

JEANNE P. ATKINS

SECRETARY OF STATE

ROBERT TAYLOR

DEPUTY SECRETARY OF STATE



**January 22, 2016**

The Honorable Senator Richard Devlin, Co-Chair  
The Honorable Representative Peter Buckley, Co-Chair  
Joint Committee on Ways and Means  
900 Court Street NE  
H-178 State Capitol  
Salem, OR 97301-4048

Dear Co-Chairpersons:

### **Nature of the Request**

The Secretary of State, Elections Division is requesting \$347,900 (GF) to continue its work on the ORESTAR system, a core database system for the Elections Division. During the 2015 Legislative Session, the Secretary of State included Package 202 in the Agency Budget Request. Package 202 included both a short-term plan and a long-term plan for ORESTAR improvements.

To move forward with the short-term plan, a portion of this package was funded in the 2015 Session in the amount of \$285,000(GF) to address ORESTAR improvements and maintenance needs for the 2016 Election. Specifically, these funds are committed to bring in limited duration staff for bug fixes and system enhancements for issues encountered in 2014. We have been able to include some of the bug fixes and enhancements into the regular maintenance and release schedule for the application, and we also still plan to utilize this additional package in the current biennium to address necessary bug fixes and system enhancements to ORESTAR. Accordingly, while the money in Pkg 202 has not yet been spent, those funds are committed already to addressing bug fixes and enhancements in the remaining ORESTAR modules.

As part of the long-term plan for ORESTAR, we informed the Committee in 2015 that we were working with a consultant on a complete evaluation of the ORESTAR system. We explained that we would report to the Committee in the 2016 Session the results of the consultant's report and outline our long-term plan for ORESTAR at that time. The request for \$347,900(GF) related to Election Night Reporting is part of the long-term plan for ORESTAR as recommended by the consultant and is not included in the portion of Package 202 funded in the 2015 Session. We are now requesting approval to request an additional \$347,900(GF) so we can begin to implement some of the long-term recommendations of the consultant in the ORESTAR report.

### **Agency Action**

Our consultant conducted a comprehensive evaluation of the ORESTAR system during 2015. That evaluation took place over an eight month period, with a final report received from the Elections Division on December 18, 2015. An electronic copy is included with the request. The evaluation included an assessment of the status and effectiveness of each module of the application.

In general, the report includes recommendations about the structure of ORESTAR and the widespread functionality and accompanying support and maintenance of the various modules. The consultant's report recommends maintaining and improving many ORESTAR modules in-house. This includes, for example, keeping Campaign Finance, Voters Pamphlet, Candidate Filing, and other modules in-house.

For three modules, however, the consultant's report includes recommendations about exploring alternative solutions with technology vendors. These three modules include Election Night Reporting, UOCAVA, and Contact Management. The first module from ORESTAR that the consultant recommended seeking alternative solutions is the Election Night Reporting (ENR) module. Our current ENR system was an add-on to ORESTAR and it supports only state offices and races. There are vendors who currently support various Election Night Reporting systems and software that could effectively replace this module of ORESTAR. Knowing this recommendation, and realizing that several Legislators had inquired about the shortcomings of our current ENR system, we made a decision to immediately begin laying the groundwork to carry out the first recommendation from the consultant. We worked with the consultant and the Business Services Division (BSD) to develop a Request for Proposal (RFP) for a new Election Night Reporting System. An apparent successful proposer has been identified and -- pending funding approval from the Legislature -- we are prepared to move forward with a contract award if we obtain the requested funding. The initial contract cost is \$260,000 with ongoing annual costs. The contract cost for the 2015-17 Biennium is \$300,000. This request also includes a request for one limited duration position to serve as the project manager for the implementation of the ENR solution. It is anticipated this position is needed over a twelve month period working half-time. The position costs are \$45,900 for Salary and Wages and \$2,000 for in-state travel.

This request for funding to make improvements to Election Night Reporting is an effort to be responsive to our budget subcommittee and also to achieve our consultant's recommendations. During the 2015 Session, we heard feedback from many subcommittee members about the need to improve Election Night Reporting. We want to be responsive to those concerns of the members. In addition, our consultant indicates that this change to Election Night Reporting will allow us to provide both better election night information and also allow us to better focus on the remaining modules in ORESTAR. Accordingly, this change to Election Night Reporting is required regardless of who the next Secretary of State may be since it is aimed at being responsive to our budget subcommittee and also achieving our consultant's recommendations.

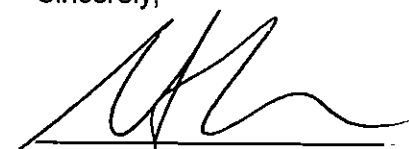
#### **Action Requested**

We respectfully request approval for an additional \$347,900 (GF) to be utilized for the procurement of a new Election Night Reporting system for a 2015-17 biennial cost of \$300,000 and position and budget authority for a .25 Limited Duration Policy Analyst 2 position for a cost of \$47,900.

#### **Legislation Affected**

Oregon Law 2015, Chapter 688, Section 1.2

Sincerely,



Robert Taylor  
Deputy Secretary of State

Enc: ORESTAR Consultant Report



# **Freedom Counts, LLC**

**30 Evening Tide Way  
Bluffton, SC 29910**

**ORESTAR**

**FINAL REPORT**

**Contract Number: 165-1178-15**

**State of Oregon  
Secretary of State  
Elections Division**

**Date: December 18, 2015**



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## **EXECUTIVE SUMMARY:**

Freedom Counts, LLC has completed identifying the limitations and capabilities of the Oregon Secretary of State Secure Access System ORESTAR and is offering the best strategies for maintaining and supporting the applications.

The ORESTAR System consists of detailed recommendations for all modules utilizing the information gathered in Milestone #1 (Software Operational Evaluation) and Milestone #2 (Technical and Business Evaluations). The following nine (9) modules are detailed in this report:

- Election Night Reporting (ENR)
- UOCAVA
- My Vote
- Campaign Finance
- Filing Candidacy
- Committee Filer Registration
- Voter Pamphlet
- Complaints & Violations
- Contact Management

Additionally, this report contains a copy of the Request for Proposals (RFP) for a vendor supplied Election Night Reporting System (ENR).

Change Order #1 directed the project to focus the IT Department assessments at a high-level overview and redirect technical assessments to the business and technical levels. These changes are reflected in Milestone #2 and this report.

It is anticipated that management will redirect overall responsibilities for Election Night Reporting (ENR) and UOCAVA to enhance the operation of the various modules.

## **GENERAL RECOMMENDATIONS:**

Freedom Counts, LLC submits the following operational recommendations for consideration:

- **Recommend a quarterly meeting with ISD management and Elections management to determine budget, staffing and priorities for ORESTAR maintenance and support in the coming quarter.**

***Elaboration/Notes:*** The purpose of this meeting is to reach agreement between Elections Department management and ISD management on the IT/system priorities for the coming planning horizon and to determine realistic staffing and budget requirements to meet these priorities. It is important that the priorities to be considered are stated in terms of goals or improvements for a given module or user feature set (e.g., project or release). It must be kept in mind that decisions made at this level cannot be considered commitments for the next planning horizon, since detailed requirements gathering and estimation will not have been conducted prior to project planning.

### ***Potential Benefits:***

- Communication with ISD on priorities for upcoming planning timeframe
- Collaboration between Elections and ISD on staffing and budget based on stated expectations
- Forum for clarifying Elections expectations in collaboration with ISD

- **Recommend Elections Division staff member assigned to each development/enhancement project as product owner.**

**Elaboration/Notes:** Each module should be assigned a product owner from the Elections team. The product owner should be an individual that has in-depth familiarity with the module, its usage and has direct interaction with the major users/stakeholders for the module functionality.

The product owner will be a member of development projects that will significantly affect the functionality or usage of the module. They will be involved with or responsible for the following project activities:

- Setting development backlog priorities with management input
- Writing or reviewing user stories
- Review and approval of functional specifications or use cases
- Reviewing test plans and test cases
- Risk assessment and reviewing regression test plans
- User acceptance testing

**Potential Benefits:**

- Clear Elections input into project scope and tradeoffs
- Accurate project elaborations/specifications with Elections collaboration and approval
- Better release quality due to Elections collaboration on test planning and test case development

- **Recommend revising priorities for development backlog on a quarterly basis.**

**Elaboration/Notes:** This process should be conducted for each module by the assigned product owner and the ORESTAR ISD project manager. The purpose of this process is to identify and close issues/requests that are no longer relevant and to identify issues and enhancements that are candidates for inclusion near term project (in the upcoming planning horizon).

**Potential Benefits:**

- Relevant and reliable development backlog
- Up to date priorities for issues and enhancement requests to support planning and project selection

- **Recommend the implementation of a staging or production mirror environment to test final release changes.**

**Elaboration/Notes:** The staging environment should be constructed to match as closely as possible the production environment. It should have the same ORESTAR software build and configuration as production (except when final testing of an upcoming release is in progress). The staging database should be set up for a periodic refresh of production data on a recurring basis. The network, firewall and general infrastructure should be set up to match or parallel the production environment as closely as possible (allowing external access and integration with external systems).

***Potential Benefits:***

- Allows final regression testing of a release in an environment that matches the production – higher release quality
- Allows investigating/troubleshooting production issues in an environment that matches production and has production data (with some latency)
- Allows testing an upcoming release with external entities
- Allows external users to access and test an upcoming release from the external network environments (as they will actually be used)
- Allows testing changes to external integrated systems with the ORESTAR system

- **Recommend development of regression test suite for all integrated ORESTAR modules - to be executed prior to UAT and after all changes have been promoted to test environment for a release (preferably executed in a staging or production mirror environment).**

***Elaboration/Notes:*** ISD QA staff should collaborate with the Elections product owner(s) to identify critical and pervasive test cases to be included in the regression test suite for each module. The test cases may be selected from the functional/QA test cases that were developed in previous projects.

***Potential Benefits:***

- Elections participation in selecting regression test cases should lead to better release quality
- The collaborative process should lead to test cases that provide better coverage and are targeted for the scope of the release being tested

- **Recommend using automated testing tool for implementation of the regression test suite.**

***Elaboration/Notes:*** The regression test case suite for each module should be automated using an automated web application testing toolset. Regression test cycles should be executed prior to User Acceptance testing cycles and after the final staging build.

Note: This has been stated as in-progress by the ISD ORESTAR team.

***Potential Benefits:***

- Reliable and efficient User Acceptance testing (minimizing regression defects)
- Better release quality

- **Recommend developing user stories and use cases with actions mapped to business rules for enhancement projects that will affect on-line (user driven) features.**

***Elaboration/Notes:*** The development of user stories and use cases for each module will enhance collaboration with ISD and the Elections team in understanding and clarifying the expected functionality associated with the upcoming release. It is critical that the business rules for each module are well documented within the context of user executed actions for agreement on the changes to be implemented and for the future maintenance and support of the module.

***Potential Benefits:***

- More effective Elections collaboration with ISD on the requirements and features to be implemented (prior to development)
- Provides a medium for Elections to review and approve the requirements and features to be implemented (prior to development)
- Specifications support the development of clearer and more specific test cases prior to software builds
- Specifications support more accurate project estimation
- Specifications support maintenance, support, administration and troubleshooting activities

- **Recommend contracting with a qualified web site accessibility analyst to test the ORESTAR public interfaces for accessibility to people with disabilities and compatibility with commonly used web accessibility toolsets.**

***Elaboration/Notes:*** A consultant that specializes in performing accessibility testing web applications for users with disabilities should be engaged for the following activities:

- Define accessibility requirements for ORESTAR public facing screens
- Develop an accessibility test plan for ORESTAR
- Execute ORESTAR Accessibility testing
- Log issues and provide guidelines/recommendations for resolutions
- Develop overall assessment and guidelines for future development

***Potential Benefits:***

- Identification and resolution of issues impacting ORESTAR users with disabilities

- **Identify and train backup staff for ORESTAR administrative activities.**

***Elaboration/Notes:*** A backup ORESTAR administrator should be identified and trained in all aspects of the current ORESTAR administrator's roles and activities. The ORESTAR administrative backup will need data analysis, business analysis and some IT related skills (scripting and SQL). The backup ORESTAR administrator should be involved in expanding documentation on all ORESTAR administrative activities and tools (e.g., ORESTAR administrative functions and scripts). Day to day administrative activities should be transitioned from the current ORESTAR administrator to ensure effective knowledge transfer.

***Potential Benefits:***

- Mitigates risk of ORESTAR administrator leaving current role
- Allows current ORESTAR administrator to be more engaged with ORESTAR enhancement project activities



➤ **Develop an inventory of all scripts and process documentation supporting ORESTAR Administrative activities (with links to documentation).**

**Elaboration/Notes:** Document work steps associated with ORESTAR administrative activities and processes, including the documentation of all scripts executed by the ORESTAR administrator.

**Potential Benefits:**

- Mitigates risk of ORESTAR administrator leaving current role
- Facilitates transition of ORESTAR administration activities

➤ **Research and develop a Knowledge Base of Information Module within ORESTAR.**

**Elaboration/Notes:** Utilized with the Contact Management Module to streamline the exchange of information with the voting public and internal staff.

**Potential Benefits:**

- Enabling better and faster decision making
- Making it easy to find relevant information and resources
- Reusing ideas, documents, and expertise
- Avoiding redundant effort
- Avoiding making the same mistakes twice
- Taking advantage of existing expertise and experience
- Communicating important information widely and quickly
- Promoting standard, repeatable processes and procedures
- Providing methods, tools, templates, techniques, and examples
- Accelerating delivery to the public
- Making the organization's best problem-solving experiences reusable

- **Recommend that ORESTAR module related IT projects are assigned a 25% - 50% FTE solely for IT project management related activities.**

***Elaboration/Notes:*** The ORESTAR development projects have been conducted with a relatively small team and have a relatively short duration for the enhancement projects that have been recently conducted. This means that a full time project manager for each project is probably not warranted. We do believe that the current level of time spent on project management has been inadequate to provide a reasonable level of predictability for the ORESTAR development projects in terms of delivery timeline, scope (requirements met) and quality.

Freedom Counts, LLC recommends that a reasonable project management effort be afforded to each ORESTAR project in developing PM deliverables that document and clarify the following project related constructs:

- Project Goals/Objectives/Constraints
- Scope and requirements
- Description of Approach
- Tasks/Estimates
- Project Schedule
- Staffing Plan
- Status Reports (submitted to ISD and Elections management)
- Risk Assessment (at least assessing and mitigating regression and deployment risks)

Note: The time spent on developing these PM deliverables will be somewhat higher for the initial projects. But later projects will be able to leverage the templates and some of the content which will significantly reduce effort for subsequent projects.

***Potential Benefits:***

- Early agreement between Elections and ISD on project goals, objectives, constraints and expectations
- Clarification on approach to support better communication and collaboration between ISD and Elections on project activities
- Enhanced predictability in terms of delivery timeline, scope (requirements met) and quality
- Enhanced accountability for ISD and Elections staff assigned to ORESTAR projects



# **Freedom Counts, LLC**

**30 Evening Tide Way  
Bluffton, SC 29910**

**ORESTAR  
ELECTION NIGHT REPORTING  
FINAL REPORT (UPDATED)**

**Contract Number: 165-1178-15**

**State of Oregon  
Secretary of State  
Elections Division**

**Date: December 18, 2015**

## **EXECUTIVE SUMMARY:**

The Oregon Secretary of State, Elections Division has contracted with Freedom Counts, LLC to identify limitations and capabilities of the ORESTAR Election Night Reporting (ENR) system to help determine the best strategy for maintaining and supporting the application.

Change Order #1 advanced the Final Report for ENR, to be included as part of Phase 2 of the project to provide adequate time prior to the 2016 May Primary Election to implement any change recommendations approved by the Election Division. The Change Order also focuses the IT Department assessments at a high-level overview and redirects the technical assessments to the business and technical levels.

To ensure that the Division's ORESTAR ENR application development, enhancement, documentation and maintenance efforts provide a product that effectively meets the expectations of a sufficient sustainable system the overall project is subdivided into three (3) Sections:

1. Software Operational Evaluation
2. Technical Assessment at the business and technical levels
3. Final Report with a detailed list of ORESTAR recommendations

The information gained through the Software Operation Evaluation and the **Technical Assessment** Evaluations are utilized to complete a detailed list of recommendations for the Final Report.

## **SYNOPSIS SUMMARY FOR ORESTAR ENR MODULE:**

Supports access to in-progress election reporting on federal and state elections for Public, Press, Candidates and Committees. The ENR Module has high public exposure on election night as the public, candidates, and news media require accurate and prompt accumulated election results displayed on the SoS web site.

- Strengths
  - The ENR Module is fairly well automated after the initial setup is complete
  - Since this module was developed in-house it is fully supported and maintained by the SoS IT Department and independent of outside vendors for assistance
  - Privacy and security issues have been mitigated through the software design
  - Integration with OCVR supports operational efficiency and consistency with ballots
- Weaknesses
  - The ENR Module has a long list of operational efficiency issues
  - Very weak in data integrity and redundancy
  - Lacks features such as graphical election results, maps, and export features
  - System documentation is very weak
  - Large backlog of development and maintenance issues
  - Does not support the reporting of county and local offices to provide the public a single source for election results

## **RECOMMENDATIONS FOR ENR MODULE:**

Freedom Counts, LLC recommends to the Oregon Secretary of State, Elections Division the following:

- ☐ Maintain In-house Software – fix current issues through new releases.
- ☐ Replace In-house – develop new software.
- ☒ Replace with Vendor Software – purchase new software through an RFP process.

Freedom Counts, LLC recommends that the Oregon Secretary of State, Elections Division issue an Request for Proposals (RFP) to replace the current ENR system with a vendor supplied software package. The RFP should be issued in early December, 2015 and a vendor selected by January 2016 to allow adequate time to accept, install, prepare and test prior to the May 2016 Primary Election.

Potential Benefits from an RFP –

- Enhanced data integrity and redundancy
- Election results for all (including local only) elections
- Support for “0” files and mock elections
- Configurable office display (public users)
- Printable version of election results (public users)
- Export function for election results (public users)
- Post-election reporting for public
- User-friendly documentation
- Vendor supported Help Desk
- Maps that show County election status (ballots counted, registered voters, ballots issued)
- Graphical display of election results
- Hosting arrangement with scalable architecture with ability to add resources during peak usage periods
- Support RSS feeds to media
- Potential for adding validation rules for XML import files
- Removal of software defects and maintenance issues
- Improved server change management and server reliability

Estimated Financial Impact –

The ORESTAR Project Team hosted on-line presentations for five (5) vendors that market customizable Election Night Reporting Software. The estimated purchase price of COTS software is in the range of \$150,000 - \$250,000 with a projected yearly maintenance fee of approximately 10% of the initial purchase price.

The implementation of new ENR software will transfer the responsibility of Election Night Reporting to the Voter Services Team. The full extent of the additional staff work load is unknown at this time but could necessitate an additional full-time employee.

Projected Timeline –

- October 2015 - Oregon Secretary of State, Elections Division approved RFP for ENR System
- December 2015 – RFP issued by Purchasing Department
- January 2015 – Vendor proposals received and analyzed by Election Division
- January 2015 – Vendor selected
- January 2016 – Kickoff meeting with selected vendor

- February 2016 – Acceptance testing of ENR software
- March 2016 – County training of ENR software
- April 2016 – Mock election to test ENR software
- May 2016 – Primary Election



## ORESTAR Operational Assessment Form (ENR)

### Election Night Reporting Module

Conducted for the Oregon Secretary of State

By Freedom Counts, LLC

Purpose of Form: The purpose of this form is to facilitate the assessment of the current features and functionality of the ORESTAR system from a business/operational perspective. The assessment is conducted for a given use case allowing the functionality of the system to be assessed based on a specific user interaction supported by the ORESTAR system.

ORESTAR Module	Election Night Reporting
Attendees and Contributors	Brenda Bayes Tami Dettwyler Codi Trudell Brittany Kenison Jeff Huack
Use Case Name	Import or enter County election results in OCVR Transfer voting results to ENR (from OCVR) View Election Night Results
Owning Business Unit(s)	Candidate and Campaign Services (Plan to transition module to VR & VS team)
Users/User Groups and Frequency of Use	Public, Press, Candidates, Committees (View Election Night Results) – (Frequency - may be continuous on election night, sporadic next 30 days) County Elections official (Transfer voting results to ENR) (Frequency – determined by County – before 8 PM on election night) ORESTAR Application Administrator (Monitoring processing in ORESTAR) OCVR Analyst (Monitoring processing in OCVR)
Duration of Use Case	Import or enter County election results in OCVR – 15 to 30 min. Transfer voting results to SFTP (from OCVR) – Instantaneous to 4 min. View Election Night Results – Instantaneous
Business Purpose	Support access to in-progress election reporting on federal and state elections for Public, Press, Candidates and Committees
Business Transaction(s)	Unofficial election results from OCVR posted to SoS website

Functionality Assessment	
Business Drivers for Change	<ul style="list-style-type: none"> <li>• Election results should be as close to real-time as possible (streamline process of processing and transferring results from Counties and encourage Counties to post results frequently) – this is a high priority (per Jim Williams). Note: Election results should be updated every 1.5 hours (max.) by counties after 8 PM on election night</li> <li>• Provide election results for all (including local only) elections – this is a high priority (per Jim Williams)</li> <li>• For statewide elections, include results for local candidates and measures – this is a high priority (per Jim Williams)</li> <li>• New Election Night Reporting should be integrated with OCVR and process transitioned to VS team</li> <li>• RSS Feeds to media</li> <li>• Would like validation on number of registered voters and ballots counted when results are posted (from County) – Note: This would be an OCVR function</li> <li>• Maps that show County election status (ballots counted, registered voters, ballots issued)</li> <li>• Graphical display of election results</li> <li>• Add a printable version of election results</li> <li>• Add export function for election results</li> <li>• Address ENR public access performance problems (esp., problems resulting in http errors) – resolved since using static pages</li> <li>• Issues with number of user connections allowed (need to determine max load to be supported). Caching issues that may be related.</li> </ul>
Operational Efficiency Issues	<ul style="list-style-type: none"> <li>• Current process is pretty automated from OCVR standpoint</li> <li>• Need data integrity and validation checks on data entered by Counties (election results entered or loaded into OCVR)</li> <li>• RSS Feeds to media</li> <li>• OCVR should detect and not allow duplicate submissions of County election results (posting duplicate results leads to performance/load issues)</li> </ul>
Data Redundancy/Integrity Issues	<ul style="list-style-type: none"> <li>• Need data integrity and validation checks on data entered by Counties (election results entered or loaded into OCVR)</li> <li>• Frequency posting election results – directive specifying how often Counties need to post results (including when they should start posting) – Note: Assess whether vendor ENR systems can support “pulling” data from County tabulators on a configurable timeframe</li> <li>• Encourage the use of tabulation interface software for Counties that have tabulation equipment (ask vendors about interfaces with County tabulator systems during demos).</li> <li>• Inconsistency in office titles if ENR is replaced and local races are included (OCVR does not have master data associated with office titles) – will need to be managed by ENR replacement system. Note: may want to continue having ENR results posted through OCVR and add Master Data Management for office titles to OCVR</li> </ul>
Public Reporting	<ul style="list-style-type: none"> <li>• Add a printable version of election results</li> <li>• Add export function for election results</li> <li>• Add post-election reporting for public (e.g., by age, party)</li> </ul>
Agency Reporting	<ul style="list-style-type: none"> <li>• N/A</li> </ul>



