into the agency require cross-divisional, cross-platform oversight and management. Although we currently have a Project Manager assigned to these projects, we don't have a dedicated Business Analyst or development resources to provide the technical programming and design functions. This position would provide the expertise in the business processes, requirements and specific rules of each division assigned to ensure the technical specifications are met for the user requirements.

Risk: Leaving this role vacant in our agency will prevent us from progressing with future enterprise application initiatives including securing our Audits, Archives, and Administrative applications; building web search functionality for our in-house PDFs and archival documentation; and replacing our outdated legacy systems. The impact of this would result in increasing potential system vulnerabilities into our enterprise applications and stopping any innovation for improving customer's user experience with these systems.

FTE: .33 Audits, .33 Archives, .33 Administrative

10. 1503009 Information Systems Specialist 4 (Web Usability Tester)

Need: In the last few years, we have been developing more and more applications to be served to the public through the web. These applications need to be designed and tested for compatibility and security. We are also starting to develop for "any data, any device, anywhere", which means that the applications must be tested for different devices and browsers. Links to and from web pages are also a challenge and must be tested on an ongoing basis. Having a dedicated resource for web usability testing would limit the risk of application availability issues, broken links and applications that do not meet our end users' special needs.

Risk: Not having this position filled will prevent us from being able to move forward with security, mobile device access, and browser compatibility for our web-based applications, limiting access for many citizens who may use non-compatible browsers to gain access to our systems. The vacancy would leave potential browser security issues unaddressed and a lack of monitoring/testing for compatibility resulting in increased waiting time for citizens who will be relegated to using manual methods to do business with our agency instead of online.

FTE: .2 Audits, .2Archives, .2 Corporation, .2Elections, .2 Administrative

Attachment H- 10% Reductions

Secretary of State

10% All Funds Potential Reductions

Activity or Program	Describe Reduction	GF	OF	FF
1. Corporation: Slow the growth and adoption of electronic filing	Decreased promotion and customer awareness will result in fewer online filings subject to credit card merchant fees resulting in longer wait times for customer documents mailed in for processing.		\$176,833	
2. Administrative: Reduce Services and Supplies	The majority of General Fund and Other Fund controllable S&S would be depleted.	\$20,994	\$96,524	

INNOVATION & SECURITY BUDGET

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

Secretary of State

10% All Funds Potential Reductions

Activity or Program	Describe Reduction	GF	OF	FF
3. Audits: Reduce Services and Supplies	Reduce in state travel, employee training, office expenses, telecommunications, publicity & publications, employee recruitment & development, professional services and other Services and Supplies.		\$330,883	
4. Elections: Reduce Office expenses	Reduce Office expenses which would impact our ability to purchase the number/volume of office supplies and equipment that contribute to the efficiency and effectiveness of our work product and all deliverables.		\$13,197	

INNOVATION & SECURITY BUDGET

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

Secretary of State

10% All Funds Potential Reductions

Activity or Program	Describe Reduction	GF	OF	FF
5. Corporation: Eliminate Electronic Publishing Design Specialist Position	Eliminate one Electronic Publishing Design Specialist 2 position that supports app. development and database configuration design for the Oregon Central Business Registry, Business Registry, Notary and Uniform Commercial Code systems.		\$159,779	
6. Archives: Close State Records Center	Closing the State Records Center will cost the state more money as agencies will need to find storage for their records and this storage will come at a higher rate than what the Records Center currently charges.		\$712,760	

Secretary of State

10% All Funds Potential Reductions

Activity or Program	Describe Reduction	GF	OF	FF
7. Audits: Cut Auditing Staff by 14%	10 FTE- Only audits critical to state operations would occur. Less attention to effectiveness of agencies for example.		\$1,632,574	
8. Corporation: Eliminate Office of Small Business Assistance	Eliminating this program would cause businesses to have to rely on their own resources and ingenuity to attempt to resolve issues and concerns in dealings with state agencies.		\$338,347	
9. Corporation: Eliminate Notary Outreach & Training	Oregon notaries will no longer receive free in-person training on proper notarization procedures.		\$187,577	

Secretary of State

10% All Funds Potential Reductions

Activity or Program	Describe Reduction	GF	OF	FF
10. Administrative Services: Staff reductions	Reduce to less-than full-time positions in Exec, HR and Bus. Services. The impact is increased workloads, longer wait times on requests for goods and services.	\$39,792	\$429,887	
11. Elections: Reduce HAVA Voter Services Professional Services	Reduce HAVA Voter Professional Services. This would reduce to ability to research and develop new programs.			\$257,204