Non-Disclosure	<ul style="list-style-type: none"> <li>• N/A</li> </ul>
Positives and Benefits of Current System	<ul style="list-style-type: none"> <li>• Ability to handle legislative changes (without engaging vendor)</li> <li>• Integrates with OCVR – works with current technologies and hardware</li> <li>• County election night interface is intuitive and easy to use</li> <li>• Documentation and processes are understood to administer and support ENR</li> <li>• Owned by SoS (no licensing costs for software)</li> <li>• Public repeat users are used to ENR public interface</li> </ul>
Features Not Realized	<ul style="list-style-type: none"> <li>• New Election Night Reporting should be integrated with OCVR and process transitioned to VS team</li> <li>• RSS Feeds to media</li> <li>• Would like validation on number of registered voters and ballots counted when results are posted (from County)</li> <li>• Provide election results for local elections</li> <li>• For statewide elections, include results for local candidates and measures.</li> <li>• Maps that show County election status (ballots counted, registered voters, ballots issued)</li> <li>• Graphical display of election results</li> <li>• Add a printable version of election results</li> <li>• Add export function for election results</li> <li>• Leave official results on-line (Finalize official results including information on write-ins)</li> <li>• Filtering of election results based on user selected races (“follow my races”)</li> </ul>
Usability Assessment (Public interface)	
Navigation and Flow	<ul style="list-style-type: none"> <li>• There are issues with users having to scroll through many races to view a specific race</li> </ul>
Messaging and Error Handling	<ul style="list-style-type: none"> <li>•</li> </ul>
Accessibility Issues	<ul style="list-style-type: none"> <li>• Ensure that ENR public site accessibility testing is conducted – ensure accessibility with major tools and browser add ons</li> </ul>
Usability Assessment (SoS Internal interface)	
Navigation and Flow	<ul style="list-style-type: none"> <li>• N/A – no internal interface for ENR</li> </ul>
Messaging and Error Handling	<ul style="list-style-type: none"> <li>• N/A – no internal interface for ENR</li> </ul>
Accessibility Issues	<ul style="list-style-type: none"> <li>• N/A – no internal interface for ENR</li> </ul>
System Performance Issues	<ul style="list-style-type: none"> <li>• Fetch from SFTP, ENR database update and HTML file generation is relatively slow. E.g., 10 minutes for five XML files.</li> <li>• There has been issues with public ENR pages loading slowly (during peak usage periods) – including http errors</li> </ul>
User Documentation Assessment	<ul style="list-style-type: none"> <li>• From an SoS internal standpoint – the system documentation is minimal – impact is that there are staff “single points of failure” (i.e., steep learning curve for new/temp ENR IT and Application Admin. staff) – Documentation that shows how the system/database works (this would assist with administering and supporting the system)</li> </ul>
Privacy and Security Issues/Risks	<ul style="list-style-type: none"> <li>• Results cannot be manipulated – generally security risks have been mitigated (e.g., names/urls of pages are computer generated)</li> <li>• Official results are in OCVR</li> </ul>
System Support Issues	<ul style="list-style-type: none"> <li>• N/A</li> </ul>

System Availability	<ul style="list-style-type: none"> <li>• OCVR – ENR file transfer was down on election night due to firewall change (made late before election) – change control issue</li> <li>• ORESTAR application server has been unavailable due to load issues (not since using ENR static pages – over 4 years ago)</li> <li>• SFTP server is another vulnerability</li> </ul>
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Notes from Detailed Functionality Review (ORESTAR Administrator)	
Potential Benefits from Replacement	<ul style="list-style-type: none"> <li>• Provide election results for all (including local only) elections <ul style="list-style-type: none"> <li>○ Consistency of naming standard for offices within OCVR (ORESTAR uses a two-part name and OCVR uses only one field that is not consistently named between localities) – prefer to deal with consistency issue in OCVR before implementing new ENR (additionally it could allow automatic population of office names in ORESTAR instead of manual duplicate data entry)</li> </ul> </li> <li>• Add a printable version of election results (public users)</li> <li>• Add export function for election results (public users)</li> <li>• Add post-election reporting for public (e.g., by age, party)</li> <li>• Maps that show County election status (ballots counted, registered voters, ballots issued)</li> <li>• Graphical display of election results</li> <li>• Load/availability issues with peak usage – hosting arrangement with scalable architecture (ability to add resources during peak usage periods)</li> <li>• Support RSS feeds to media</li> <li>• Potential for adding validation rules for XML import files (may result in fewer instances of erroneous reporting of results)</li> <li>• Expect fewer defects, server change management and better server reliability</li> </ul>
Potential Complications with Replacement	<ul style="list-style-type: none"> <li>• Changes to OCVR to support new vendor file setup process (offices, candidate names, party affiliation, and measures). Need to avoid manual setup process.</li> <li>• Communication and change management with new system (Counties, public, media)</li> <li>• Future legislative changes could result in additional costs to make changes to the ENR implementation (Risk - vendors may not meet legislative requirements/deadlines)</li> </ul>

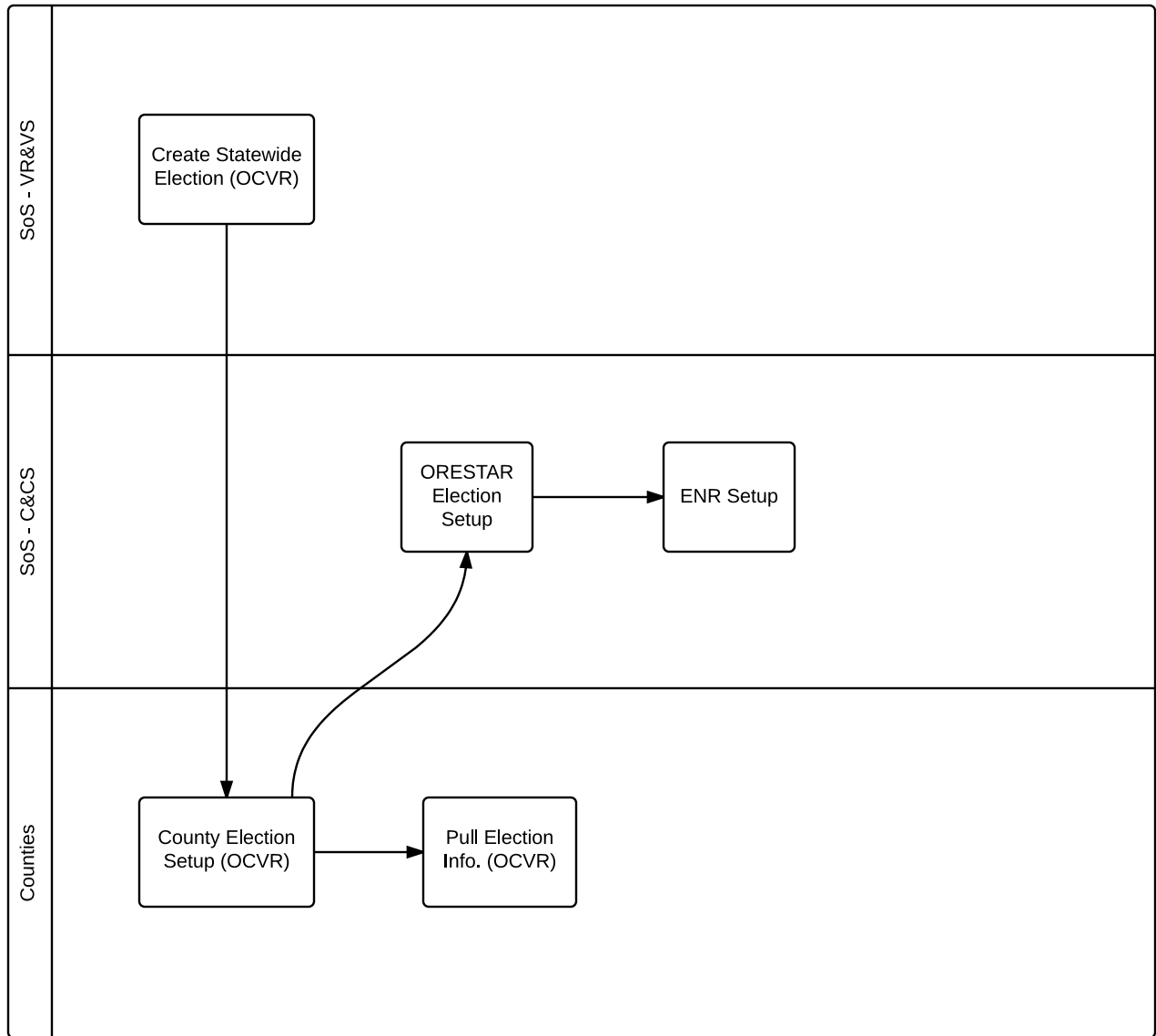
## Document Revision, Review and Approval History

Date	Name	Doc. Status	Description
5/13/15	Alan Schamp	Draft	Completed initial draft of document in meetings on 5/12/15 and 5/13/15.
5/28/15	Alan Schamp	Draft	Sent document for review by all participants including IT (Jeff).
6/1/15	Alan Schamp	Draft	Completed the following updates based on meeting with Elections Director: <ul style="list-style-type: none"> <li>Added General Assessment item – “Results should be as real-time as possible”</li> <li>Added note “Assess whether vendor ENR systems can support “pulling” data from County tabulators on a configurable timeframe” to data redundancy/integrity section</li> <li>Added note “Note: may want to continue having ENR results posted through OCVR and add Master Data Management for office titles to OCVR” to data redundancy/integrity section</li> </ul>
8/17/15	Alan Schamp	Draft	Added section “ <b>Notes from Detailed Functionality Review</b> ” based on meeting with Tami on 8/17.

## Issues and Action Items

Status	Description	Type	Owner	Due Date
Completed	Send document for participant review	Action Item	Alan Schamp	5/13/15
Completed	Review document with IT participants	Action Item	Alan Schamp	5/15/15
Completed	Send document for review with Elections Director	Action Item	Alan Schamp	5/29/15
Open	Work with team to fill in “Positives and Benefits of Current System” Section	Action Item	Alan Schamp	6/12/15

Election Setup Workflow Diagram  
Oregon Secretary of State  
ORESTAR Analysis Project





## ORESTAR Analysis Project

### Process Descriptions – ENR Workflow Analysis

#### OCVR & ENR Election Setup

Process Name	Team	Description
Create Election (OCVR)	VR&VS	Create election in OCVR. Create candidates, measures (state and federal). (manual process in OCVR) Push to County tabulator
County OCVR setup	County Elections	Counties extend OCVR to include county candidate and measure setup.
County Tabulation Setup	County Elections	If they have tabulation system then pushes County election setup to OCVR?
ENR Setup	C&CS	Set start and stop dates for election. OCVR candidate/measure ID's (to link to xml files) – for existing candidate/measure filings.  Run script to generate ENR templates.  Proof/validate setup.
SFTP setup	C&CS	Create SFTP directories and validate names and offices
Election Morning Validation	C&CS	Validate data flow from 1 county (to ENR) – 0 votes
County Election Morning Setup	County Elections	Set up County election night reporting results data structure (County executes on election morning)

#### Election Night Reporting

Process Name	Team	Description
County Tabulation	County Elections	Votes are tabulated
Enter Results into OCVR	County Elections	Manually enter election results into OCVR template.
Import or transfer to OCVR	County Elections	County manually transfers xml files to OCVR – export for tabulator and import to OCVR. Send file from OCVR to SFTP site.
ORESTAR fetch xml files	ORESTAR	ORESTAR retrieves xml files from SFTP and inserts data into database (polls for files on a configurable interval).
HTML results page generation	ORESTAR	ORESTAR generates html pages and posts to SFTP site
Move files to web server	ORESTAR	ORESTAR moves html election results HTML pages to web server

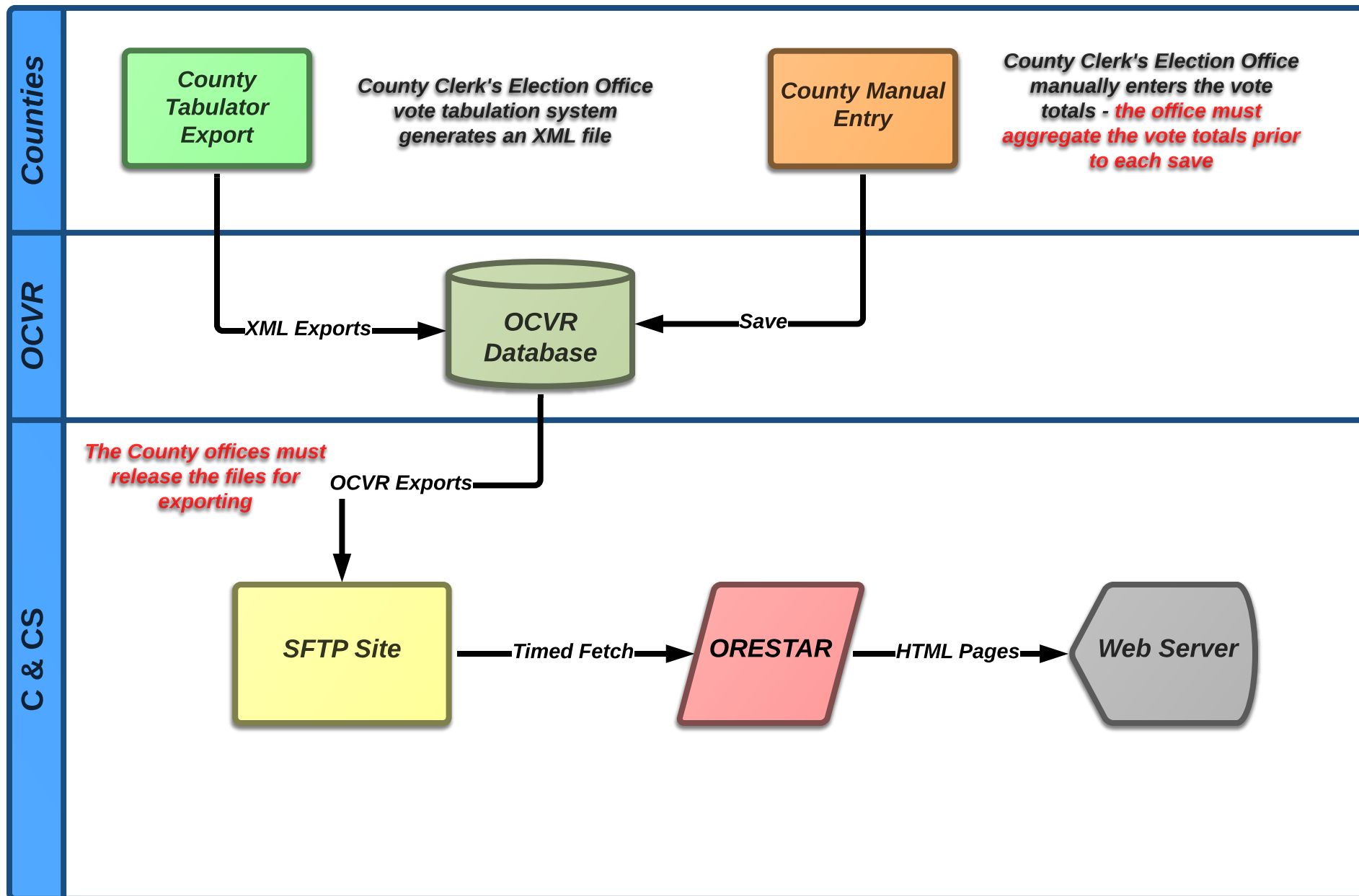
#### Issues:

- Fetch from SFTP, ENR database update and HTML file generation is relatively slow. E.g., 10 minutes for five Counties.

#### Improvements:

- New Election Night Reporting should be integrated with OCVR and transferred to VR&VS
- RSS Feeds to media
- Would like validation on number of registered voters and ballots counted when results are posted (from County) – additional validations?
- Include results of county specific elections in ENR reporting
- Maps that show which County election status?
- Graphical display of election results

# Election Night Results Flowchart



# STATE OF OREGON



## COVER PAGE

Secretary of State

## ELECTION NIGHT REPORTING SOLUTION

Request for Proposal (RFP)

**165-1108-15**

Date of Issue: December 3, 2015

Closing Date: December 23, 2015

Single Point of Contact (SPC): Sarah Roth, CPO

Address:	255 Capitol ST NE, Ste 180
City, State, Zip	Salem, OR 97310
Phone (voice)	503-986-2357
E-mail:	sarah.roth@state.or.us



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## SECTION 1: GENERAL INFORMATION

### 1.1 INTRODUCTION

The State of Oregon, acting by and through the Oregon Secretary of State, Elections Division (Agency) is issuing this Request for Proposal for an Election Night Reporting Solution (Solution) to provide real time unofficial and official elections results for any primary, general, and special election on the Agency’s website.

Additional details on the scope of the goods or services or both are included in the Scope of Work section.

Agency anticipates the award of one Contract from this RFP. The initial term of the Contract is anticipated to be 2 years with options to renew.

### 1.2 SCHEDULE

The table below represents a tentative schedule of events. All times are listed in Pacific Time. All dates listed are subject to change. N/A denotes that event is not applicable to this RFP.

Event	Date	Time
Questions / Requests for Clarification Due	December 11, 2015	5:00 PM
Answers to Questions / Requests for Clarification Issued (approx.)	December 11, 2015	
RFP Protest Period Ends	December 11, 2015	5:00 PM
Closing (Proposals Due)	December 23, 2015	1:00 PM
Opening of Proposals	December 23, 2015	1:15 PM
Demonstrations	January 4, 2016	
Issuance of Notice of Intent to Award (approx.)	January 6, 2016	
Award Protest Period Ends	January 12, 2016	

### 1.3 SINGLE POINT OF CONTACT (SPC)

The SPC for this RFP is identified on the Cover Page, along with the SPC’s contact information. Proposer shall direct all communications related to any provision of the RFP, whether about the technical requirements of the RFP, contractual requirements, the RFP process, or any other provision only to the SPC.

## SECTION 2: AUTHORITY, OVERVIEW, AND SCOPE

### 2.1 AUTHORITY AND METHOD

Agency is issuing this RFP pursuant to its authority under ORS 279A.050.

Agency is using the Competitive Sealed Proposals method, pursuant to ORS 279B.060.

### **2.1.1 DEFINITION OF TERMS**

For the purposes of this RFP, capitalized words will refer to the following definitions.

### **2.1.2 General Definitions**

Capitalized terms not specifically defined in this document are defined in OAR 137-045-0110.

### **2.1.3 Project Specific Definitions**

Oregon: Means the State of Oregon

State: Means the State of Oregon

County/Counties: Means the 36 Counties in Oregon

Proposer should review Attachment A, Sample Contract, for definitions that apply to the Contract resulting from this RFP.

## **2.2 OVERVIEW**

### **2.2.1 Agency Overview and Background**

The Oregon Secretary of State is one of three constitutional offices established at statehood. The Secretary is the auditor of public accounts, chief elections officer and manager of the state's records. This role includes preserving official acts of the Legislative Assembly and the executive branch.

### **2.2.2 Project Overview and Background**

The State of Oregon is a vote-by-mail state and Agency is seeking a quality Solution that will provide accurate election results in a timely and reliable manner.

### **2.2.3 Purpose**

The purpose of this project is to provide real time unofficial and official election results for any primary, general and special election on the Agency's website beginning at 8pm on Election Day.

## **2.3 SCOPE OF WORK**

The Agency is seeking a Solution to provide online election night results, from each county conducting an election, in real-time through an efficient, user-friendly, and intuitive interface.

The presumed implementation approach includes the following steps:

- Step I - Project Planning and Fit/Gap Analysis
- Step II –Solution Prototyping and Customization
- Step III - Solution Implementation

Anticipated implementation and ongoing services that each Proposer must address in its Proposal are described in Section 3.4, and will be evaluated against criteria summarized in Section 3.5. Agency reserves the right to amend this RFP and resulting Contract.

## **SECTION 3: PROCUREMENT REQUIREMENTS AND EVALUATION**

### **3.1 MINIMUM REQUIREMENTS**

To be considered for evaluation, Proposal must demonstrate how Proposer meets all requirements of this section:

#### **3.1.1 Minimum Proposer Requirements**

- 3.1.1.1** Solution must provide precinct level results.
- 3.1.1.2** Solution must be hosted by the Proposer.
- 3.1.1.3** Solution must be able to display maps that show county election status (such as ballots counted, registered voters, ballots issued).
- 3.1.1.4** Solution must be able to receive input files at frequent time intervals as often as the county can send them.
- 3.1.1.5** Solution must provide downloadable and printable versions of results.
- 3.1.1.6** Solution must accept election night results from the following Election Management System ballot tabulation software:
  - 3.1.1.6.1 ES&S Unity**
  - 3.1.1.6.2 Hart InterCivic**
  - 3.1.1.6.3 Clear Ballot**

#### **3.1.2 Minimum Key Person Requirements**

Proposer must employ or contract key person(s) that meet all of the requirements in this section. Proposer may submit 1 or more key person(s) so long as all requirements are met.

**3.1.2.1** Project Manager who has experience with the Solution for at least 2 election cycles.

**3.1.2.2** Project Manager must have experience with at least 2 Solution implementations.

## **3.2 MINIMUM SUBMISSION REQUIREMENTS**

### **3.2.1 Proposal Format and Quantity**

Proposal should follow the format and reference the sections listed in the Proposal Content Requirements section. Responses to each section and subsection should be labeled to indicate the item being addressed. Proposal must describe in detail how requirements of this RFP will be met and may provide additional related information. Cost information must be submitted separately.

Proposer shall submit its Proposal without extensive art work, unusual printing or other materials not essential to the utility and clarity of the Proposal. Proposer shall submit both a hard copy on white 8 ½" x 11" Recycled Paper and an electronic copy on electronic media such as thumb drive or CD.

Proposer shall submit an original, bearing the Proposer's authorized representative's Signature, and 3 copies of the un-redacted Proposal. In addition, if Proposer believes any of its Proposal is exempt from disclosure under Oregon Public Records Law (ORS 192.410 through 192.505), Proposer shall complete and submit the Affidavit of Trade Secret (Attachment B) and a fully redacted version of its Proposal, clearly identified as the redacted version.

Proposer shall submit its Proposal in a sealed package addressed to the SPC with the Proposer's name and the RFP number clearly visible on the outside of the package.

Proposer's electronic copy of the Proposal by USB drive or CD must be formatted using Adobe Acrobat (pdf), Microsoft Word (docx), or Microsoft Excel (xlsx).

### **3.2.2 Proposal Page Limit**

Proposal is limited to 75 pages. Any pages exceeding this limit will not be provided to the evaluation committee or considered in the evaluation. The following items do not count toward the page limit:

- Proposal Certification Sheet (Attachment C)
- Proposer Information Sheet (Attachment D)
- Any required forms
- Cost Proposal

### **3.2.3 Authorized Representative**

A representative authorized to bind the Proposer shall sign the Proposal. Failure of the authorized representative to sign the Proposal may subject the Proposal to rejection by Agency.

### **3.3 PROCUREMENT PROCESS**

#### **3.3.1 Public Notice**

The RFP, including all Addenda and attachments, is published in the Oregon Procurement Information Network (ORPIN) at <http://www.orpin.oregon.gov>. RFP documents will not be mailed to prospective Proposers.

Agency shall advertise all Addenda on ORPIN. Prospective Proposer is solely responsible for checking ORPIN to determine whether or not any Addenda have been issued. Addenda are incorporated into the RFP by this reference.

#### **3.3.2 Questions / Requests for Clarification**

All inquiries, whether relating to the RFP process, administration, deadline or method of award, or to the intent or technical aspects of the RFP must:

- Be sent to the SPC via email
- Reference the RFP number
- Identify Proposer's name and contact information
- Be sent by an authorized representative
- Refer to the specific area of the RFP being questioned (i.e. page, section and paragraph number); and
- Be received by the due date and time for Questions/Requests for Clarification identified in the Schedule

#### **3.3.3 Pre-Proposal Conference**

A pre-Proposal conference will not be held for this RFP.

#### **3.3.4 Solicitation Protests**

##### **3.3.4.1 Protests to RFP**

Prospective Proposer may submit a Written protest of anything contained in this RFP, including but not limited to, the RFP process, Specifications, Scope of Work, and the proposed Contract. This is prospective Proposer's only opportunity to protest the provisions of the RFP, except for protests of Addenda or the terms and conditions of the proposed Contract, as provided below.

##### **3.3.4.2 Protests to Addenda**

Prospective Proposer may submit a Written protest of anything contained in the respective Addendum. Protests to Addenda, if issued, must be submitted by the date/time specified in the respective Addendum, or they will not be considered. Protests of matters not added or modified by the respective Addendum will not be considered.

##### **3.3.4.3 Protests must:**

- Be sent to the SPC via email
- Reference the RFP number

- Identify prospective Proposer's name and contact information
- Be sent by an authorized representative
- State the reason for the protest, including:
  - the grounds that demonstrate how the Procurement Process is contrary to law, Unnecessarily Restrictive, legally flawed, or improperly specifies a brand name; and
  - evidence or documentation that supports the grounds on which the protest is based
- State the proposed changes to the RFP provisions or other relief sought
- Protests to the RFP must be received by the due date and time identified in the Schedule
- Protests to Addenda must be received by the due date identified in the respective Addendum

#### **3.3.4.4 Protest Response**

Agency will respond timely to all protests submitted by the due date and time listed in the Schedule. Protests that are not received timely or do not include the required information may not be considered.

### **3.3.5 Proposal Submission Options**

Proposer is solely responsible for ensuring its Proposal is received by the SPC in accordance with the RFP requirements before Closing. Agency is not responsible for any delays in mail or by common carriers or by transmission errors or delays or mistaken delivery. Proposal submitted by any means not authorized will be rejected.

#### **3.3.5.1 Submission through ORPIN**

Submission through ORPIN is not allowed for this RFP.

#### **3.3.5.2 Submission through Mail or Parcel Carrier**

Proposal may be submitted through the mail or via parcel carrier, and must be clearly labeled and submitted in a sealed envelope, package or box. The outside of the sealed submission must clearly identify the Proposer's name and the RFP number. It must be sent to the attention of the SPC at the address listed on the Cover Page.

#### **3.3.5.3 Submission in Person**

Proposal may be hand delivered, and must be clearly labeled and submitted in a sealed envelope, package or box. Proposal will be accepted, prior to Closing, during Agency's normal Monday –Friday business hours of 8:00 am to 5:00 pm Pacific Time, except during State of Oregon holidays and other times when Agency is closed. The outside of the sealed submission must clearly identify the Proposer's name and the RFP number. It must be delivered to the attention of the SPC at the address listed on the Cover Page.

### **3.3.6 Proposal Modification or Withdrawal**

Any Proposer who wishes to make modifications to a Proposal already received by Agency



shall submit its modification in one of the manners listed in the Proposal Submission Options section and must denote the specific change(s) to the Proposal submission.

If a Proposer wishes to withdraw a submitted Proposal, it shall do so prior to Closing. The Proposer shall submit a Written notice Signed by an authorized representative of its intent to withdraw its Proposal in accordance with OAR 137-047-0440. The notice must include the RFP number and be submitted to the SPC.

### **3.3.7 Proposal Due**

Proposal and all required submittal items must be received by the SPC on or before Closing. Proposal received after the Closing will not be accepted. All Proposal modifications or withdrawals must be completed prior to Closing.

Proposals received after Closing are considered LATE and will NOT be accepted for evaluation. Late Proposals will be returned to the respective Proposer or destroyed.

### **3.3.8 Proposal Rejection**

Agency may reject a Proposal for any of the following reasons:

- Proposer fails to substantially comply with all prescribed RFP procedures and requirements, including but not limited to the requirement that Proposer's authorized representative sign the Proposal in ink.
- Proposer fails to meet the responsibility requirements of ORS 279B.110.
- Proposer makes any contact regarding this RFP with State representatives such as State employees or officials other than the SPC or those the SPC authorizes, or inappropriate contact with the SPC.
- Proposer attempts to inappropriately influence a member of the Evaluation Committee.
- Proposal is conditioned on Agency's acceptance of any other terms and conditions or rights to negotiate any alternative terms and conditions that are not reasonably related to those expressly authorized for negotiation in the RFP or Addenda.

### **3.3.9 Opening of Proposal**

There will be no public Opening of Proposals. Proposals received will not be available for inspection until after the evaluation process has been completed and the Notice of Intent to Award is issued pursuant to OAR 137-047-0630. However, Agency will record and make available the identity of all Proposers after Opening.

A public Opening will be held on the date and time listed in the Schedule and at the location, stated on the Cover Page. Only the name of the Proposer will be read at the Opening, no other information will be made available at that time. Proposals received will not be available for inspection until after the evaluation process has been completed and the Notice of Intent to Award is issued pursuant to OAR 137-047-0630.

## **3.4 PROPOSAL CONTENT REQUIREMENTS**

Proposal must address each of the items listed in this section and all other requirements set forth in this RFP. Proposer shall describe the Goods to be provided or the Services to be



performed or both. A Proposal that merely offers to provide the goods or services as stated in this RFP will be considered non-Responsive to this RFP and will not be considered further.

#### **3.4.1 Proposal Certification Sheet**

The Proposer shall complete and submit the Proposal Certification Sheet (Attachment C).

#### **3.4.2 Proposer Information Sheet**

The Proposer shall complete and submit the Proposer Information Sheet (Attachment D).

#### **3.4.3 Tax Affidavit**

The Proposer shall complete and submit the Tax Affidavit (Attachment E).

Failure to demonstrate compliance with Oregon Tax Laws may result in a finding of non-responsibility.

#### **3.4.4 Key Persons and their Resumes**

Specify key persons to be assigned to this Project, and include a current resume (not to exceed 2 pages each) for each individual that demonstrates qualifications and experience for the Work described.

#### **3.4.5 References**

Provide at least 3 references from current or former client firms for similar projects performed for any clients within the last 3 years. References must verify the quality of previous, related Work.

Agency may check to determine if references provided support Proposer's ability to comply with the requirements of this RFP. Agency may use references to obtain additional information, break tie scores, or verify any information needed. Agency may contact any reference (submitted or not) to verify Proposer's qualifications.

Proposer shall submit References on the Reference Check Form (Attachment F).

Proposer shall submit reference names and contact information. Agency will make 3 attempts to contact each of the references provided by the Proposer. If these attempts are unsuccessful, the Proposer will receive a score of zero for that reference.

#### **3.4.6 Proposed Modifications to the Software as a Service Agreement**

Proposer shall submit its proposed redlined edits to the Software as a Service Agreement document (Attachment A). This submission must be an unprotected .docx file. This submission item will not be evaluated, but a large scope of proposed redlines may risk the ability to achieve successful negotiations in the timeline specified in the negotiation section.

#### **3.4.7 Functional and Technical Proposal**

The proposed Solution must deliver the functionality and meet the technical requirements in Attachment I. The Solution must be ready to use by all Oregon Counties during the May 2016 election cycle. Proposer shall complete and submit Attachment I indicating how the proposed Solution will deliver the required functionality and meet other Solution

Requirements. Proposer may include additional information that illustrates how the Solution will meet Requirements within the timeframes required under this RFP. Proposer shall specifically describe its security controls and any certifications, and thirty party audit practices for the application and hosting environment.

#### **3.4.7.1 Configuration and Implementation Services**

Proposer shall submit a proposed Configuration and Implementation Plan that describes how Proposer would carry out the major activities of this project in context of the Scope of Work, and specifically addressing at least the configuration, implementation, training, and maintenance services described in 3.4.7.1 through 3.4.7.9. This submission must be an unprotected .docx file.

The successful Proposer shall deliver all services necessary for configuration, implementation, and training related to the Solution, as well as ongoing operations and support. Agency is looking for the most economical approach to meet its goals. The Solution provided by Proposer must be operational on or before May of 2016.

This Section 3.4.7 describes the anticipated activities necessary for the successful Proposer to configure and implement the Solution. Proposers shall address the tasks and activities to be completed to configure and implement the Solution, which will be evaluated against the criteria listed in Section 3.5.2. If Proposer's approach varies from the tasks and activities described in this section, Proposer should provide reasoning and describe the benefits of its proposed approach. Proposer must describe anticipated Agency staff time commitments during the configuration and implementation processes. Task and Deliverable requirements and Acceptance Criteria will be negotiated with the successful Proposer.

#### **3.4.7.2 Proposer shall provide project management services for the configuration and implementation of the Solution. The presumed implementation approach includes the following steps:**

- Step I - Project Planning and Fit/Gap Analysis
- Step II –Solution Prototyping and Customization
- Step III - Solution Implementation

#### **3.4.7.3 Step I - Project Planning and Fit/Gap Analysis**

**Project Implementation Plan and Status Reports.** Proposer shall develop and deliver a Project Implementation Plan and Schedule, Deliverable 1, to cover the period from Contract execution through Final Acceptance of the Solution. Agency expects Proposer will deliver status reports on and update this Deliverable on a weekly basis, unless a different reporting cycle is agreed to by the parties in the Contract. Deliverable 1 and its execution must comply with Agency-acceptable project management protocols, such as the Project Management Book of Knowledge (PMBOK) and Agile methodologies.

**3.4.7.4 Technical Systems Requirements.** Proposer shall gather and document detailed technical Systems Requirements for the Solution, and deliver a Requirements Validation Report (Deliverable 2). Requirements must include the Technical Requirements in Attachment I of this RFP, and others identified by Proposer through review sessions it will conduct with Agency staff and other stakeholders. This Deliverable must address at least:

- Technical Design documents;
- Functional Design documents;
- Integration and Configuration;
- Security requirements and approach for portals and applications, data, and user access; and
- Performance capacity – includes number of users, concurrent users, number of transactions to be handled, etc.

**3.4.7.5 Hosting and Maintenance.** Beginning with production use of the Solution prototype, Proposer shall provide the agreed upon hosting and support Services in accordance with a Service Level Agreement negotiated by the parties. Agency assumes this support will overlap any phased implementation of Solution functionality not immediately configurable “out of the box.”

**3.4.7.6 Fit/Gap Analysis and System Design.** Proposer shall develop and manage all configuration and integration activities against a detailed specification and design plan (Fit/Gap Analysis) that identifies exactly how the proposed Solution accommodates Agency’s requirements, and the Services required to implement each Requirement. The Fit/Gap Analysis must identify Agency activities and Proposer’s Services necessary to implement each Requirement and component of the Solution and provide Agency with a detailed understanding of how the Solution will be configured and integrated to meet Requirements included in this RFP. The Fit/Gap Analysis must identify implementation and enhancement options and identify the proper sequencing of activities. The specifications will address all the data, functional, interface, and technical requirements included in this RFP at a detailed level. The Fit/Gap Analysis will provide the basis for Agency decision-making regarding each Requirement, and the subsequent implementation activities.

#### **3.4.7.7 Step II –System Prototyping and Customization**

Agency defines prototyping as the work required to configure the Solution to meet Requirements for purposes of completing testing activities.

Proposer shall complete Prototype Development activities in accordance with the current Accepted Deliverable 1, the Agency-accepted narrative description of Proposer’s recommended approach for Step II, and the current Agency-accepted Fit/Gap Analysis documentation. Agency anticipates that prototyping will be done on a subject-area by subject-area basis, and may require Proposer to update Requirements, the Project Implementation Plan, and Fit/Gap Analysis documentation. Proposer shall deliver a complete, updated Fit/Gap Analysis and an Application Design Document at the conclusion of Step II as Deliverable 4, Implementation Artifacts (Acceptance Testing). The Application Design Document must detail the Solution specifications implemented in the prototype as

the Prototype Solution components have been successfully tested by Agency.

Proposer shall complete Prototype Solution testing to demonstrate the Solution will meet Requirements and the Accepted Application Design, with emphasis on functional, security, and load Requirements.

Proposer shall identify and recommend User Acceptance Test scripts and facilitate User Acceptance Testing in accordance with an Accepted UAT Plan, and Section 3.4.1 of the Contract, as that section is negotiated between the parties.

### **3.4.7.8 Step III - Solution Implementation**

Proposer shall complete Solution Implementation activities in accordance with the current Accepted Project Implementation Plan and Schedule, and Accepted Deliverables from Step II. Implementation work may require Proposer to update Requirements, the Project Implementation Plan and Schedule, and Step II Deliverables. At the conclusion of Step III, Proposer shall deliver all remaining Implementation Artifacts (Deliverable 4) and any updates to prior delivered Implementation Artifacts. Agency anticipates that the Solution will be submitted for Final Acceptance testing at the conclusion of this step. The scope and content of Maintenance and Operations Services referenced in this Step III will be negotiated by Agency and the successful Proposer, and defined in the Contract.

Agency presumes that the Solution Implementation Step will include at least:

- Solution integration and production readiness testing, including API validation, and load testing (of Website and databases);
- User Acceptance Testing;
- Quality assurance testing;
- Training. Proposer shall deliver in-person trainings with Agency staff on operation of the Application Services on or before April 1, 2016;
- Go-Live Implementation;
- Solution Stabilization; and
- Final Implementation documents.

### **3.4.7.9 Ongoing Application Services**

After the Application Services have been successfully implemented, Proposer shall provide ongoing Application Services, including custom support and training, in accordance with the Statement of Work and Service Level Agreements negotiated between the parties and memorialized in the Contract. Proposer shall include in its Proposal proposed Service Level Agreements, and as applicable for Services not addressed in a Service Level Agreement, Agency anticipates that Ongoing Application Services will support:

- 99.9% uptime and Application availability, as measured in a week, during regular election periods. The duration of each regular election period is 60 (sixty) calendar days: 15 (fifteen) calendar days prior to an election through 20 (twenty) calendar days after the election ends.
- Full redundancy on all Solution infrastructure and network support systems.
- 24/7 technical support to supply same call response time.
- Defect corrections in accordance with the agreed-upon Defect Service Level Agreement. Agency anticipates that corrections will be completed

within 4 hours during regular election periods.

- Repairs within 1 hour during key election periods (Key election periods is defined as Election Day and the 5 days following Election Day).

### **3.4.8 Cost Proposal**

Submit a Cost Proposal (Attachment G) stating the costs for delivering the Solution based on the requirements of this RFP and Attachment A. Proposers shall include any assumptions in their Cost Proposals.

### **3.4.9 Public Record/Confidential or Proprietary Information**

All Proposals are public record and are subject to public inspection after Agency issues the Notice of the Intent to Award. If a Proposer believes that any portion of its Proposal contains any information that is a trade secret under ORS Chapter 192.501(2) or otherwise is exempt from disclosure under the Oregon Public Records Law (ORS 192.410 through 192.505), Proposer shall complete and submit the Affidavit of Trade Secret (Attachment B) and a fully redacted version of its Proposal.

Proposer is cautioned that cost information generally is not considered a trade secret under Oregon Public Records Law (ORS 192.410 through 192.505) and identifying the Proposal, in whole, as exempt from disclosure is not acceptable. Agency advises each Proposer to consult with its own legal counsel regarding disclosure issues.

If Proposer fails to identify the portions of the Proposal that Proposer claims are exempt from disclosure, Proposer has waived any future claim of non-disclosure of that information.

## **3.5 EVALUATION PROCESS**

### **3.5.1 Responsiveness and Responsibility Determination**

Proposals received prior to Closing will be reviewed for Responsiveness to all RFP requirements including compliance with Minimum Requirements section and Proposal Content Requirements section. If the Proposal is unclear, the SPC may request clarification from Proposer. However, clarifications may not be used to rehabilitate a non-Responsive Proposal. If the SPC finds the Proposal non-Responsive, the Proposal may be rejected, however, Agency may waive mistakes in accordance with OAR 137-047-0470.

At any time prior to award, Agency may reject a Proposer found to be not Responsible.

### **3.5.2 Evaluation Criteria**

Proposals meeting the requirements outlined in the Proposal Content Requirements section will be evaluated by an Evaluation Committee. Evaluators will assign a score of 0 to 10 for each evaluation criterion listed below in this section.

SPC may request further clarification to assist the Evaluation Committee in gaining additional understanding of Proposals. A response to a clarification request must be to clarify or explain portions of the already submitted Proposal and may not contain new information not included in the original Proposal.

SCORE	EXPLANATION
10	OUTSTANDING - Response meets all the requirements and has demonstrated in a clear and concise manner a thorough knowledge and understanding of the subject matter and project. The Proposer provides insight into its expertise, knowledge, and understanding of the subject matter.
6 – 9	VERY GOOD – Response provides useful information, while showing experience and knowledge within the category. Response demonstrates above average knowledge and ability with no apparent deficiencies noted.
5	ADEQUATE – Response meets all requirements in an adequate manner. Response demonstrates an ability to comply with guidelines, parameters, and requirements with no additional information put forth by the Proposer.
1 – 4	FAIR – Proposer meets minimum requirements, but does not demonstrate sufficient knowledge of the subject matter.
0	RESPONSE OF NO VALUE – An unacceptable response that does not meet the requirements set forth in the RFP. Proposer has not demonstrated knowledge of the subject matter.

### 3.5.2.1 Implementation and Configuration Plan and Ongoing Application Services

- How well does the Proposal address staffing levels during peak election times?
- How well does the Proposal address ongoing performance evaluation to ensure that the web server and supporting database is managing the volume of web traffic including internet outbound access bandwidth?
- How well does the Proposal address tested disaster recovery/business resumption?
- How well does the Proposal address application development methodology for developing and enhancing the Solution?

### 3.5.2.2 Implementation and Configuration Plan

- How well does the Proposer's Implementation and Configuration Plan demonstrate understanding of the Services needed for successful implementation of the proposed Solution, including at Agency and with all 36 Counties?
- Do the described approach and resource requirements indicate successful delivery of the Solution within the required timeframe?
- How well does the Proposal address testing and test script creation?

### 3.5.2.3 Functional and Technical Specifications

- How well does the Solution allow for customized business needs?
- How well does the plan address hosting the Solution on a highly scalable platform equaling Oregon's registered voter volume?
- How well does the Solution work with other equipment manufacturers' tabulation files not listed in Section 3.1.1.6?



- How well does the validation of data provide assurance that ballots cast from a county are accurate based on each update and is never greater than 100% of the registered voters?
- How well does the Solution allow the State or County the option to approve all aggregated data files before they are made public?
- How well does the Solution allow for a complete audit trail of uploads by Counties?
- How well does the Solution display the last time the results were updated?
- How well does the Solution provide election results for local only elections, statewide elections, county elections, and all measures?
- How well does the Solution interface with applications such as the Oregon Centralized Voter Registration System (OCVR)?
- How well does the Solution take multiple tabulation files and aggregate all information for presentation by race, district, county, and State?
- How well does the Solution respond (seconds, minutes, etc.) for a basic query during peak election time and during non-peak election time?
- How well does the Solution allow for exporting data to various format types such as XLS, CSV, TXT, TDF, XML, etc.?
- How well does the Solution address various reporting requests?

#### **3.5.2.4** Solution Security

- How well does the Solution provide Counties a secure method to provide election night results?
- How well does the Solution address data security including back up frequency and offsite storage facilities?
- How well does Proposer's security and audit procedures and standards, including any certifications, ensure that the Solution will provide a secure environment?

#### **3.5.2.5** Training Services

- How well does the Proposal address staffing levels and training services to provide training to Agency and 36 Counties during implementation and, as needed, prior to each election cycle?

#### **3.5.2.6** Solution Demonstrations

Agency may conduct Solution demonstrations with all Proposers meeting the requirements of Section 3. Solution demonstrations are scheduled to be conducted on January 4, 2016 at the Public Service Building in Salem, OR. Proposer shall use Oregon data, provided by Agency, in the Solution Demonstrations.

- How well does the Solution provide a graphical and tabular representation of the election results?
- How well does the Solution allow users to customize look and feel for the web pages displaying election results?

- How well does the Solution allow users to filter election results based on selected races?
- How well does the Solution allow Counties to securely transfer election night results to the Solution?
- How well does the Solution allow for setting up and managing an election from both the State and county perspective?
- How well does the Solution display election night results to the public?
- How well does the Solution allow users to view data and obtain reports?
- How well does the Solution allow users to display district results, if any district spans multiple Counties?
- How well does the Solution allow the Agency to access its data?

### 3.6 NEXT STEP DETERMINATION (Round 2)

Agency may determine Apparent Successful Proposer at the conclusion of Round 1 evaluation, or Agency may conduct additional rounds of competition if in the best interest of the State. Additional rounds of competition may consist of, but will not be limited to:

- Establishing a Competitive Range
- Presentations/Demonstrations/Additional Submittal Items
- Best and Final Offers

### 3.7 COST EVALUATION

The SPC will conduct the cost evaluation. The SPC will award a cost score to each Cost Proposal based upon the percentage of the total proposed cost as compared to the total lowest Proposer's cost using the following formula:

$$\frac{\text{lowest cost of all Proposers}}{\text{cost being scored}} \times \text{cost points possible} = \text{cost score}$$

### 3.8 PREFERENCES

#### 3.8.1 Reciprocal Preference

For evaluation purposes per OAR 137-046-0310, Agency shall add a percent increase to each out-of-state Proposer's Proposal price that is equal to the percent preference, if any, given to a Resident Offeror of the [Proposer's state](#).

#### 3.8.2 Recycled Materials

In comparing Goods from two or more Proposers, if at least one Proposer offers Goods manufactured with Recycled Materials, and at least 1 Proposer does not, Agency will select the Proposer offering Goods manufactured from Recycled Materials if each of the conditions specified in ORS 279A.125 (2) exists following any adjustments made to the price of the Goods according to any applicable reciprocal preference.



### 3.8.3 Tiebreakers

Oregon Supplies: If Agency receives Proposals identical in price, fitness, availability and quality and chooses to award a Contract, Agency shall award the Contract in accordance with the procedures outlined in OAR 137-046-0300.

## 3.9 POINT AND SCORE CALCULATIONS

Scores are the values (0 through 10) assigned by each evaluator.

Points are the total possible value for each section as listed in the table below.

The SPC will average all scores for each evaluation criterion. The average score will be used as a percentage multiplier of the maximum possible points for that criterion. 1=10%, 5=50%, 9=90%, etc.

Cost points are calculated as stated in the Cost Evaluation section. Points possible are as follows:

<b>TOTAL POINTS POSSIBLE :</b>		1055
<b>POINTS POSSIBLE</b>		
3.5.2.1	Implementation and Configuration Plan and Ongoing Application Services	100
3.5.2.2	Implementation and Configuration Plan	40
3.5.2.3	Functional and Technical Specifications	100
3.5.2.4	Solution Security	125
3.5.2.5	Training Services	200
3.5.2.6	Solution Demonstrations	200
3.12	<b>COST POINTS POSSIBLE</b>	290

#### EXAMPLE:

Proposer A receives scores of 10, 9, and 8 for a criterion worth 50 points. The SPC averages 10, 9, and 8 for a score of 9. 9 is used as a 90% multiplier to the possible points of 50. 50 multiplied by 90% is 45. Proposer A's points for the criterion is 45.

## 3.10 RANKING OF PROPOSERS

SPC will rank all Proposers advancing through all rounds of evaluation. The SPC will total the final average score (calculated by totaling the points awarded by each Evaluation Committee member and dividing by the number of members) from all rounds of competition, together with references, and final cost. After each applicable preference has been applied, SPC will

determine rank order for each respective Proposal and Proposer, with the highest score receiving the highest rank, and successive rank order determined by the next highest score.