Secretary of State

10% All Funds Potential Reductions

Activity or Program	Describe Reduction	GF	OF	FF
<p>12. Elections: Eliminate printing & distribution of Voter's Pamphlet.</p>	<p>Eliminate printing & distribution of Voter's Pamphlet. This eliminates the ability to produce, print and mail the pamphlet to every household.</p>	<p>\$703,779</p>		
<p>13. Elections: Reduce HAVA OCVR IT Professional Services.</p>	<p>This would inhibit the maintenance, support, and development of the OCVR system.</p>			<p>\$257,204</p>

Secretary of State

10% All Funds Potential Reductions

Activity or Program	Describe Reduction	GF	OF	FF
14. Administrative: Eliminate Infrastructure Support Positions and Application Developer positions	(5) Infrastructure/Developers FTEs- These functions include helpdesk support and technical documentation activities.	\$146,376	\$870,739	
Total Reductions:		\$910,941	\$4,949,100	\$514,408

Secretary of State

Long-Term Vacancy Report as of 12/31/14

	Program	Position#	Classification	Reason	Anticipated Fill Date
1	Audits	0185003	C5684-State Auditor 4	Recruitment Pending	March 2015
2	Archives	2103222	C0103-Office Specialist 1	Recruitment Pending	March 2015
3	Audits	3103432	C5684-State Auditor 4	Recruitment Pending	March 2015
4	Admin	4213417	X7008-PEM E	Recruitment Pending	March 2015
5	Elections	6969002	C1488-ISS 8	Pending Abolishment	N/A
6	Corp	5103506	C0324-Public Representative 4	Position filled	N/A

Attachment I- Ending Balance Form

UPDATED OTHER FUNDS ENDING BALANCES FOR THE 2013-15 & 2015-17 BIENNIA

Agency: Secretary of State's Office - Agency 16500
 Contact Person (Name & Phone #): Fabiola Flores 503 986-2238

(a) Other Fund Type	(b) Program Area (SCR)	(c) Treasury Fund #/Name	(d) Category/Description	(e) Constitutional and/or Statutory reference	(f) 2013-15 Ending Balance		(g) 2015-17 Ending Balance		(i) Comments
					In LAB	Revised	In CSL	Revised	
Other Fund Limited-Administration	001-00-00-00000	1650000401- Sec. of State General Fund	Operations	ORS 177.010; ORS 177.140; and ORS 177.200	2,571,633	1,355,183	4,966,599	2,979,364	Balance assumes a 2 month operating costs will be retained. 15-17 Est. 2 month Operating cost is \$1.1 million. The projected Ending Fund Balance also includes the assumption that \$500k of Package 172 will not be completed and therefore have to be spent in 15-17.
Other Fund Nonlimited Election	002-00-00-0000	1650000401- Sec. of State General Fund	Operations	ORS 246.260; and 2002 Help America Vote Act (HAVA)	70,619	46,790	0	6,790	
Other Fund - Nonlimited Audits Division Muni	007-00-00-0000	1650000401- Sec. of State General Fund	Trust Fund	ORS 297.405-297.555	0	333,971	0	333,971	Municipal Audit Program. This is a non-budgeted Fund.
Other Fund - Nonlimited Audits Division	007-00-00-0000	1650000401- Sec. of State General Fund	Operations	Oregon Constitution, Article VI, Section 2, and ORS 297.010-297.990	2,765,170	1,502,208	3,702,726	2,221,144	Funding is primarily through assessments. Based on guidance from OAM 30.20.00 PR in the event it appears assessments will exceed requirements, assessments will be reduced and/or excess collections will be refunded. 15-17 Est. 2 mos Operating Cost is \$1.6 million.
Other Fund - Nonlimited Archives Division	012-00-00-0000	1650000401- Sec. of State General Fund	Operations	ORS 183.355; ORS 183.360; ORS 192.001-192.170; ORS 357.805-357.895; ORS 171.407, ORS 171.420-171.430; ORS 177.120; and ORS 183.325-183.362.	271,364	750,419	734,884	644,698	Funding is primarily through assessments. Based on guidance from OAM 30.20.00 PR in the event it appears assessments will exceed requirements, assessments will be reduced and/or excess collections will be refunded. 15-17 Est. 2 mos Operating Cost is \$593k.
Other Fund - Nonlimited Corporation Division	036-00-00-000	1650000401- Sec. of State General Fund	Operations	ORS 56; ORS 58; ORS 60; ORS 62; ORS 63; ORS 65; ORS 67; ORS 68; ORS 79; ORS 80; ORS 87; ORS 128; ORS 194; ORS 554; ORS 647; and ORS 648	4,522,177	3,273,308	3,977,857	5,821,410	Per Oregon Ballot Measures 66 and 67 Corporation Division is now required to self-fund all customer service related technology projects for the Division. Ending fund balance in excess of 2 mos Operating Cost is retained and reserved for this purpose. 15-17 Estimated 2 month Operating Cost is \$725,186.
					10,200,963	7,261,879	13,382,066	12,007,377	