SPC will rank all Proposers advancing through all rounds of evaluation. The SPC will total the points from the evaluation and cost to determine final ranking

## **SECTION 4: AWARD AND NEGOTIATION**

### **4.1 AWARD NOTIFICATION PROCESS**

#### **4.1.1 Award Consideration**

Agency, if it awards a Contract, shall award a Contract to the highest ranking Responsible Proposer(s) based upon the scoring methodology and process described in Section 3. Agency may award less than the full Scope defined in this RFP.

#### **4.1.2 Intent to Award Notice**

Agency will notify all Proposers in Writing that Agency intends to award a Contract to the selected Proposer(s) subject to successful negotiation of any negotiable provisions.

### **4.2 INTENT TO AWARD PROTEST**

#### **4.2.1 Protest Submission**

An Affected Offeror shall have 7 calendar days from the date of the intent to award notice to file a Written protest.

A Proposer is an Affected Offeror only if the Proposer would be eligible for Contract award in the event the protest was successful and is protesting for one or more of the following reasons as specified in ORS 279B.410:

- All higher ranked Proposals are non-Responsive.
- Agency has failed to conduct an evaluation of Proposals in accordance with the criteria or process described in the RFP.
- Agency abused its discretion in rejecting the protestor's Proposal as non-Responsive
- Agency's evaluation of Proposals or determination of award otherwise violates ORS Chapter 279B or ORS Chapter 279A.

If Agency receives only one Proposal, Agency may dispense with the intent to award protest period and proceed with Contract Negotiations and award.

##### **4.2.1.1 Protests must:**

- Be sent to the SPC via email
- Reference the RFP number
- Identify prospective Proposer's name and contact information
- Be signed by an authorized representative
- Specify the grounds for the protest
- Be received within 7 calendar days of the intent to award notice

#### **4.2.2 Response to Protest**

Agency will address all timely submitted protests within a reasonable time and will issue a Written decision to the respective Proposer. Protests that do not include the required information may not be considered by Agency.

### **4.3 APPARENT SUCCESSFUL PROPOSER SUBMISSION REQUIREMENTS**

#### **4.3.1 Insurance**

Prior to execution of the Contract, the apparent successful Proposer shall secure and demonstrate to Agency proof of insurance coverage meeting the requirements identified in the RFP or as otherwise negotiated.

Failure to demonstrate coverage may result in Agency terminating Negotiations and commencing Negotiations with the next highest ranking Proposer. Proposer is encouraged to consult its insurance agent about the insurance requirements contained in Insurance Requirements (Exhibit B of Attachment A) prior to Proposal submission.

#### **4.3.2 Taxpayer Identification Number**

The apparent successful Proposer shall provide its Taxpayer Identification Number (TIN) and backup withholding status on a completed W-9 form if either of the following applies:

- When requested by Agency (normally in an intent to award notice), or
- When the backup withholding status or any other information of Proposer has changed since the last submitted W-9 form, if any.

Agency will not make any payment until Agency has a properly completed W-9.

#### **4.3.3 Tax Affidavit**

Prior to execution of the Contract, the apparent successful Proposer shall complete and submit the Tax Affidavit (Attachment E) to demonstrate compliance with Oregon Tax Laws.

Failure to demonstrate compliance may result in a finding of non-responsibility.

#### **4.3.4 Business Registry**

If selected for award, Proposer shall be duly authorized by the State of Oregon to transact business in the State of Oregon before executing the Contract. The selected Proposer shall submit a current Oregon Secretary of State business registry number, or an explanation if not applicable.

All Corporations and other business entities (domestic and foreign) must have a Registered Agent in Oregon. See requirements and exceptions regarding Registered Agents. For more information, see Oregon Business Guide, How to Start a Business in Oregon and Laws and Rules. The titles in this subsection are available at the following Internet site: <http://www.filinginoregon.com/index.htm>.

## 4.4 CONTRACT NEGOTIATION

### 4.4.1 Negotiation

After selection of a successful Proposer, Agency may negotiate the Statement of Work and the following terms and conditions:

In the event that the parties have not reached mutually agreeable terms within 15 calendar days, Agency, at its discretion, may terminate Negotiations and commence Negotiations with the next highest ranking Proposer.

By submitting a Proposal, Proposer agrees to comply with the requirements of the RFP, including the terms and conditions of the Sample Contract (Attachment A), with the exception of those terms reserved for negotiation. Proposer shall review the attached Sample Contract and note exceptions. Unless Proposer notes exceptions in its Proposal, the State intends to enter into a Contract with the successful Proposer substantially in the form set forth in Sample Contract (Attachment A). It may be possible to negotiate some provisions of the final Contract; however, many provisions cannot be changed. Proposer is cautioned that the State of Oregon believes modifications to the standard provisions constitute increased risk and increased cost to the State. Therefore, Agency will consider the Scope of requested exceptions in the evaluation of Proposals.

Any Proposal that is conditioned upon Agency's acceptance of any other terms and conditions may be rejected. Any subsequent negotiated changes are subject to prior approval of the Oregon Department of Justice.

All items, except those listed below, may be negotiated between Agency and the apparent successful Proposer in compliance with Oregon State laws:

- Choice of law
- Choice of venue
- Constitutional requirements

In the event that the parties have not reached mutually agreeable terms within 15 calendar days, Agency may terminate Negotiations and commence Negotiations with the next highest ranking Proposer.

## SECTION 5: ADDITIONAL INFORMATION

### 5.1 OMWESB PARTICIPATION

Pursuant to Oregon Revised Statute (ORS) Chapter 200, and as a matter of commitment, Agency encourages the participation of minority, women, and emerging small business enterprises in all contracting opportunities. Agency also encourages joint ventures or subcontracting with minority, women, and emerging small business enterprises. For more information please visit <http://www.oregon.gov/gov/MWESB/Pages/index.aspx>

If the Contract results in subcontracting opportunities, the successful Proposer may be required to submit a completed OMWESB Outreach Plan (Attachment H) prior to execution.

## **5.2 GOVERNING LAWS AND REGULATIONS**

This RFP is governed by the laws of the State of Oregon. Venue for any administrative or judicial action relating to this RFP, evaluation and award is the Circuit Court of Marion County for the State of Oregon; provided, however, if a proceeding must be brought in a federal forum, then it must be brought and conducted solely and exclusively within the United States District Court for the District of Oregon. In no event shall this Section be construed as a waiver by the State of Oregon of any form of defense or immunity, whether sovereign immunity, governmental immunity, immunity based on the eleventh amendment to the Constitution of the United States or otherwise, to or from any Claim or from the jurisdiction of any court.

## **5.3 OWNERSHIP/PERMISSION TO USE MATERIALS**

All Proposals submitted in response to this RFP become the Property of Agency. By submitting an Proposal in response to this RFP, Proposer grants the State a non-exclusive, perpetual, irrevocable, royalty-free license for the rights to copy, distribute, display, prepare derivative works of and transmit the Proposal solely for the purpose of evaluating the Proposal, negotiating an Agreement, if awarded to Proposer, or as otherwise needed to administer the RFP process, and to fulfill obligations under Oregon Public Records Law (ORS 192.410 through 192.505). Proposals, including supporting materials, will not be returned to Proposer unless the Proposal is submitted late.

## **5.4 CANCELLATION OF RFP; REJECTION OF PROPOSALS; NO DAMAGES.**

Pursuant to ORS 279B.100, Agency may reject any or all Proposals in-whole or in-part, or may cancel this RFP at any time when the rejection or cancellation is in the best interest of the State or Agency, as determined by Agency. Neither the State nor Agency is liable to any Proposer for any loss or expense caused by or resulting from the delay, suspension, or cancellation of the RFP, award, or rejection of any Proposal.

## **5.5 COST OF SUBMITTING A PROPOSAL**

Proposer shall pay all the costs in submitting its Proposal, including, but not limited to, the costs to prepare and submit the Proposal, costs of samples and other supporting materials, costs to participate in demonstrations, or costs associated with protests.

## **5.6 STATEWIDE E-WASTE/RECOVERY POLICY**

If applicable, Proposer shall include information in its Proposal that demonstrates compliance with the Statewide [E-Waste/Recover Policy](#) effective July 1, 2012.

## **5.7 RECYCLABLE PRODUCTS**

Proposer shall use recyclable products to the maximum extent economically feasible in the performance of the Services or Work set forth in this document and the subsequent Contract. (ORS 279B.025)

## 5.8 PRINTING, BINDING, AND STATIONERY WORK

Except as provided in ORS 282.210(2), all printing, binding and stationery work, including the manufacture of motor vehicle registration plates and plates required to be affixed to motor carriers, for the State or any county, city, town, port district, school district, or other political subdivision, must be performed within the State.

## 5.9 CHECKLIST DISCLAIMER

Any checklists that may be contained in this RFP are provided only as a courtesy to prospective Proposer. Agency makes no representation as to the completeness or accuracy of any Checklist. Prospective Proposer is solely responsible for reviewing and understanding the RFP and complying with all the requirements of this RFP, whether listed in a checklist or not. Neither the State nor Agency is liable for any claims, or subject to any defenses, asserted by Proposer based upon, resulting from, or related to, Proposer's failure to comprehend all requirements of this RFP.

## SECTION 6: LIST OF ATTACHMENTS

ATTACHMENT A	SAMPLE CONTRACT
ATTACHMENT B	AFFIDAVIT OF TRADE SECRET
ATTACHMENT C	PROPOSER CERTIFICATION SHEET
ATTACHMENT D	PROPOSER INFORMATION SHEET
ATTACHMENT E	TAX AFFIDAVIT
ATTACHMENT F	REFERENCE CHECK FORM
ATTACHMENT G	COST PROPOSAL FORM
ATTACHMENT H	OMWESB OUTREACH PLAN
ATTACHMENT I	TECHNICAL REQUIREMENTS



# **Freedom Counts, LLC**

**30 Evening Tide Way  
Bluffton, SC 29910**

**ORESTAR  
UOCAVA  
FINAL REPORT**

**Contract Number: 165-1178-15**

**State of Oregon  
Secretary of State  
Elections Division**

**Date: December 18, 2015**

## **EXECUTIVE SUMMARY:**

The Oregon Secretary of State, Elections Division has contracted with Freedom Counts, LLC to identify limitations and capabilities of the ORESTAR UOCAVA system to help determine the best strategy for maintaining and supporting the application.

To ensure that the Division's ORESTAR UOCAVA application development, enhancement, documentation and maintenance efforts provide a product that effectively meets the expectations of a sufficient sustainable system the overall project is subdivided into three (3) Sections:

1. Software Operational Evaluation
2. Technical Assessment at the business and technical levels
3. Final Report with a detailed list of ORESTAR recommendations

The information gained through the Software Operation Evaluation and the **Technical Assessment** Evaluations are utilized to complete a detailed list of recommendations for the Final Report.

## **SYNOPSIS SUMMARY FOR ORESTAR UOCAVA MODULE:**

The UOCAVA Module allows military and disabled voters the ability to vote in elections and delivers a method for mailed ballots to return to the counties in time to complete the voting process. It is federally mandated that disabled voters have access and ability to cast ballots and this UOCAVA Module provides the tools to meet that requirement.

- Strengths
  - Allows the voter to use their own technology that they are already familiar with.
  - Counties are familiar with interacting with current HTML ballot accessibility vendor (5 Cedars) to create html ballots
  - Many voters are used to MyVote ballot (both disabled and UOCAVA)
  - Voter can access other voting support materials in same location as MyVote ballot
- Weaknesses
  - Need automated OCVR link to send HTML files to HTML Accessibility Vendor for review (triggered by County)
  - Training issues with Counties setting up ballots causing problems with XML and HTML generation.
  - Unable to print a scanable ballot (including 2-D bar code)
  - Need to improve ballot "packaging" for returning
  - No sample ballots
  - Need reports for the number of UOCAVA ballots voted for each election

## **RECOMMENDATIONS FOR UOCAVA MODULE:**

Freedom Counts, LLC recommends to the Oregon Secretary of State, Elections Division the following:

- ☐ Maintain In-house Software – fix current issues through new releases.
- ☐ Replace In-house – develop new software.
- ☒ Replace with Vendor Software – purchase new software through an RFP process.



#### **DETAILED RECOMMENDATIONS FOR UOCAVA MODULE:**

Freedom Counts, LLC recommends that the Oregon Secretary of State, Elections Division issue a Request for Proposals (RFP) to replace the current UOCAVA system with a vendor supplied software package. It is recommended that the Elections Division use the available FVAP monies (approximately \$500,000.00) for the initial funding of the RFP. The RFP should be issued in as soon as possible and a vendor selected by July 2016 to allow adequate time to accept, install, prepare and test prior to the November 2016 General Election.

This software upgrade will enhance the ability of the Elections Division to make structural organizational changes to improve the efficiency of the department.

Potential Benefits from an RFP –

- Enhanced data integrity and redundancy
- Automated setup
- Ability to provide sample ballots to all voters
- Ability to print a scanable 2-D bar code ballot
- Printable version of election results (public users)
- Improved packaging for ballot return
- Ability to provide the number of ballots voted for each election
- Vendor supported Help Desk
- Improved usability
- Reduction in the amount of labor required per election



## ORESTAR Operational Assessment Form (UOCAVA)

Conducted for the Oregon Secretary of State

By Freedom Counts, LLC

Purpose of Form: The purpose of this form is to facilitate the assessment of the current features and functionality of the ORESTAR system from a business/operational perspective. The assessment is conducted for a given use case allowing the functionality of the system to be assessed based on a specific user interaction supported by the ORESTAR system.

ORESTAR Module	UOCAVA
Attendees and Contributors	Jim Williams Tami Dettwyler Russell Bither-Terry Codi Trudell Jeff Huack
Use Case Name	Move HTML Files to Web Server (ORESTAR Admin.) Populate Ballot Exist Indicator (ORESTAR Admin.) Voter Accesses, marks and prints HTML Ballot (Eligible Voter)
Owning Business Unit(s)	SoS Elections Process and administration may be transitioned to the Voting Services team
Users/User Groups and Frequency of Use	Military and disabled voters (Unknown number of voters per election)
Duration of Use Case	Voter accesses, marks and prints HTML Ballot (10 min. to several hours)
Business Purpose	Allow military and disabled voters to vote in elections. Overseas voters often do not receive mailed ballots in time to complete process. It is Federally mandated that disabled voters have access and ability to cast ballots.
Business Transaction(s)	Voting
<b>Functionality Assessment</b>	
Business Drivers for Change	<ul style="list-style-type: none"> <li>Proposed improvement - OCVR link to send HTML files to HTML Accessibility Vendor* for review (triggered by County)</li> <li>Workflow/process is already pretty automated – major issues are around “training issues” with Counties setting up ballots causing issues with XML and HTML generation.</li> <li>Print a scanable ballot (including 2-D bar code)</li> <li>Improved ballot “packaging” for returning ballot (page that is folded over ballot and signed )</li> <li>Need to look for a solution that allows reporting on the number of UOCAVA ballots voted for each election (per Jim Williams)</li> </ul>
Operational Efficiency Issues	<ul style="list-style-type: none"> <li>Coordination and support for interactions between Counties and HTML Accessibility Vendor* is intensive in preparation for an election (the week prior to the 45 days before an election) (OCVR Admin).</li> <li>Multiple iterative moves of HTML files to web server is labor intensive (ORESTAR Admin). Current process of manually checking for HTML Files uploaded by the Counties (on SFTP server) is labor intensive. Need to</li> </ul>

	<p>automate process of polling for and moving files.</p> <ul style="list-style-type: none"> <li>HTML files are often zipped when loaded to the SFTP Server (ORESTAR admin. often has to manually un-zip files)</li> </ul>
Data Redundancy/Integrity Issues	<ul style="list-style-type: none"> <li>When Counties update ballot styles in OCVR after submitting HTML files, the “match” is broken and needs to be manually fixed</li> <li>Recall ballots are not displayed correctly (lists recalls as measures)</li> <li>Lack of basic proofing of HTML ballots (by Counties) can result in inaccuracies – propose adding a formal ballot approval step/workflow on the HTML Accessibility Vendor* site prior to submitting ballots. Look into adding a formal approval process to finalize HTML files uploaded by the County (to minimize the costs associated with editing HTML files by the HTML Accessibility Vendor*)</li> </ul>
Search and Data Retrieval	<ul style="list-style-type: none"> <li>Voter with duplicate name, DOB and zip code will not be able access MyVote.</li> </ul>
Agency Reporting	N/A
Non-Disclosure	N/A
Positives and Benefits of Current System	<ul style="list-style-type: none"> <li>Allows the voter to use their own technology that they are already familiar with.</li> <li>Counties are familiar with interacting with 5 Cedars to create html ballots</li> <li>Many voters are used to MyVote ballot (both disabled and UOCAVA)</li> <li>Voter can access other voting support materials in same location as MyVote ballot</li> </ul>
Features Not Realized	<ul style="list-style-type: none"> <li>2-D bar code printed on every ballot (per Jim Williams)</li> <li>Ability to display Sample Ballots (per Jim Williams)</li> <li>Proposed improvement - OCVR link to send HTML files to 5 Cedars for review (triggered by County)</li> <li>Improved ballot “packaging” for returning ballot (page that is folded over ballot and signed )</li> <li>Need to talk to UOCAVA and disabled voters to complete the assessment (Jim Williams to make a decision on this)</li> </ul>
<b>Usability Assessment</b>	
Navigation and Flow	<ul style="list-style-type: none"> <li>Skip Link to ballot could be displayed at the top (more prominently) on the MyVote page</li> </ul>
Messaging and Error Handling	<ul style="list-style-type: none"> <li>Issues with error messages associated with “under voted”/“over voted” (use plain language)</li> </ul>
Accessibility Issues	<ul style="list-style-type: none"> <li>N/A - HTML Ballots are tested for accessibility by 5 Cedars</li> </ul>
System Performance Issues	N/A
System Availability Issues	<ul style="list-style-type: none"> <li>System off-line for backups every Sunday (4 – 6 hours)</li> </ul>
User Documentation Assessment	<ul style="list-style-type: none"> <li>Recommend developing user documentation on creating ballots in OCVR (so that the HTML ballots are generated correctly)</li> </ul>
Privacy and Security Issues/Risks	<ul style="list-style-type: none"> <li>There is a public perception that being able to access MyVote using only Name and DOB is a privacy concern</li> </ul>
User Support Issues	<ul style="list-style-type: none"> <li>Supporting counties in the process of setting up ballots and transferring to ORESTAR is somewhat intensive</li> </ul>
System Administration Issues	N/A
Election Preparation	N/A

- Current HTML Accessibility Vendor is Five Cedars, LLC

## Document Revision, Review and Approval History

Date	Name	Doc. Status	Description
5/29/15	Alan Schamp	Draft	Created initial draft in meeting on 5/29/15.
6/4/15	Alan Schamp	Draft	Made updates based on meeting with Jim and Codi.

## Issues and Action Items

Status	Description	Type	Owner	Due Date
Completed.	Send document for participant review	Action Item	Alan Schamp	5/29/15
Completed	Review document with IT participants	Action Item	Alan Schamp	6/3/15
Completed	Review document with Elections Director	Action Item	Alan Schamp	6/5/15
Open	Should we engage some UOCAVA and disabled voters to complete the assessment (Jim Williams to make a decision on this)	Decision	Jim Williams	6/19/15



## ORESTAR Analysis Project

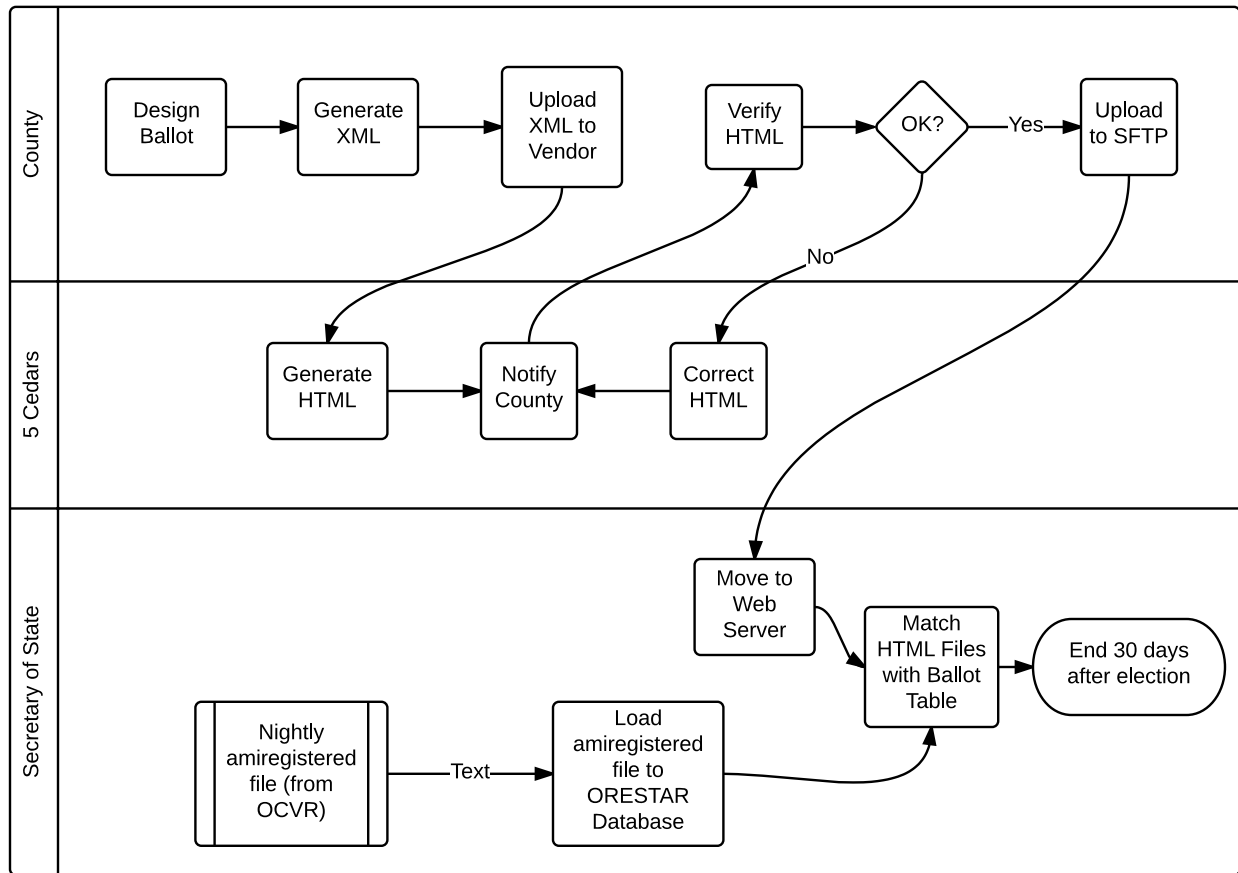
### Process Descriptions – UOCAVA Workflow Analysis

Process Name	Team	Description
Design Ballot	County	County elections staff enter candidate and measure information into OCVS to be displayed on ballots.
Generate XML	County	A County worker executes an OCVR function to generate XML files for the measures and candidates.
Upload XML to Vendor	County	A County worker transfers the XML files to Five Cedars (Citrix ShareFiles).
Generate HTML	Five Cedars	5 Cedars Generates the HTML and verifies that it displays properly and does accessibility testing. If there are issues, Five Cedars directly changes the HTML files.
Notify County	Five Cedars	Five Cedars sends an Email message to the County notifying them that the HTML ballots are ready for review. The Email has a link to allow the County worker to download the HTML files.
Verify HTML	County	A County worker reviews the HTML ballot for accuracy and format.
Correct HTML	Five Cedars	<p>If the County does not approve the HTML - a County worker communicates the issues to Five Cedars for resolution.</p> <p>Note: There is a predetermined contact at Five Cedars to work through resolving HTML issues (reported through phone or email).</p>
Upload to SFTP	County	If the HTML is approved - A County worker executes a SFTP file transfer to upload the HTML files to the SoS SFTP site (SoS recommends using FileZilla).
Move to Web Server	SoS	<p>The SoS ORESTAR Administrator transfers HTML files to the Web Server on when notified by the County that approved HTML ballots have been loaded to the SFTP server.</p> <p>Note: Should be initially completed 45 days before election.</p>
Load amiregistered file to ORESTAR	SoS	An ORESTAR function loads the amiregistered file (XML from OCVR) into the ORESTAR database. The load is executed nightly (time is configurable by the ORESTAR Administrator).
Match HTML Files with Ballot Table	SoS	A process is executed by the ORESTAR Administrator to determine which ballots are displayable in MyVote. It determines which ballots are available for each County based on the ballot styles posted by the County.

Notes on process:

- Proposed improvement - OCVR link to send HTML files to 5 Cedars for review (triggered by County)
- Workflow/process is already pretty automated – major issues are around “training issues” with Counties setting up ballots causing issues with XML and HTML generation.
- Five Cedars Group specializes in the design and creation of HTML election ballots for voters with disabilities.
- The SoS has provided significant training and documentation to the Counties on how to execute the steps outlined above.

OUCAVA Process Workflow Diagram  
Oregon Secretary of State  
ORESTAR Analysis Project





# **Freedom Counts, LLC**

**30 Evening Tide Way  
Bluffton, SC 29910**

**ORESTAR  
MY VOTE  
FINAL REPORT**

**Contract Number: 165-1178-15**

**State of Oregon  
Secretary of State  
Elections Division**

**Date: December 18, 2015**



## **EXECUTIVE SUMMARY:**

The Oregon Secretary of State, Elections Division has contracted with Freedom Counts, LLC to identify limitations and capabilities of the ORESTAR MY VOTE system to help determine the best strategy for maintaining and supporting the application.

To ensure that the Division's ORESTAR MY VOTE application development, enhancement, documentation and maintenance efforts provide a product that effectively meets the expectations of a sufficient sustainable system the overall project is subdivided into three (3) Sections:

1. Software Operational Evaluation
2. Technical Assessment at the business and technical levels
3. Final Report with a detailed list of ORESTAR recommendations

The information gained through the Software Operation Evaluation and the **Technical Assessment** Evaluations are utilized to complete a detailed list of recommendations for the Final Report.

## **SYNOPSIS SUMMARY FOR ORESTAR MY VOTE MODULE:**

Provides on-line access for the public to register to vote, update voter registration information, and view information about upcoming elections. The following operations are available from the My Vote Module:

- ❖ View Voter Registration (Public)
- ❖ Update Voter Registration (Public)
- ❖ Register to Vote (Public)
- ❖ View County Elections Officials (Public)
- ❖ View Ballot Drop sites (Public)
- ❖ View Elected Officials (Public)View Virtual Ballot (including Candidate Statements, Voters' Pamphlet Statements and Measure Text) (Public)
- ❖ Track Ballot Status (Public)
- ❖ Access HTML/UOCAVA Ballot (separate assessment form) (Public)
- Strengths
  - Easy to use and intuitive
  - Provide a lot of information about upcoming elections, and voting.
  - Information is dynamic and specific to the voter
  - Integration with other ORESTAR modules provides access to information useful to the voter
  - Supports screen reading
  - Supports English and Spanish
- Weaknesses
  - Real-time interface with DMV can cause performance issues, downtime, and response timeouts (new voters cannot register and existing voters cannot change registration)
  - Lacks automatic emails/texts (to voter) that communicate ballot status
  - Should be fully tested for accessibility

## **RECOMMENDATIONS FOR MY VOTE MODULE:**

Freedom Counts, LLC recommends to the Oregon Secretary of State, Elections Division the following:

- ☒ Maintain In-house Software – fix current issues through new releases.
- ☐ Replace In-house – develop new software.
- ☐ Replace with Vendor Software – purchase new software through an RFP process.

Additional recommendations:

- ✓ Prioritize all issues and work on fixing software bugs in order of importance.

Potential Benefits –

- Improved communications with the voter
- Reduction in response timeouts
- Accessibility issues resolved



## ORESTAR Operational Assessment Form (MyVote)

Conducted for the Oregon Secretary of State

By Freedom Counts, LLC

Purpose of Form: The purpose of this form is to facilitate the assessment of the current features and functionality of the ORESTAR system from a business/operational perspective. The assessment is conducted for a given use case allowing the functionality of the system to be assessed based on a specific user interaction supported by the ORESTAR system.

ORESTAR Module	MyVote
Attendees and Contributors	Jim Williams Tami Dettwyler Russell Bither-Terry Codi Trudell Brittany Kenison Brenda Bayes Jeff Hauck
Use Case Name	View Voter Registration (Public) Update Voter Registration (Public) Register to Vote (Public) View County Elections Officials (Public) View Ballot Drop Sites (Public) View Elected Officials (Public) View Virtual Ballot (including Candidate Statements, Voters' Pamphlet Statements and Measure Text) (Public) Track Ballot Status (Public) Access HTML/UOCAVA Ballot (separate assessment form) (Public)
Owning Business Unit(s)	SoS Elections – Candidate & Campaign Services/Voting Services
Users/User Groups and Frequency of Use	Public
Duration of Use Case	
Business Purpose	To allow the public to register to vote and update voter registration information.  To allow registered voters to view information about upcoming elections.
Business Transaction(s)	Voter registration (new and update)
<b>Functionality Assessment</b>	
Business Drivers for Change	<ul style="list-style-type: none"> <li>Real-time interface with DMV can cause performance issues, downtime, and response timeouts (new voters cannot register and existing voters cannot change registration)</li> </ul>
Operational Efficiency Issues	<ul style="list-style-type: none"> <li>County Clerks are often re-typing voter registration information into OCVR. Note: OCVR feature to populate OCVR fields with information from MyVote registration is not well known by County Elections Officials.</li> </ul>
Data Redundancy/Integrity Issues	N/A
Search and Data Retrieval	<ul style="list-style-type: none"> <li>Confidential voters and voters with dup. first/last name, birthdate and residential zip code cannot use MyVote.</li> </ul>

Agency Reporting	<ul style="list-style-type: none"> <li>• Ad Hoc reporting by ORESTAR/OCVR Admin. – No major issues</li> </ul>
Non-Disclosure	N/A
Positives and Benefits of Current System	<ul style="list-style-type: none"> <li>• Easy to use and intuitive</li> <li>• Provide a lot of information about upcoming elections, and voting.</li> <li>• Information is dynamic and specific to the voter</li> <li>• Integration with other ORESTAR modules provides access to information useful to the voter</li> <li>• Supports screen reading</li> <li>• Supports English and Spanish</li> </ul>
Features Not Realized	<ul style="list-style-type: none"> <li>• Automatic emails/texts (to voter) that communicate ballot status</li> <li>• Handling of absentee information for people on “paper path”</li> </ul>
<b>Usability Assessment</b>	
Navigation and Flow	<ul style="list-style-type: none"> <li>• Easy to use and intuitive</li> </ul>
Messaging and Error Handling	N/A
Accessibility Issues	<ul style="list-style-type: none"> <li>• Should be fully tested for accessibility</li> </ul>
System Performance Issues	<ul style="list-style-type: none"> <li>• Creation of XML file for OCVR import is slow for high volume days (sometimes causes manual intervention to complete file transfer and load to OCVR)</li> </ul>
System Availability Issues	<ul style="list-style-type: none"> <li>• Real-time interface with DMV can cause performance issues, downtime, and response timeouts (new voters cannot register and existing voter cannot change registration)</li> </ul>
User Documentation Assessment	<ul style="list-style-type: none"> <li>• Documentation is adequate for features that need explanation</li> </ul>
Privacy and Security Issues/Risks	<ul style="list-style-type: none"> <li>• Minimal risk because the DMV number is encrypted (only piece of non-public information stored).</li> </ul>
User Support Issues	N/A
System Administration Issues	<ul style="list-style-type: none"> <li>• If the file transfer/load to OCVR fails (DMV interface down, OCVR connectivity, etc.) it requires manual ORESTAR Admin. actions to re-start and re-run file load process</li> </ul>
Election Preparation	<ul style="list-style-type: none"> <li>• Handled by election set up of other ORESTAR modules (other than UOCAVA)</li> </ul>

#### Document Revision, Review and Approval History

Date	Name	Doc. Status	Description
6/23/15	Alan Schamp	Draft	Created initial draft in meeting on 6/23/15.

#### Issues and Action Items

Status	Description	Type	Owner	Due Date
Completed	Send document for participant review	Action Item	Alan Schamp	6/23/2015
Open	Review document with IT participants	Action Item	Alan Schamp	TBD
Open	Review document with Elections Director	Action Item	Alan Schamp	TBD



# **Freedom Counts, LLC**

**30 Evening Tide Way  
Bluffton, SC 29910**

**ORESTAR  
CAMPAIGN FINANCE  
FINAL REPORT**

**Contract Number: 165-1178-15**

**State of Oregon  
Secretary of State  
Elections Division**

**Date: December 18, 2015**

## **EXECUTIVE SUMMARY:**

The Oregon Secretary of State, Elections Division has contracted with Freedom Counts, LLC to identify limitations and capabilities of the ORESTAR CAMPAIGN FINANCE system to help determine the best strategy for maintaining and supporting the application.

To ensure that the Division's ORESTAR CAMPAIGN FINANCE application development, enhancement, documentation and maintenance efforts provide a product that effectively meets the expectations of a sufficient sustainable system the overall project is subdivided into three (3) Sections:

1. Software Operational Evaluation
2. Technical Assessment at the business and technical levels
3. Final Report with a detailed list of ORESTAR recommendations

The information gained through the Software Operation Evaluation and the **Technical Assessment** Evaluations are utilized to complete a detailed list of recommendations for the Final Report.

## **SYNOPSIS SUMMARY FOR ORESTAR CAMPAIGN FINANCE MODULE:**

Supports the Secretary of State review of campaign transactions to ensure legal compliance. Supports the filer reporting of campaign contributions and expenditures. Supports transparency of Campaign Finance transactions to the public.

- Strengths
  - Has been highly customized to support Oregon legal requirements and policies (rules and validations are somewhat automated)
  - Public interface is easily accessible and the search is powerful for the average user
  - External user documentation is excellent
- Weaknesses
  - Searches for the public interface are slow
  - SoS Elections support for filers is intensive and takes up a lot of staff time interacting with and supporting filers
  - Training for filers was discontinued which may be compounding support issues
  - Filer error messages could be more descriptive

## **RECOMMENDATIONS FOR CAMPAIGN FINANCE MODULE:**

Freedom Counts, LLC recommends to the Oregon Secretary of State, Elections Division the following:

- ☒ Maintain In-house Software – fix current issues through new releases.
- ☐ Replace In-house – develop new software.
- ☐ Replace with Vendor Software – purchase new software through an RFP process.

Additional recommendations:

- ✓ Reinstate the training program for filers.
- ✓ Prioritize all issues and work on fixing software bugs in order of importance.

Potential Benefits –

- Ability to add new features to the application.
- Improved accessibility

- Good documentation





## ORESTAR Operational Assessment Form (Campaign Finance)

Conducted for the Oregon Secretary of State

By Freedom Counts, LLC

Purpose of Form: The purpose of this form is to facilitate the assessment of the current features and functionality of the ORESTAR system from a business/operational perspective. The assessment is conducted for a given use case allowing the functionality of the system to be assessed based on a specific user interaction supported by the ORESTAR system.

ORESTAR Module	Campaign Finance
Attendees and Contributors	Jim Williams Tami Dettwyler Jennifer Hertel Brenda Bayes Jeff Huack
Use Case Name	Enter and File Transactions (Filer) Examine Transactions (SoS Compliance Specialist) Amend and File Transactions (Filer) Search for Campaign Finance Activity (Public)
Owning Business Unit(s)	SoS Elections – Candidate and Campaign Services
Users/User Groups and Frequency of Use	Filer (1-to-many per election, could be daily) <ul style="list-style-type: none"> <li>Petition Committee</li> <li>Candidate Committee</li> <li>Measure Committee</li> <li>Independent Filer</li> </ul> SoS Compliance Specialist (daily)  Public (Daily)
Duration of Use Case	Enter and File Transactions (10 min - hours) Examine Transactions (5 min. - hours) Amend and File Transactions (10 min - hours) Search for Campaign Finance Activity (unknown)
Business Purpose	Supports the Secretary of State review of campaign transactions to ensure legal compliance. Supports the filer reporting of campaign contributions and expenditures. Supports transparency of Campaign Finance transactions to the public.

Business Transaction(s)	Campaign Transactions <ul style="list-style-type: none"> <li>• XML Filing Reports</li> <li>• Transaction Filing Reports</li> <li>• Exam Letter</li> <li>• Amendment Review Letters</li> <li>• Contribution</li> <li>• Expenditure/Account Payable</li> <li>• Other Receipt</li> <li>• Other Disbursement</li> <li>• Other Account Receivable</li> <li>• Other</li> </ul>
Functionality Assessment	
Business Drivers for Change	<ul style="list-style-type: none"> <li>• Application performance issues (XML upload and filing process) – improvements are in progress for next release</li> <li>• SoS Elections support for filers is intensive and takes up a lot of staff time interacting with and supporting filers               <ul style="list-style-type: none"> <li>• laws and filing procedures are complicated</li> <li>• users often do not follow procedures in manuals</li> <li>• many filers hire professional treasurers because of the complexity of Campaign Finance filing requirements</li> </ul> </li> <li>• Training was discontinued which may be compounding support issues (may be reinstated for 2016 election cycle)               <ul style="list-style-type: none"> <li>• better planning and scheduling for training sessions (based on statistics on filer use and characteristics)</li> <li>• Record and make training available on-line</li> </ul> </li> <li>• Filer error messages could be more descriptive</li> </ul>
Operational Efficiency Issues	<ul style="list-style-type: none"> <li>• Application performance issues (XML upload and filing process) – improvements are in progress for next release</li> </ul>
Data Redundancy/Integrity Issues	<ul style="list-style-type: none"> <li>• Duplicate address book entries (user errors) – causes issues with calculating aggregates – this is caused by duplicate committee names from filing process (e.g., hand typed committee names during filing process)</li> <li>• Uniform and consolidated list of exam notes (notes/responses from Examination on Exam Form) – need a drop-down list instead of entering notes in free form to make notes uniform and consistent</li> </ul>
Search and Data Retrieval	<ul style="list-style-type: none"> <li>• Searches for the public interface are slow</li> <li>• Limited number of transactions that can be exported (due to performance issues)</li> <li>• ORESTAR Admin. often needs to be involved in ad hoc data retrievals to address filer support issues</li> </ul>
Agency Reporting	<ul style="list-style-type: none"> <li>• Ad hoc reports (ORESTAR Admin.) – no major issues</li> </ul>
Non-Disclosure	<ul style="list-style-type: none"> <li>• Contributor has the responsibility of not providing confidential information</li> </ul>

Positives and Benefits of Current System	<ul style="list-style-type: none"> <li>• Much better than previous system (paper reports and manual examinations)</li> <li>• Has been highly customized to support Oregon legal requirements and policies (rules and validations are somewhat automated) Note: more complex validations are manual (during examination)</li> <li>• Public interface is easily accessible and the search is powerful for the average user (power users would like to be able to export higher volumes of transactions)</li> <li>• On-line examination process is a huge improvement over previous system (paper and hand written exam letters)</li> </ul>
Features Not Realized	<ul style="list-style-type: none"> <li>• Considering using Socrata (state cloud-based SaaS data warehouse) to allow more advanced access to Campaign Finance data</li> <li>• Allow internal users to see aggregated transactions (currently need to go to ORESTAR Admin.) – may need to address previous policy decision. Note: SoS CS is using public interface to access filer transaction history</li> <li>• Ability for internal user to enter certificate for previous calendar year.</li> <li>• Ability to handle loans, payables, receivables or personal expenditures incurred by a committee during a year in which they filed a certificate.</li> <li>• Notification to committee when transactions cause committee to be considered active in election.</li> <li>• Ability to merge duplicate address book entries.</li> <li>• Multi thread xml upload and transaction filing processes (i.e., be able to process multiple xml files or transactions for multiple filers at the same time). Note: development for this is in progress.</li> </ul>
Usability Assessment	
Navigation and Flow	<ul style="list-style-type: none"> <li>• Tab navigation has issues – (mouse free data entry)</li> </ul>
Messaging and Error Handling	<ul style="list-style-type: none"> <li>• Filer error messages could be more descriptive</li> </ul>
Accessibility Issues	<ul style="list-style-type: none"> <li>• Should be fully tested for accessibility</li> </ul>
System Performance Issues	<ul style="list-style-type: none"> <li>• Application performance issues (XML upload and filing process) – in progress for next release</li> <li>• Searches for the public interface are sometimes slow (depending on search criteria)</li> </ul>
System Availability Issues	<ul style="list-style-type: none"> <li>• System outages due to server downtime have become less frequent within the last year</li> </ul>
User Documentation Assessment	<ul style="list-style-type: none"> <li>• External user documentation is excellent (support issues when not followed)</li> <li>• Currently working on improving user documentation for internal users</li> </ul>
Privacy and Security Issues/Risks	<ul style="list-style-type: none"> <li>• Contributor has the responsibility of not providing confidential information</li> <li>• System stores information that is not public record (e.g., aggregated transactions)</li> </ul>

User Support Issues	<ul style="list-style-type: none"> <li>Support for filers is intensive and takes up a lot of staff time interacting with and supporting filers <ul style="list-style-type: none"> <li>laws and filing procedures are complicated</li> <li>users often do not follow procedures in manuals</li> <li>many filers hire professional treasurers because of the complexity of Campaign Finance filing requirements</li> </ul> </li> <li>Training was discontinued which may be compounding support issues (may be reinstated for 2016 election cycle) <ul style="list-style-type: none"> <li>Better planning and scheduling for training sessions (based on statistics on filer use, characteristics, location, etc.)</li> <li>Record and make training available on-line</li> </ul> </li> </ul>
System Administration Issues	<ul style="list-style-type: none"> <li>Public records requests by power users require ad hoc data retrievals (ORESTAR Admin.)</li> <li>Data issues caused by defects or filer errors (scripts need to be executed by Admin. to resolve data issues)</li> <li>ORESTAR Admin. support for filer support is intensive - Allow internal users to see aggregated transactions (currently need to go to ORESTAR Admin.) – may need to address previous policy decision. Note: SoS CS is using public interface to access filer transaction history</li> </ul>
Election Preparation	Not extensive

#### Process Automation and Logic

Area/Function	Description
Validate Transactions	Screen level validations and process validations with corresponding error and warning messages. At least 100 validations and messages.
Save Transaction	<p>Calculations of due dates for filing transaction - This logic is extensive including the following criteria:</p> <ul style="list-style-type: none"> <li>Date proximity to election</li> <li>Determination of whether candidate is active in upcoming election</li> <li>Determination of whether there is an active in Legislative session</li> <li>The office the candidate is running for affects due date determination</li> <li>Transactions filed by related/linked Committees</li> <li>Types of Filers have different rules applied in calculating deadlines</li> </ul> <p>Calculation of Filers calendar year aggregates</p> <ul style="list-style-type: none"> <li>Associations between transactions</li> <li>Filing transactions out of order</li> </ul>
XML Upload	<p>Validation of XML format based on XML schema (DTD)</p> <p>Similar validations as Save Transaction (described above)</p>

File Transaction	<p>Re-validate Save Transaction logic – to account for the possibility of late transactions to re-calculate aggregates.</p> <p>Determine transaction status and create miscellaneous transactions.</p> <p>Moving transactions with specific validations to Violation status</p> <p>Determine which transactions need to go into which exam queue.</p>
Exam Letter	CS has ability to modify or remove error messages

## Document Revision, Review and Approval History

Date	Name	Doc. Status	Description
6/16/2015	Alan Schamp	Draft	Created initial draft in meeting on 6/16/15.
6/22/2015	Alan Schamp	Draft	Added better descriptions to "Data Redundancy/Integrity Issues" based on review session with Brenda Bayes and Jim Williams.
6/23/2015	Alan Schamp	Draft	Added "Process Automation and Logic" table based on session with Tami Dettwyler and Jennifer Hertel
6/23/2015	Alan Schamp	Draft	Added "Features not Realized" from Tami D.: <ul style="list-style-type: none"> <li>• Ability for internal user to enter certificate for previous calendar year.</li> <li>• Ability to handle loans, payables, receivables or personal expenditures incurred by a committee during a year in which they filed a certificate.</li> <li>• Notification to committee when transactions cause committee to be active in election.</li> <li>• Merging duplicate address book entries.</li> <li>• Multi thread xml upload and transaction filing processes (i.e., be able to process multiple xml files or transactions for multiple filers at the same time). Development for this is in progress.</li> </ul>

## Issues and Action Items

Status	Description	Type	Owner	Due Date
Completed	Send document for participant review	Action Item	Alan Schamp	6/16/2015
Completed	Review document with IT participants	Action Item	Alan Schamp	6/21/2015
Completed	Review document with Elections Director and Deputy Director.	Action Item	Alan Schamp	6/22/2015
Completed	Add "Process Automation and Logic" table based on session with Tami Dettwyler and Jennifer Hertel	Action Item	Alan Schamp	6/23/2015
	Summarize and review content with select Campaign Treasurers	Action Item	Keith Long	TBD



## ORESTAR Analysis Project

### Process Descriptions – Campaign Finance Process Workflow Analysis

Process Name	Team	Description
Upload XML File	Filer	The filer has the option of exporting transactions from their campaign accounting system and uploading them to ORESTAR in an XML file.
Enter Transaction (ORESTAR)	Filer	The filer has the option of manually entering campaign transactions into the ORESTAR web interface.
Validate Transaction before Filing	Filer	The filer executes an ORESTAR automated function that validates the transactions entered. ORESTAR reports each transaction as passing validations, as well as errors and warnings regarding the individual transactions.
Fix Transactions	Filer	If errors and/or warnings are encountered during the ORESTAR validation process, the filer may edit the transactions and fix any issues that were reported by ORESTAR.
File Transactions	Filer	The filer submits transactions to the SoS CS work queue for examination (this is executed by clicking a button in ORESTAR).
Work Queue	SoS CS	The transactions are displayed in the appropriate SoS CS work queue alphabetically (specific work queue is determined by the first letter of the name of the filer).
Examine for Sufficiency	SoS CS	The SoS Compliance Specialist reviews the transactions to ensure that they are adequately documented and correct.
Send Exam Notification	SoS CS	A report is created based on the SoS CS examination to be available to be viewed by the filer in ORESTAR. If all transactions are sufficiently documented, the transactions go to a completed state.
Amend Transactions	Filer	If some of the transactions are determined to be insufficient (based on the SoS CS examination) the filer must amend the transactions and re-file.

#### Proposed improvements:

- Considering using Socrata (state cloud-based SaaS data warehouse) to allow more advanced access to Campaign Finance data

#### Types of Filers

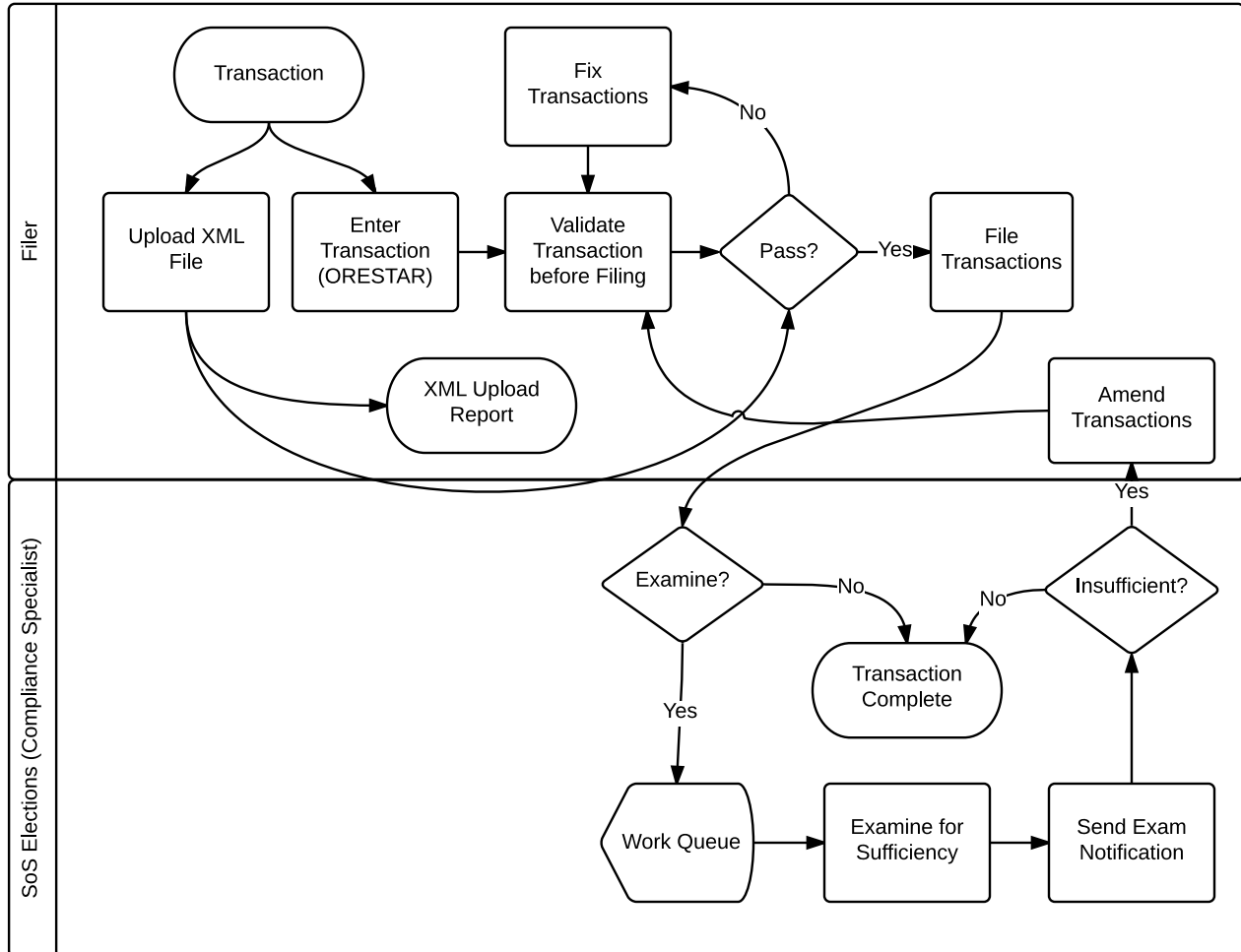
- Petition Committee
- Candidate Committee
- Measure Committee
- Independent Filer

#### Types of Transactions

- Contribution
- Expenditure/Account Payable
- Other Receipt
- Other Disbursement
- Other Account Receivable
- Other



**Campaign Finance Process Workflow Diagram  
Oregon Secretary of State  
ORESTAR Analysis Project**





# **Freedom Counts, LLC**

**30 Evening Tide Way  
Bluffton, SC 29910**

**ORESTAR  
FILE CANDIDACY  
FINAL REPORT**

**Contract Number: 165-1178-15**

**State of Oregon  
Secretary of State  
Elections Division**

**Date: December 18, 2015**

## **EXECUTIVE SUMMARY:**

The Oregon Secretary of State, Elections Division has contracted with Freedom Counts, LLC to identify limitations and capabilities of the ORESTAR FILE CANDIDACY system to help determine the best strategy for maintaining and supporting the application.

To ensure that the Division's ORESTAR FILE CANDIDACY application development, enhancement, documentation and maintenance efforts provide a product that effectively meets the expectations of a sufficient sustainable system the overall project is subdivided into three (3) Sections:

1. Software Operational Evaluation
2. Technical Assessment at the business and technical levels
3. Final Report with a detailed list of ORESTAR recommendations

The information gained through the Software Operation Evaluation and the **Technical Assessment** Evaluations are utilized to complete a detailed list of recommendations for the Final Report.

## **SYNOPSIS SUMMARY FOR ORESTAR FILE CANDIDACY MODULE:**

Provides a method for the candidates to submit their Candidacy Filing for SoS review and approval. Captures and maintains necessary candidacy information for certifying the ballot.

- Strengths
  - Filing process is straight forward and intuitive for filer
  - Few support issues (not many support calls)
  - System filing follows field order of paper form (supports data entry of paper forms)
- Weaknesses
  - Dual entry for candidate filing information (ORESTAR and OCVR)
  - Lack of electronic petition filing process
  - General election candidates are unable to file on-line (requires statutory change)
  - Unable to match/verification of candidates with OCVR (during review/approval process)
  - Searching for candidate (public interface) can be problematic for user

## **RECOMMENDATIONS FOR FILE CANDIDACY MODULE:**

Freedom Counts, LLC recommends to the Oregon Secretary of State, Elections Division the following:

- ☒ Maintain In-house Software – fix current issues through new releases.
- ☐ Replace In-house – develop new software.
- ☐ Replace with Vendor Software – purchase new software through an RFP process.

Additional recommendations:

- ✓ Prioritize all issues and work on fixing software bugs in order of importance.
- ✓ Work on legislative necessary statutory changes

Potential Benefits –

- Improved user actions
- Single entry for candidate filing in ORESTAR/OCVR
- Improved on-line filings



## ORESTAR Operational Assessment Form (File Candidacy)

Conducted for the Oregon Secretary of State

By Freedom Counts, LLC

Purpose of Form: The purpose of this form is to facilitate the assessment of the current features and functionality of the ORESTAR system from a business/operational perspective. The assessment is conducted for a given use case allowing the functionality of the system to be assessed based on a specific user interaction supported by the ORESTAR system.

ORESTAR Module	File Candidacy
Attendees and Contributors	Jim Williams Tami Dettwyler Brenda Bayes Jan Flowers Jeff Hauck
Use Case Name	File Candidacy (Candidate) File Candidacy (SoS Compliance Specialist) Review and Approve (SoS Compliance Specialist)
Owning Business Unit(s)	SoS Elections (Candidate & Campaign Services)
Users/User Groups and Frequency of Use	Candidate - File Candidacy (once per election) SoS CS - File Candidacy/Review and Approve (275 – 325 per primary) SoS CS - File Candidacy/Review and Approve (approx.. 100 per general)
Duration of Use Case	Candidate - File Candidacy (5 to 15 minutes) SoS CS - File Candidacy (5 to 15 minutes) SoS CS - Review and Approve (5 min.)
Business Purpose	Capture and maintain necessary candidacy information for certifying the ballot.
Business Transaction(s)	Registration of candidacy
<b>Functionality Assessment</b>	
Business Drivers for Change	<ul style="list-style-type: none"> <li>• Dual entry for candidate filing information (ORESTAR and OCVR)</li> <li>• Lack of electronic petition filing process</li> <li>• General election candidates should be able to file on-line (requires statutory change)</li> <li>• Match/verification of candidates with OCVR (during review/approval process)</li> </ul>
Operational Efficiency Issues	<ul style="list-style-type: none"> <li>• </li> </ul>
Data Redundancy/Integrity Issues	<ul style="list-style-type: none"> <li>• Dual entry for candidate filing information (ORESTAR and OCVR)</li> </ul>

Search and Data Retrieval	<ul style="list-style-type: none"> <li>Searching for candidate (public interface) can be problematic for user</li> </ul>
Agency Reporting	<ul style="list-style-type: none"> <li></li> </ul>
Non-Disclosure	<ul style="list-style-type: none"> <li></li> </ul>
Positives and Benefits of Current System	<ul style="list-style-type: none"> <li>Filing process is straight forward and intuitive for filer</li> <li>Few support issues (not many support calls)</li> <li>System filing follows filed order of paper form (supports data entry of paper forms)</li> <li></li> </ul>
Features Not Realized	<ul style="list-style-type: none"> <li>Electronic petition filing (similar to Voter's Pamphlet) - development priorities</li> </ul>
Navigation and Flow	<ul style="list-style-type: none"> <li>Filing process is straight forward and intuitive for filer</li> <li>System filing follows filed order of paper form (supports data entry of paper forms)</li> </ul>
Messaging and Error Handling	<ul style="list-style-type: none"> <li>N/A</li> </ul>
Accessibility Issues	<ul style="list-style-type: none"> <li>Interfaces should be tested for accessibility</li> </ul>
System Performance Issues	<ul style="list-style-type: none"> <li>N/A</li> </ul>
System Availability Issues	<ul style="list-style-type: none"> <li>N/A</li> </ul>
User Documentation Assessment	<ul style="list-style-type: none"> <li>User documentation is adequate</li> </ul>
Privacy and Security Issues/Risks	<ul style="list-style-type: none"> <li>Confidential addresses</li> </ul>
User Support Issues	<ul style="list-style-type: none"> <li>N/A</li> </ul>

#### Document Revision, Review and Approval History

Date	Name	Doc. Status	Description
6/11/15	Alan Schamp	Draft	Created initial draft in meeting on 6/11/15.

#### Issues and Action Items

Status	Description	Type	Owner	Due Date
Open	Send document for participant review	Action Item	Alan Schamp	TBD
Open	Review document with IT participants	Action Item	Alan Schamp	TBD
Open	Review document with Elections Director	Action Item	Alan Schamp	TBD



## ORESTAR Analysis Project

### Process Descriptions – File Candidacy (with Fee Payment and Petition) Process Workflow Analysis

Process Name	Team	Description
On-Line Filing		<p>Candidate enters the following information (ORESTAR):</p> <ul style="list-style-type: none"> <li>• Name/Name on Ballot</li> <li>• Addresses (residence and candidate correspondence)</li> <li>• Contact information</li> <li>• Office information</li> <li>• Occupational Background</li> <li>• Educational Background</li> <li>• Prior Government Experience</li> </ul>
Paper Filing	Candidate	<p>Candidate enters the following information (paper forms):</p> <ul style="list-style-type: none"> <li>• Name/Name on Ballot</li> <li>• Addresses (residence and candidate correspondence)</li> <li>• Contact information</li> <li>• Office information</li> <li>• Occupational Background</li> <li>• Educational Background</li> <li>• Prior Government Experience</li> </ul> <p>Filing status – ‘Pending’</p>
Pay Fee	Candidate	<p>Use ORESTAR on-line store (on-line filing)</p> <p>Include check when filing paper forms</p>
Review Filing	SoS - CS	The Compliance Specialist (CS) reviews the paper forms or on-line filing (ORESTAR) to ensure that all required information is included in the filing.
Contact Candidate	SoS - CS	If the filing is incomplete or otherwise insufficient, the SoS CS contacts the candidate/filer using email or phone and informs them of the missing information on the filing.
Amend Filing	Candidate	The Candidate provides the missing or corrected information on the paper forms or by amending the ORESTAR filing.
Enter Filing (ORESTAR)	SoS - CS	<p>Once the paper forms are deemed sufficient, the SoS CS enters the filing information into ORESTAR.</p> <p>Filing status – ‘Pending’</p>

Review Qualifications	SoS - CS	<p>The SoS CS reviews the candidate filing and does research to determine whether the candidate is a qualified candidate (based on age, address, voter registration status).</p> <ul style="list-style-type: none"> <li>• If deemed qualified and the candidate paid the filing fee, the filing status is set to 'Qualified'</li> <li>• If deemed qualified and the candidate is filing a petition, the filing status is set to 'Pending Petition'</li> <li>• If deemed unqualified, the filing status is set to 'Not Qualified'</li> </ul>
Approve Petition	SoS CS	The candidate is notified that they can collect necessary signatures to fulfill the petition.
Collect Signatures	Candidate	The candidate solicits signatures on the Candidate Signature Sheet (paper form) appropriate for the Office/Party.
Submit Signatures	Candidate	The candidate mails the completed Candidate Signature Sheet to the SoS.
Review Signatures	SoS CS	<p>The SoS CS reviews the Candidate Signature Sheet to verify the sufficiency of the petition (Candidate Signature Sheet)</p> <ul style="list-style-type: none"> <li>• If the petition is determined to be sufficient, the ORESTAR filing status is set to "Completed Petition"</li> </ul>
Notify Insufficient	SoS CS	<p>The SoS CS notifies the candidate (phone or email) of the deficiencies in their petition</p> <p>Note: If there is time, the candidate may re-solicit signatures (otherwise they must re-file paying the fee or withdraw their candidacy)</p>

#### Proposed improvements:

- Mandate electronic filing (eliminate SoS data entry and enhance coordination of candidate filings)
- Add a petition process in ORESTAR (currently the process relies exclusively on paper forms)
- 

#### Notes:

The filing of candidacy must be done by the candidate and the candidate must be a registered user in ORESTAR. If the candidate is not already registered in ORESTAR, the instructions for Creating a User Account are located in the ORESTAR User's Manual: Statement of Organization.

Only major political party or nonpartisan candidates for state office, United States Senators or Representatives in Congress may file candidacy for the primary election electronically in ORESTAR. The filing fee must be paid online by credit card at the time of filing. Both VISA and MasterCard are accepted. Candidate filings that are submitted electronically can also be amended or withdrawn electronically, if necessary.

State office includes: Governor, Secretary of State, State Treasurer, Attorney General, Commissioner of the Bureau of Labor and Industries, State Senator, State Representative, Judge of the Supreme Court, Judge of the Court of Appeals, Judge of the Oregon Tax Court, Judge of the Circuit Court, District Attorney, and County Judge positions where the office holder exercises judicial functions.

See the Elections Division candidate manual for deadlines for filing candidacy, including amending the filing, or withdrawing a candidate filing. Manuals are available at <http://www.oregonvotes.org>. All information on a candidacy filing is public record and viewable by the public on ORESTAR. Personal information, such as residence address, home phone number and personal email address of a candidate, can be blocked from public access if the candidate has been granted a public disclosure exemption under ORS 192.445.

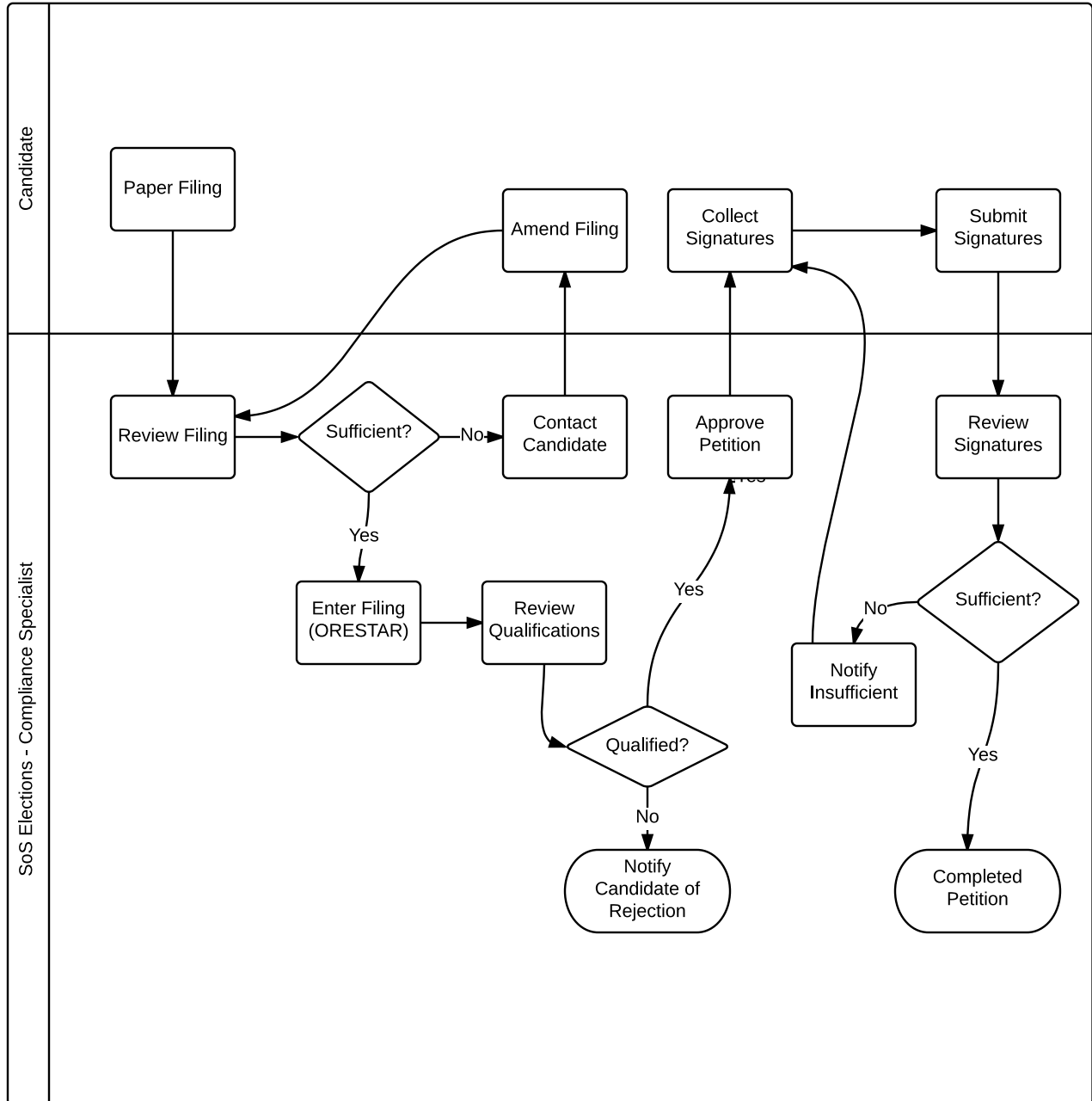
Note: Major political party or nonpartisan candidates using the petition process to gain ballot access, candidates filing a Declaration of Candidacy to fill a vacancy in nomination for the General Election, and minor political party or independent candidates must continue to file using the paper forms. They cannot file candidacy using ORESTAR.

**Filing statuses are:**

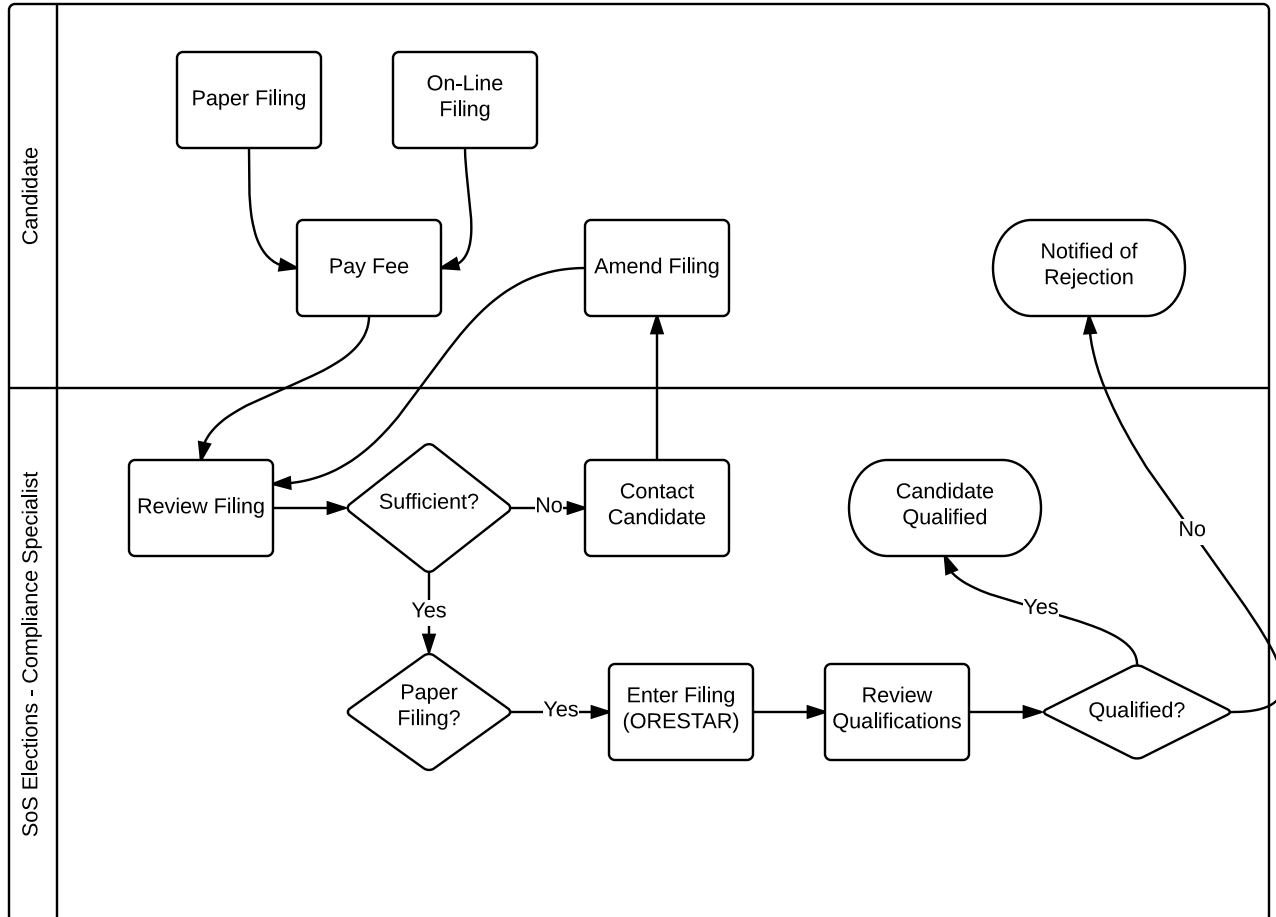
- Pending (yellow): Indicates that the candidate has filed a Declaration of Candidacy with the Elections Division but a determination has not been made as to whether the candidate is qualified for the office designated on the filing.
- Qualified (green): Indicates that the candidate has filed a Declaration of Candidacy and is qualified for the office designated on the filing.
- Not Qualified (red): Indicates that the candidate has filed a Declaration of Candidacy and the Elections Division determined that the candidate is not qualified for the office designated on the filing.
- Work in Progress (blue): Indicates that the candidate has started a Declaration of Candidacy that has not yet been filed with the Elections Division.
- Withdrawn (black): Indicates that the candidate had filed a Declaration of Candidacy, but has chosen to withdraw the filing



File Candidacy (with Petition) Workflow Diagram  
Oregon Secretary of State  
ORESTAR Analysis Project



File Candidacy (with Fee Payment) Workflow Diagram  
Oregon Secretary of State  
ORESTAR Analysis Project





# **Freedom Counts, LLC**

**30 Evening Tide Way  
Bluffton, SC 29910**

**ORESTAR  
COMMITTEE FILER REGISTRATION  
FINAL REPORT**

**Contract Number: 165-1178-15**

**State of Oregon  
Secretary of State  
Elections Division**

**Date: December 18, 2015**

## **EXECUTIVE SUMMARY:**

The Oregon Secretary of State, Elections Division has contracted with Freedom Counts, LLC to identify limitations and capabilities of the ORESTAR COMMITTEE FILER REGISTRATION system to help determine the best strategy for maintaining and supporting the application.

To ensure that the Division's ORESTAR COMMITTEE FILER REGISTRATION application development, enhancement, documentation and maintenance efforts provide a product that effectively meets the expectations of a sufficient sustainable system the overall project is subdivided into three (3) Sections:

1. Software Operational Evaluation
2. Technical Assessment at the business and technical levels
3. Final Report with a detailed list of ORESTAR recommendations

The information gained through the Software Operation Evaluation and the **Technical Assessment** Evaluations are utilized to complete a detailed list of recommendations for the Final Report.

## **SYNOPSIS SUMMARY FOR ORESTAR COMMITTEE FILER REGISTRATION MODULE:**

Provides a method to capture and maintain necessary committee/filer information to support campaign finance information.

- Strengths
  - External user documentation is excellent
  - Navigation and flow from a compliance specialist perspective is reasonably usable
  - The ORESTAR module is much better than the prior application
  - Accessible and transparent to the public
  - Field level validations are helpful for filers
- Weaknesses
  - Issue with paper amendments when partially completed electronic amendments exist (filing is locked and cannot be modified by compliance specialist)
  - Require improved data management over office titles in OCVR to provide consistency with office titles in ORESTAR
  - Requesting access for a new Committee (paper filers only) is cumbersome
  - Has not been specifically tested for accessibility
  - Searching for committees is slow (impacts internal, external and public users)
  - Viewing SOO detail pages is slow (impacts internal, external and public users)
  - Issue with paper amendments when partially completed electronic amendments exist (filing is locked and cannot be modified by compliance specialist)
  - Inability of Compliance Specialist 2 to view user profile information (Identity Management) – causes support issues

## **RECOMMENDATIONS FOR COMMITTEE FILER REGISTRATION MODULE:**

Freedom Counts, LLC recommends to the Oregon Secretary of State, Elections Division the following:

- ☒ Maintain In-house Software – fix current issues through new releases.
- ☐ Replace In-house – develop new software.
- ☐ Replace with Vendor Software – purchase new software through an RFP process.

Additional recommendations:

- ✓ Prioritize all issues and work on fixing software bugs in order of importance.
- ✓ Test system for accessibility

Potential Benefits –

- Improved user actions
- Reduced personnel time for Compliance Specialist
- Full system accessibility



## ORESTAR Operational Assessment Form (File Registration)

Conducted for the Oregon Secretary of State

By Freedom Counts, LLC

Purpose of Form: The purpose of this form is to facilitate the assessment of the current features and functionality of the ORESTAR system from a business/operational perspective. The assessment is conducted for a given use case allowing the functionality of the system to be assessed based on a specific user interaction supported by the ORESTAR system.

ORESTAR Module	<b>Filer Registration</b>
Attendees and Contributors	Jim Williams Tami Dettwyler Brenda Bayes Jennifer Hertel Jeff Hauck
Use Case Name	Filer Registration – Online (Filer) Filer Registration – Paper Forms (Compliance Specialist) Review/Amend Original Online Registration (Compliance Specialist)
Owning Business Unit(s)	SoS Elections
Users/User Groups and Frequency of Use	Candidate Committee (When registration is originally filed or when information changes) Petition Committee (When registration is originally filed or when information changes) PAC (When registration is originally filed or when information changes) Independent Expenditure Filer (When registration is originally filed or when information changes) Compliance Specialist (Daily – almost continually)
Duration of Use Case	Filer Registration – Online (3 – 30 minutes) Filer Registration – Paper Forms (10 – 15 minutes) Review/Amend Online Registration (5 minutes)
Business Purpose	Capture and maintain necessary committee/filer information to support campaign finance information.
Business Transaction(s)	Registration of Committees and IE Filers
<b>Functionality Assessment</b>	
Business Drivers for Change	<ul style="list-style-type: none"> <li>Usable data from OCVR (MDM over office titles and measure names entered by Counties)</li> <li>Issue with paper amendments when partially completed electronic amendments exist (filing is locked and cannot be modified by compliance specialist)</li> <li>Person matching issues – multiple instances of same person (started from data conversion – additional duplicates because of person match algorithms implemented in ORESTAR – defects in have resulted in some duplicates)</li> </ul>

Operational Efficiency Issues	<ul style="list-style-type: none"> <li>• Filer Perspective - Dual attestation – Treasurer and Candidate must attach electronic signature (development to resolve is in-progress)</li> <li>• SoS – Mandate electronic filings (legislative change) – no change to system</li> <li>• Issue with paper amendments when partially completed electronic amendments exist (filing is locked and cannot be modified by compliance specialist)</li> <li>• Additional electronic notifications with filer (notifications and information about rejected and insufficient filings) - development to resolve is in-progress</li> <li>• Usable data from OCVR (MDM over office titles and measure names entered by Counties)</li> <li>• Administrative updates – modifying filing information after submission has defects (audit trail is not accurate) – ORESTAR Administrator must perform these updates - development to resolve is in-progress</li> <li>• Inability to view data related to work-in-progress by filer (causes support issues) - development to resolve is in-progress</li> <li>• Inability of Compliance Specialist 2 to view user profile information (Identity Management) – causes support issues (Note: Development to resolve this issue is planned after MotoVoter project is completed)</li> </ul>
Data Redundancy/Integrity Issues	<ul style="list-style-type: none"> <li>• Usable data from OCVR (MDM over office titles and measure names entered by Counties)</li> <li>• Person matching issues – multiple instances of same person (started from data conversion – additional duplicates because of person match algorithms implemented in ORESTAR – defects in have resulted in some duplicates)</li> </ul>
Search and Data Retrieval	<ul style="list-style-type: none"> <li>• Special Characters – finding filer is impacted if there are special characters in the name of the Committee/filer</li> </ul>
Agency Reporting	<ul style="list-style-type: none"> <li>• Ad hoc reporting (performed by ORESTAR Admin.) – no major issues</li> </ul>
Non-Disclosure	<ul style="list-style-type: none"> <li>• Success is dependent of staff verifying whether non-disclosure applies (by using non-disclosure module independently) - development to resolve is in-progress</li> <li>• Complicated by person matching issues</li> </ul>
Positives and Benefits of Current System	<ul style="list-style-type: none"> <li>• External user documentation is excellent (support issues when not followed)</li> <li>• Navigation and flow from a compliance specialist perspective is reasonably usable</li> <li>• The ORESTAR module is much better than the prior application</li> <li>• Accessible and transparent to the public</li> <li>• Field level validations are helpful for filers</li> </ul>
Features Not Realized	<p><u>Features currently in development</u></p> <ul style="list-style-type: none"> <li>• Filer Perspective - Dual attestation – Treasurer and Candidate must attach electronic signature</li> <li>• Additional electronic notifications with filer (notifications and information about rejected and insufficient filings)</li> <li>• Administrative updates – modifying filing information after submission has defects (audit trail is not accurate) – ORESTAR Administrator must perform these updates</li> <li>• Inability to view data related to work-in-progress by filer (causes support issues)</li> </ul>

	<ul style="list-style-type: none"> <li>Inability of Compliance Specialist 2 to view user profile information (Identity Management) – causes support issues</li> </ul> <p><u>Features Not Currently in Development</u></p> <ul style="list-style-type: none"> <li>Issue with paper amendments when partially completed electronic amendments exist (filing is locked and cannot be modified by compliance specialist)</li> <li>Usable data from OCVR (MDM over office titles and measure names entered by Counties)</li> </ul>
<b>Usability Assessment</b>	
Navigation and Flow	<ul style="list-style-type: none"> <li>From a filer perspective, the interface is not particularly intuitive (need to follow user manuals)</li> <li>Field level validations are helpful for filers</li> <li>Requesting access for a new Committee (paper filers only) is cumbersome (unintuitive for filers)</li> </ul>
Messaging and Error Handling	<ul style="list-style-type: none"> <li>“an error has occurred” (HTTP, security, application) message causes support issues - development to resolve is in-progress</li> </ul>
Accessibility Issues	<ul style="list-style-type: none"> <li>Has not been specifically tested for accessibility (no known support issues around accessibility)</li> </ul>
System Performance Issues	<ul style="list-style-type: none"> <li>Searching for committees is slow (impacts internal, external and public users)</li> <li>Viewing SOO detail pages is slow (impacts internal, external and public users)</li> </ul>
System Availability Issues	<ul style="list-style-type: none"> <li>System outages due to server downtime have become much less frequent within the last year</li> </ul>
User Documentation Assessment	<ul style="list-style-type: none"> <li>External user documentation is excellent (support issues when not followed)</li> <li>Currently working on improving user documentation for internal users (esp., compliance specialists)</li> </ul>
Privacy and Security Issues/Risks	<ul style="list-style-type: none"> <li>Filer bank account information is stored and is not public record</li> </ul>
User Support Issues	<ul style="list-style-type: none"> <li>Issue with paper amendments when partially completed electronic amendments exist (filing is locked and cannot be modified by compliance specialist)</li> <li>Inability of Compliance Specialist 2 to view user profile information (Identity Management) – causes support issues</li> <li>From a filer perspective, the interface is not particularly intuitive (need to follow user manuals)</li> </ul>



#### Document Revision, Review and Approval History

Date	Name	Doc. Status	Description
6/4/15	Alan Schamp	Draft	Created initial draft in meeting on 6/3/15.

#### Issues and Action Items

Status	Description	Type	Owner	Due Date
Open	Send document for participant review	Action Item	Alan Schamp	6/4/15
Open	Review document with IT participants	Action Item	Alan Schamp	TBD
Open	Review document with Elections Director	Action Item	Alan Schamp	TBD



## ORESTAR Analysis Project

### Process Descriptions – Committee/Filer Process Workflow Analysis

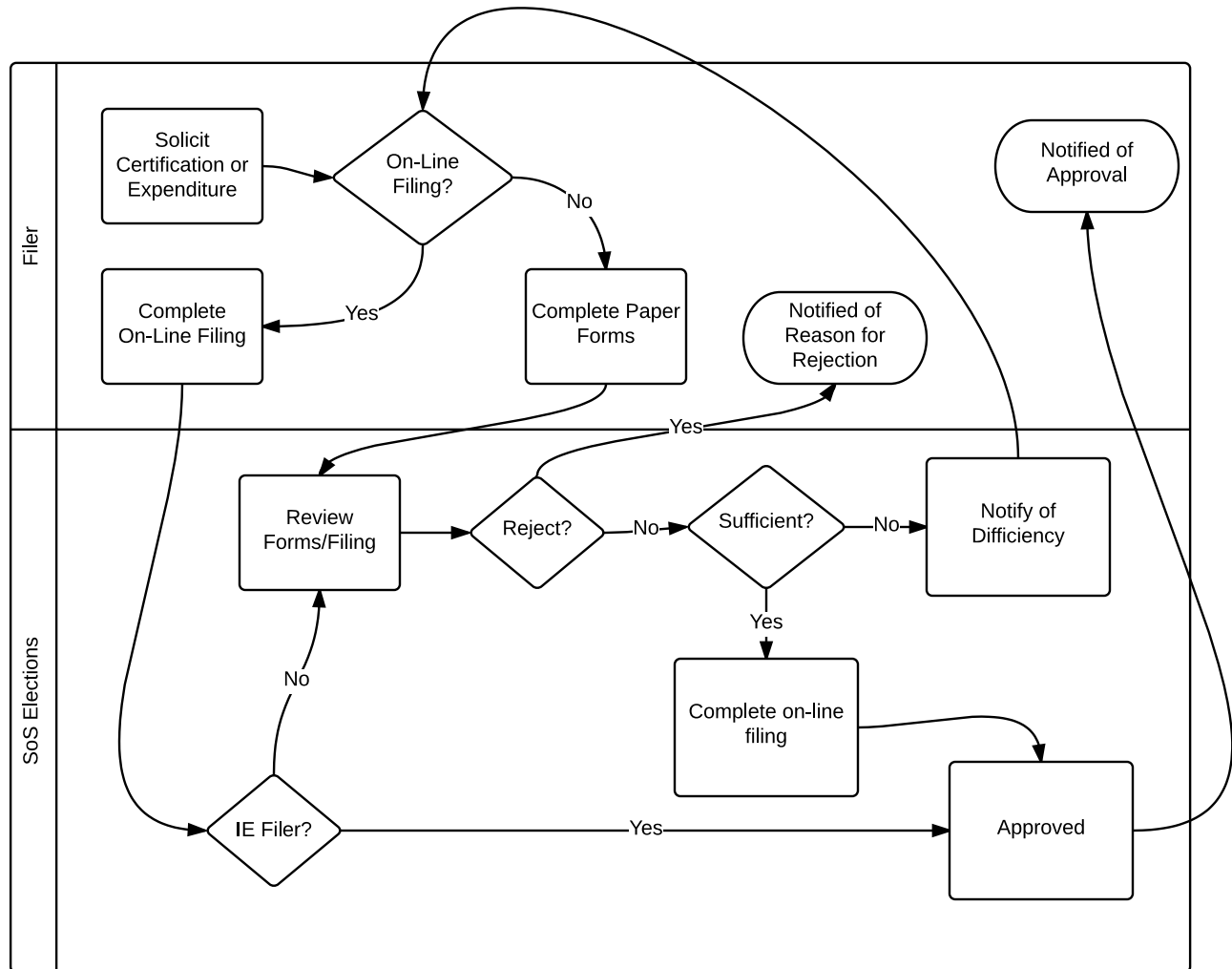
Process Name	Team	Description
Solicit Certification or Expenditure	Filer	A candidate committee must file a Statement of Organization within three business days of first receiving a contribution or making expenditure and no later than the deadline for filing a nominating petition, declaration of candidacy, or certificate of nomination.
Complete On-Line Filing	Filer	<p>The filer creates a Statement of Organization and Campaign Account using the ORESTAR on-line Filer Registration module.</p> <p>Note: IE Filers must file through the on-line application Note: on-line filing status – “Pending Approval”</p>
Complete Paper Forms	Filer	<p>A filer must complete and mail or fax one of the following paper forms to the SoS:</p> <ul style="list-style-type: none"> <li>Form SEL 220: Statement of Organization for Candidate Committee</li> <li>Form SEL 221: Statement of Organization for Political Action Committee</li> <li>Form SEL 222: Statement of Organization for Petition Committee</li> </ul> <p>A filer must also complete and mail or fax the following paper form to the SoS:</p> <ul style="list-style-type: none"> <li>Form SEL 223: Campaign Account Information</li> </ul>
Review Forms/Filing	SoS – Compliance Spec.	<p>An SoS Compliance Specialist (CS) reviews the paper documents or on-line filing.</p> <p>Verification of Filing Information:</p> <ul style="list-style-type: none"> <li>If the filing is for a “Petition Committee” -&gt; The SoS CS Contacts County to verify petition data</li> <li>If the filing is for a “Candidate Committee” -&gt; The SoS CS looks on the County website or contacts the County to verify that the Office Title is accurate (Title is added to the ORESTAR Lookup table if it does not exist)</li> <li>If the filing is for a “Measure Committee” (type of PAC) -&gt; The SoS CS looks on the County website or contacts the County to verify that the Measure Title is accurate (Title is added to the ORESTAR Lookup table if it does not exist)</li> <li>If the CS determines that the filing is correct and complete, then the filing is approved. Note: on-line filing status – “Approved”</li> </ul>

		<ul style="list-style-type: none"> <li>• If the CS determines that the filing is a duplicate or that the Committee does not need to file, then the filing is rejected and the filer is notified (email or phone call). Note: on-line filing status – “Rejected”</li> <li>• If the CS determines that the filing does not contain sufficient information, then the filer is notified (email or phone call). Note: on-line filing status – “Pending Insufficient”</li> </ul>
Complete On-line Filing	SoS – Compliance Spec.	<p>When paper forms are submitted the SoS CS enters information through the ORESTAR File Registration module.</p> <p>Note: on-line filing status – “Approved”</p>
Notify of Deficiency	SoS – Compliance Spec.	If the filing information is determined to be insufficient, the SoS CS notifies the filer to resubmit filing with necessary information.
Filing Approved	SoS – Compliance Spec.	<p>If the CS determines that the filing is correct and complete, then the filing is approved.</p> <p>Note: on-line filing status – “Approved”</p> <p>Note: This is determined during the Review Forms/Filing process</p>

Proposed improvements:

- Workflow support to force SoS to check for duplicates (in progress)
- Automate notifications of insufficiencies and rejections
- Mandate on-line filing (legislative change)
- Need to assess MDM over office/measure/etc. titles to streamline (or eliminate need for) verifications with Counties

**File Registration Workflow Diagram  
Oregon Secretary of State  
ORESTAR Analysis Project**





# **Freedom Counts, LLC**

**30 Evening Tide Way  
Bluffton, SC 29910**

**ORESTAR  
VOTER PAMPHLET  
FINAL REPORT**

**Contract Number: 165-1178-15**

**State of Oregon  
Secretary of State  
Elections Division**

**Date: December 18, 2015**

## **EXECUTIVE SUMMARY:**

The Oregon Secretary of State, Elections Division has contracted with Freedom Counts, LLC to identify limitations and capabilities of the ORESTAR VOTER PAMPHLET system to help determine the best strategy for maintaining and supporting the application.

To ensure that the Division's ORESTAR PAMPHLET application development, enhancement, documentation and maintenance efforts provide a product that effectively meets the expectations of a sufficient sustainable system the overall project is subdivided into three (3) Sections:

1. Software Operational Evaluation
2. Technical Assessment at the business and technical levels
3. Final Report with a detailed list of ORESTAR recommendations

The information gained through the Software Operation Evaluation and the **Technical Assessment** Evaluations are utilized to complete a detailed list of recommendations for the Final Report.

## **SYNOPSIS SUMMARY FOR ORESTAR VOTER PAMPHLET MODULE:**

The Oregon Voters' Pamphlet contains information about candidates, ballot measures and political parties, as well as details about the election process. To provide information about candidates and measures to voters prior to elections to facilitate voters making informed decisions the following is contained in the Voter Pamphlet:

- ❖ Candidate Statement
  - ❖ Precinct Committeeperson Statement
  - ❖ Political Party Statement
  - ❖ Statement by Political Party or Assembly of Electors
  - ❖ Measure Argument
  - ❖ Estimate of Financial Impact
  - ❖ Explanatory Statement
  - ❖ Argument in Support of Legislative Referral
  - ❖ Citizens Initiative Review Commission
  - ❖ County or Metropolitan Service District Measures
- Strengths
    - The policy of requiring mandatory electronic filing for Voters' Pamphlet
    - Current system is customized to Oregon legal requirements and policies
    - Filer user interface is fairly intuitive
    - Text editor limitations support constraining formatting used by filers (configurable by SoS to provide flexibility and uniformity)
    - Automated petition process – generation of signature sheets and email approval
    - XML and HTML file generation functions support automation of creating a large number of files/objects
  - Weaknesses
    - Lack of a public search before filing deadline (search for information about which committees have filed).
    - Tracking of endorsement, word count and photo issues –tracking insufficiencies in filings and documenting notifications and resolutions with filers (to track the status of filings)
    - Allow filer to pre-populate information from previous filings
    - Novice computer users (filers) may have difficulty with text editor
    - Should be fully tested for accessibility

### **RECOMMENDATIONS FOR VOTER PAMPHLET MODULE:**

Freedom Counts, LLC recommends to the Oregon Secretary of State, Elections Division the following:

- ☒ Maintain In-house Software – fix current issues through new releases.
- ☐ Replace In-house – develop new software.
- ☐ Replace with Vendor Software – purchase new software through an RFP process.

Additional recommendations:

- ✓ Prioritize all issues and work on fixing software bugs in order of importance.
- ✓ Test system for accessibility

Potential Benefits –

- Improved user actions
- Full system accessibility



## ORESTAR Operational Assessment Form (Voters' Pamphlet)

Conducted for the Oregon Secretary of State

By Freedom Counts, LLC

Purpose of Form: The purpose of this form is to facilitate the assessment of the current features and functionality of the ORESTAR system from a business/operational perspective. The assessment is conducted for a given use case allowing the functionality of the system to be assessed based on a specific user interaction supported by the ORESTAR system.

ORESTAR Module	Voters' Pamphlet
Attendees and Contributors	Jim Williams Summer Davis Tami Dettwyler Brenda Bayes Jeff Hauck
Use Case Name	Create Filing (Filer, SoS CS) Pay Fee (Filer) Incorporate Corrections for Filings (SoS CS) Generate XML Files (SoS CS) Generate Official On-Line Voters' Guide (SoS CS) Generate Military and Overseas Voters' Guide (SoS CS) Amend Filing (Filer) Review and Approve Petition for Circulation (SoS CS) Complete Petition Filing (SoS CS) Print Filings and Endorsements (SoS CS) Assignment of Filing to Folders and Printing of Folder Inventory Sheets (SoS CS) Sync Voters' Pamphlet Filings with Candidate Filings - State Offices (SoS ORESTAR Admin.) Enter State Measure Information (SoS CS) Map Local Offices to Elections (SoS ORESTAR Admin.) Set Up Book Structure (SoS ORESTAR Admin.)
Owning Business Unit(s)	SoS Elections – Candidate & Campaign Services
Users/User Groups and Frequency of Use	Filers/Committee Members SoS Compliance Specialist SoS ORESTAR Administrator
Duration of Use Case	Create Filing (5 min. – 1 hour) Pay Fee Incorporate Corrections for Filings (1 – 10 min.) Generate XML Files Generate Official On-Line Voters' Guide Generate Military and Overseas Guide Amend Filing (1 min. – 1 hour) Review and Approve Petition for Circulation Complete Petition Filing Print Filings and Endorsements (several hours) Set Up Book Structure (SoS ORESTAR Admin.)



Business Purpose	<p>To provide information about candidates and measures to voters prior to elections to facilitate voters making informed decisions.</p> <p>The Oregon Voters' Pamphlet contains information about candidates, ballot measures and political parties, as well as details about the election process.</p>
Business Transaction(s)	<ul style="list-style-type: none"> <li>• Candidate Statement</li> <li>• Precinct Committeeperson Statement</li> <li>• Political Party Statement</li> <li>• Statement by Political Party or Assembly of Electors</li> <li>• Measure Argument</li> <li>• Estimate of Financial Impact</li> <li>• Explanatory Statement</li> <li>• Argument in Support of Legislative Referral</li> <li>• Citizens Initiative Review Commission</li> <li>• County or Metropolitan Service District Measures</li> </ul>
<b>Functionality Assessment</b>	
Business Drivers for Change (General Assessment)	<ul style="list-style-type: none"> <li>• Ability to handle large numbers of arguments paid for by one person/organization (issue with credit card limits for large payments)</li> </ul>
Operational Efficiency Issues	<ul style="list-style-type: none"> <li>• Defects impact automated functions - error prone requiring manual interventions and workarounds (e.g., Generate XML files, Generate Official On-line Voters' Guide, Generate Military/Overseas Voters' Guide, and printing filings/endorsements)</li> <li>• Manual tracking of endorsements (e.g., word count and photo issues) – tracking insufficiencies in filings and documenting notifications and resolutions with filers (to track the status of filings)</li> </ul>
Data Redundancy/Integrity Issues	<ul style="list-style-type: none"> <li>• Ballot name on candidate filings and voters' pamphlet filings (names must be manually synced)</li> </ul>
Search and Data Retrieval	<ul style="list-style-type: none"> <li>• Implement a default value for Election for searching for filings by internal SoS users (ORESTAR control value)</li> </ul>
Agency Reporting	<ul style="list-style-type: none"> <li>• Ad hoc reporting (ORESTAR Admin.) – no major issues</li> </ul>
Non-Disclosure	<ul style="list-style-type: none"> <li>• Candidate PI is stored (non-public information)</li> <li>• Filing information must not be published until the 4<sup>th</sup> day after the filing deadline</li> </ul>
Positives and Benefits of Current System	<ul style="list-style-type: none"> <li>• Policy of requiring mandatory electronic filing for Voters' Pamphlet</li> <li>• Filer user interface is fairly intuitive</li> <li>• Text editor limitations support constraining formatting used by filers (configurable by SoS to provide flexibility and uniformity)</li> <li>• Automated petition process – generation of signature sheets and email approval</li> <li>• XML and HTML file generation functions support automation of creating a large number of files/objects (esp., if defects were addressed)</li> </ul>
Features Not Realized	<ul style="list-style-type: none"> <li>• Lack of a public search before filing deadline (search for information about which committees have filed).</li> <li>• Tracking of endorsement, word count and photo issues –tracking insufficiencies in filings and documenting notifications and resolutions with filers (to track the status of filings)</li> <li>• Allow filer to pre-populate information from previous filings</li> </ul>
<b>Usability Assessment</b>	

Navigation and Flow	<ul style="list-style-type: none"> <li>• Novice computer users (filers) may have difficulty with text editor</li> <li>• Filer user interface is fairly intuitive</li> </ul>
Messaging and Error Handling	<ul style="list-style-type: none"> <li>• “Malformed exceptions” when generating PDF’s with unhandled special characters – expand the special characters handled by function</li> </ul>
Accessibility Issues	<ul style="list-style-type: none"> <li>• Should be fully tested for accessibility</li> </ul>
System Performance Issues	<ul style="list-style-type: none"> <li>• Overall on-line response time is sometimes slow (no clear pattern in terms of timing)</li> </ul>
System Availability Issues	<ul style="list-style-type: none"> <li>• Same as other ORESTAR modules</li> </ul>
User Documentation Assessment	<ul style="list-style-type: none"> <li>• Need better desk procedures for SoS CS (ORESTAR Doc’s are adequate)</li> <li>• External user documentation is good</li> </ul>
Privacy and Security Issues/Risks	<ul style="list-style-type: none"> <li>• Candidate PI is stored (non-public information)</li> <li>• Filing information must not be published until the 4<sup>th</sup> day after the filing deadline</li> </ul>
User Support Issues	<ul style="list-style-type: none"> <li>• Filers are generally satisfied with SoS support</li> <li>• Last few days before filing deadline – majority of support calls (not enough to handle calls during peak support)</li> </ul>
System Administration Issues	<ul style="list-style-type: none"> <li>•</li> </ul>
Election Preparation	<ul style="list-style-type: none"> <li>•</li> </ul>

#### Document Revision, Review and Approval History

Date	Name	Doc. Status	Description
6/24/15	Alan Schamp	Draft	Created initial draft in meeting on 6/24/15.

#### Issues and Action Items

Status	Description	Type	Owner	Due Date
Completed	Send document for participant review	Action Item	Alan Schamp	6/24/2015
Open	Review document with Elections Director	Action Item	Alan Schamp	TBD



## ORESTAR Analysis Project

### Process Descriptions – Voter’s Pamphlet Process Workflow Analysis

Process Name	Team	Description
<b>Voter’s Pamphlet Set Up</b>		
Contact County (email)	SoS	SoS CS contacts all of the 36 Counties to determine whether they are going to publish their own voter’s pamphlet for an up-coming election. If not, the SoS CS inquires whether the County will do an insert into the State Voter’s Pamphlet.
Inter-Gov. Agreement	SoS	If the County will do an insert into the State Voter’s Pamphlet, an Inter-government Agreement is sent to the County.
Submit List of Open Offices	County	If the County is not doing a voter’s pamphlet they need to submit a list of office titles to be entered into ORESTAR.
Map Offices to Elections	SoS	The local office titles must be mapped to the election in ORESTAR.
Set Up Book Structure	SoS	ORESTAR configuration for the Voter’s Pamphlet for an election.
Enter State Measure Info.	SoS	Enter text and Ballot Title in ORESTAR.
<b>Filing Process</b>		
Create New Filing	Filer	<p>Filer enters the filing into ORESTAR, including the information to be included in the Voter’s Pamphlet.</p> <p>Types of Filings:</p> <ul style="list-style-type: none"> <li>• Candidate Statement</li> <li>• Precinct Committeeperson Statement</li> <li>• Political Party Statement</li> <li>• Statement by Political Party or Assembly of Electors</li> <li>• Measure Argument</li> <li>• Estimate of Financial Impact</li> <li>• Explanatory Statement</li> <li>• Argument in Support of Legislative Referral</li> <li>• Citizens Initiative Review Commission</li> <li>• County or Metropolitan Service District Measures</li> </ul>
Pay Fee	Filer	<p>The Filer may need to pay a fee using the ORESTAR on-line store.</p> <p>Types of Filings that require fee payment: (not sure I have the following correct)</p> <ul style="list-style-type: none"> <li>• Candidate Statement</li> <li>• Political Party Statement</li> <li>• Measure Argument</li> </ul>
Delay	SoS	The SoS waits until the filing deadline start reviewing the filings.

Print Filing	SoS	The ORESTAR pamphlet filings are printed for review.
3-Day Review	SoS	The SoS has three days to review the filings for compliance and sufficiency.
Generate Military and Overseas Guide	SoS	The filing information is used to create HTML for the Military and Overseas Voter's Guide (using InDesign?).
Contact Filers for Corrections	SoS	The SoS CS contacts the filers to make corrections if there are issues (email or phone).
Incorporate Corrections	SoS	The SoS CS makes corrections to the filing in ORESTAR.
Generate XML Files	SoS	The SoS CS executes an ORESTAR function that generates XML files with the information in the filings for the election.
Import Files into InDesign	SoS	The XML files generated from ORESTAR are imported into the desktop publishing software (InDesign).
Proof Read Filing Results	SoS	The information from the filings for the Voter's Pamphlet is proof read to ensure the publishing process will be properly formatted and complete.
Make Corrections	SoS	The SoS CS makes corrections in the desktop publishing software and the ORESTAR filing.
Consolidate and Review	SoS	The separate files are consolidated into a single file for the election. The consolidated results are reviewed to ensure proper formatting after the merge (performed in the desktop publishing software?).
Generate Official On-line Voter's Guide	SoS	The HTML for the on-line Voter's Guide is generated from InDesign.  This HTML is used to over-write the Military and Overseas Voter's Guide.
Review Petition	SoS	The petition submitted by the filer is reviewed for sufficiency.
Amend Petition	SoS	If the petition is insufficient, the filer will need to amend the petition and re-submit it to the SoS.  Note: If there is not time before the filing deadline, the filer will need to pay a fee or drop the filing.
Gather Signatures	Filer	The filer is provided with necessary information and forms to capture signatures.
Approve by Officer	Filer	An officer of the committee must sign the signature form to indicate approval of the signatures gathered.
Submit Signatures	Filer	All necessary forms for the petition are submitted to the SoS.
Review and Tally	SoS	The SoS CS reviews the signature forms for sufficiency and determines whether adequate signatures were gathered.
Trigger Acceptance Letter	SoS	If the petition is approved, the SoS CS executes an ORESTAR function that sends an acceptance letter to the filer.
<b>File Local Measure</b>		
Submit Local Measure Filing	County	A County worker submits information on a local Measure to be included in the Voter's Pamphlet.
Tie Local Measure to Election	SoS	The SoS CS adds the local measure to the ORESTAR election setup.

Create Filing (ORESTAR)	SoS	The SoS CS creates the filing in ORESTAR.
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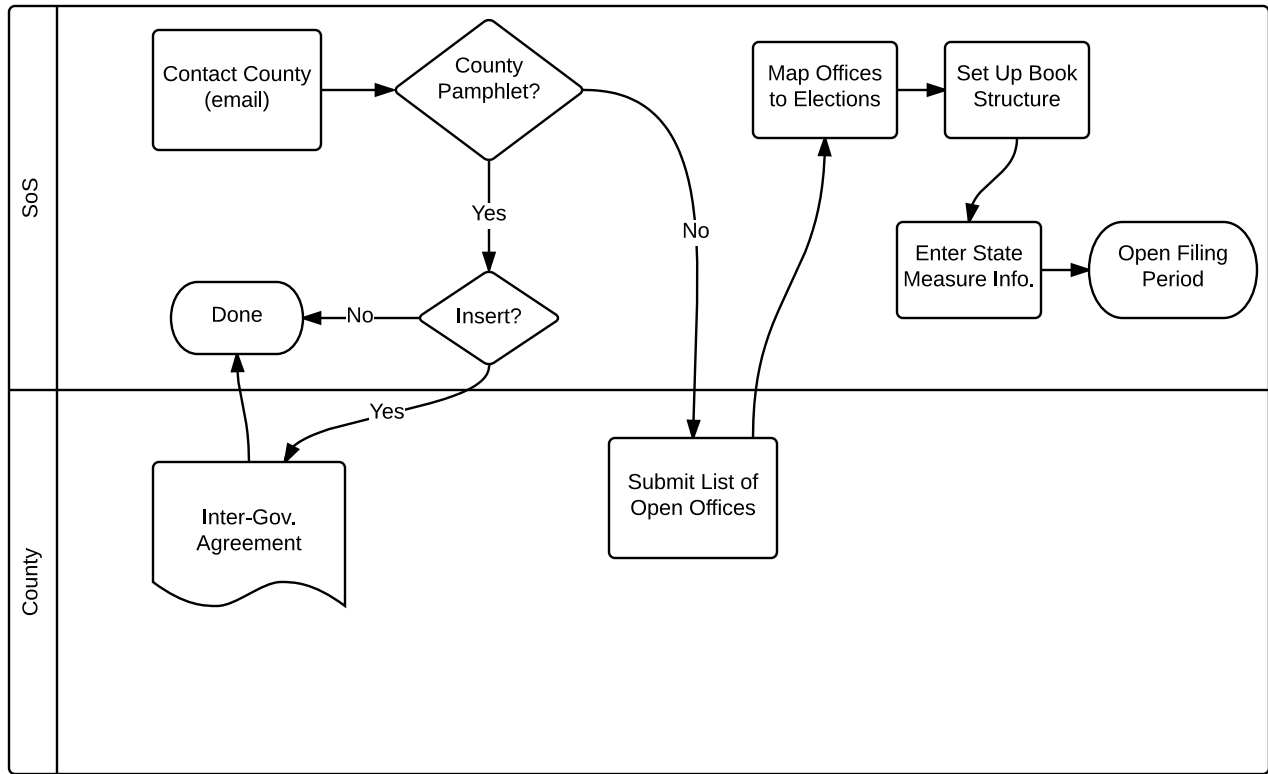
Proposed improvements:

- 

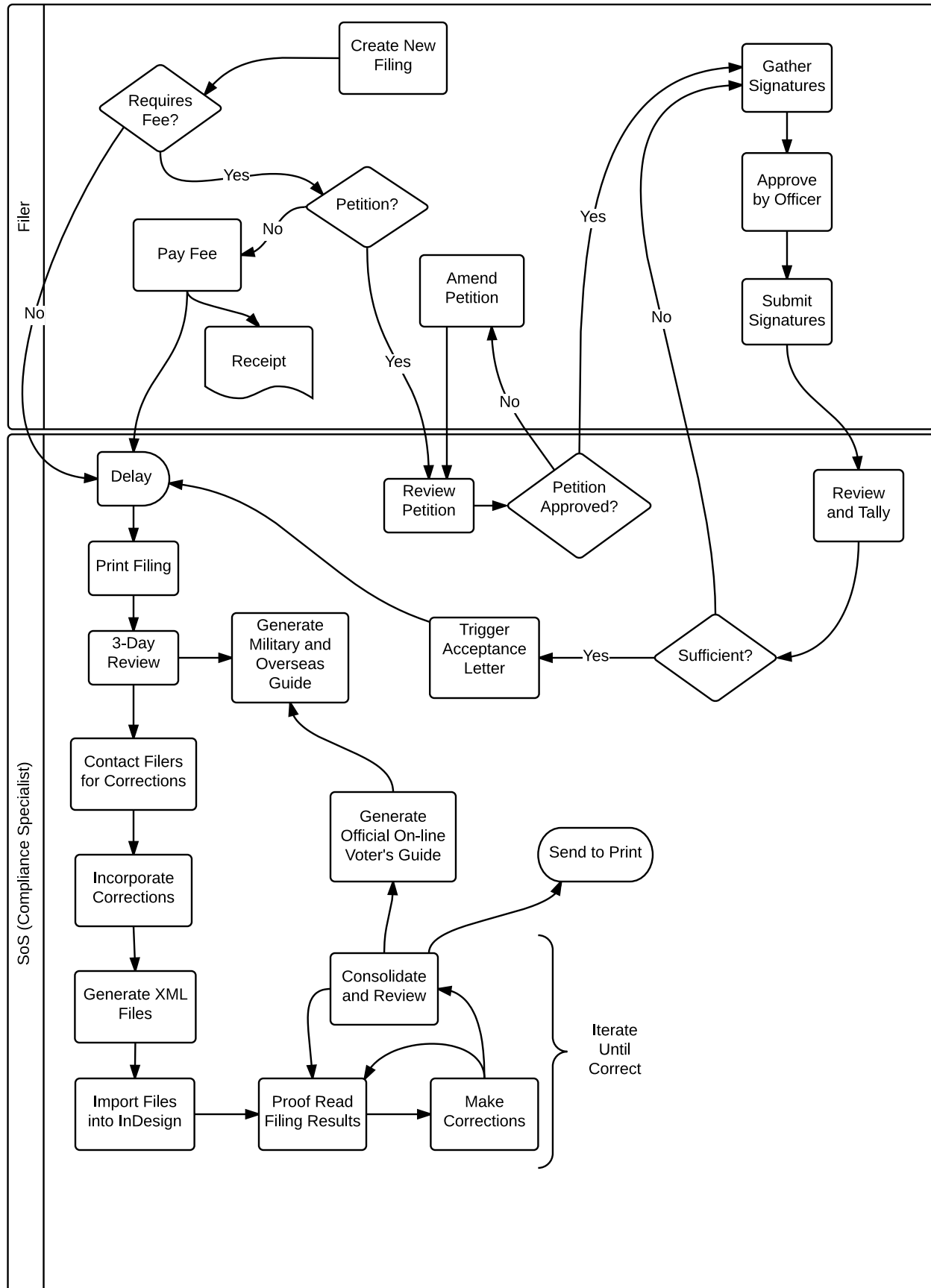
Types of Filings:

- Candidate Statement
- Precinct Committeeperson Statement
- Political Party Statement
- Statement by Political Party or Assembly of Electors
- Measure Argument
- Estimate of Financial Impact
- Explanatory Statement
- Argument in Support of Legislative Referral
- Citizens Initiative Review Commission
- County or Metropolitan Service District Measures

Voter's Pamphlet Workflow - Set Up  
Oregon Secretary of State  
ORESTAR Analysis Project

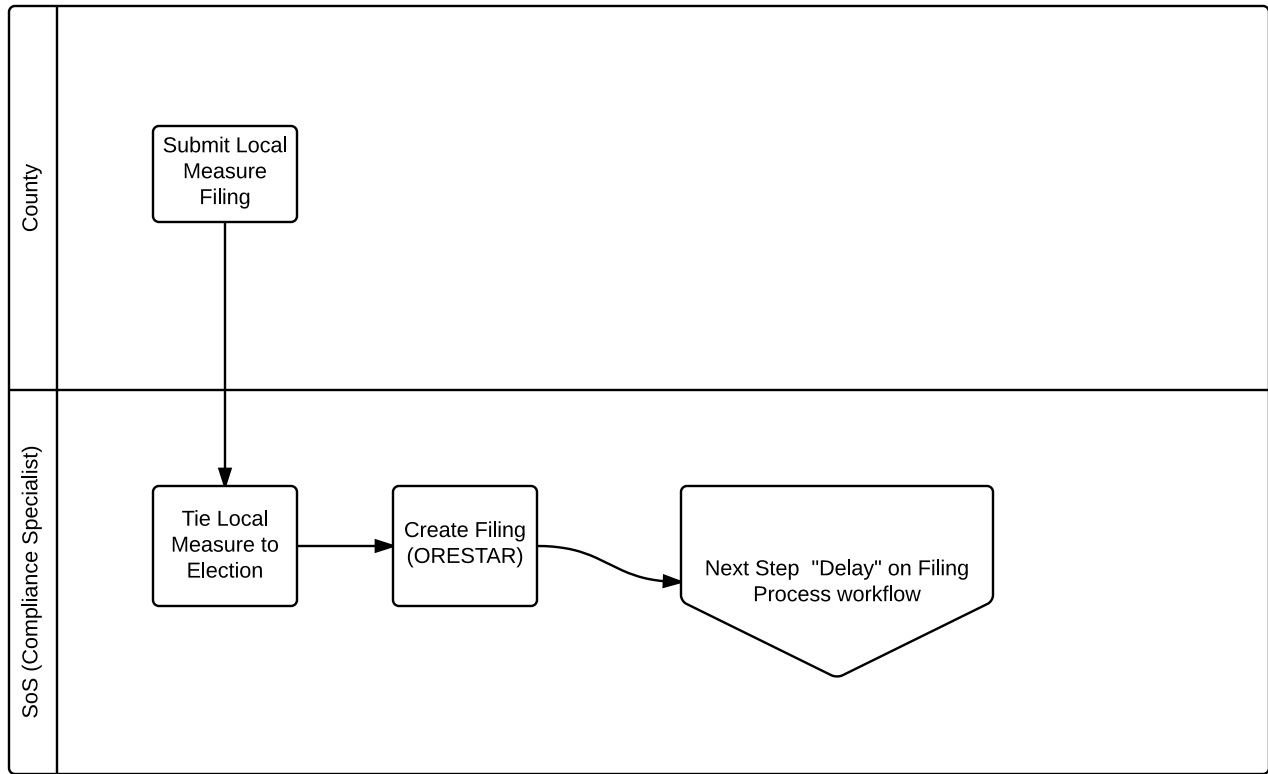


**Voter's Pamphlet Workflow - Filing Process**  
**Oregon Secretary of State**  
**ORESTAR Analysis Project**





Voter's Pamphlet Workflow - File Local Measure  
Oregon Secretary of State  
ORESTAR Analysis Project





# **Freedom Counts, LLC**

**30 Evening Tide Way  
Bluffton, SC 29910**

**ORESTAR  
COMPLAINTS & VIOLATIONS  
FINAL REPORT**

**Contract Number: 165-1178-15**

**State of Oregon  
Secretary of State  
Elections Division**

**Date: December 18, 2015**

## **EXECUTIVE SUMMARY:**

The Oregon Secretary of State, Elections Division has contracted with Freedom Counts, LLC to identify limitations and capabilities of the ORESTAR COMPLAINTS & VIOLATIONS system to help determine the best strategy for maintaining and supporting the application.

To ensure that the Division's ORESTAR COMPLAINTS & VIOLATIONS application development, enhancement, documentation and maintenance efforts provide a product that effectively meets the expectations of a sufficient sustainable system the overall project is subdivided into three (3) Sections:

1. Software Operational Evaluation
2. Technical Assessment at the business and technical levels
3. Final Report with a detailed list of ORESTAR recommendations

The information gained through the Software Operation Evaluation and the **Technical Assessment** Evaluations are utilized to complete a detailed list of recommendations for the Final Report.

## **SYNOPSIS SUMMARY FOR ORESTAR COMPLAINTS & VIOLATIONS MODULE:**

To identify, calculate penalties for and track violations associated with late and insufficient Campaign Finance transactions.

- Strengths
  - Automated letter generation increases staff productivity
  - Automated action generation guides the user through actions needed to be performed on cases (with automatic deadline calculation)
  - Case documents are stored in the database with the case and are easily accessible (electronic files are "official case records")
  - Automated penalty calculations
  - Automated penalty reductions based on amended campaign finance transactions
  - Automatically updates persons based on amended SOO's
  - Ability to dynamically add/modify case actions and configure deadlines
- Weaknesses
  - Receipt letters could be automated
  - Report generation could be automated
  - Ticklers that case actions are coming due
  - Public search for cases (after waiting period after PPN is generated)
  - Ability to send email and track phone calls related to the case – see contacts related to case
  - Generate cases through ORESTAR function (as opposed to SQL script)

## **RECOMMENDATIONS FOR COMPLAINTS & VIOLATIONS MODULE:**

Freedom Counts, LLC recommends to the Oregon Secretary of State, Elections Division the following:

- ☒ Maintain In-house Software – fix current issues through new releases.
- ☐ Replace In-house – develop new software.
- ☐ Replace with Vendor Software – purchase new software through an RFP process.

Additional recommendations:

- ✓ Prioritize all issues and work on software enhancements and fixing bugs in order of importance.
- ✓ Focus on adding public search capability to module

Potential Benefits –

- Improved user actions
- Full system accessibility



## ORESTAR Operational Assessment Form (Complaints & Violations)

Conducted for the Oregon Secretary of State

By Freedom Counts, LLC

Purpose of Form: The purpose of this form is to facilitate the assessment of the current features and functionality of the ORESTAR system from a business/operational perspective. The assessment is conducted for a given use case allowing the functionality of the system to be assessed based on a specific user interaction supported by the ORESTAR system.

ORESTAR Module	Complaints & Violations
Invitees and Reviewers	Jim Williams Jennifer Hertel Alana Cox Tami Dettwyler Brenda Bayes Jeff Hauck
Attendees	Jennifer Hertel Tami Dettwyler Brenda Bayes
Use Case Name	Generate Cases (ORESTAR Admin. – SQL Script) Review Case (SoS CS 2 & 3) Update Case Actions (SoS CS) Modify and Submit Campaign Finance Transactions (Filer) Amend Penalty Calculation (SoS CS)
Owning Business Unit(s)	SoS Elections – Candidate & Campaign Services
Users/User Groups and Frequency of Use	Filers/Committee Members SoS Compliance Specialist
Duration of Use Case	
Business Purpose	To identify, calculate penalties for and track violations associated with late and insufficient Campaign Finance transactions.  The use of this ORESTAR module may be expanded to include tracking for other elections related complaints and violations, including: voters' pamphlet violations, misuse of public resources, voter fraud and campaign/candidate alleged violations.
Business Transaction(s)	<ul style="list-style-type: none"> <li>Campaign Finance violations</li> </ul>
<b>Functionality Assessment</b>	
Business Drivers for Change (General Assessment)	<ul style="list-style-type: none"> <li>Expand the use of C&amp;V to handle the following types of violations (these are currently tracked manually through Excel) : voters' pamphlet violations, misuse of public resources, voter fraud and campaign/candidate alleged violations</li> </ul>
Operational Efficiency Issues	<ul style="list-style-type: none"> <li>Receipt letters could be automated</li> <li>Report generation could be automated</li> <li>Ticklers that case actions are coming due</li> </ul>
Data Redundancy/Integrity Issues	N/A

Search and Data Retrieval	<ul style="list-style-type: none"> <li>No public search for cases</li> </ul>
Agency Reporting	<ul style="list-style-type: none"> <li>Ad hoc reporting – ORESTAR Admin.</li> <li>A monthly report of cases with penalties greater than or equal to \$50</li> </ul>
Non-Disclosure	<ul style="list-style-type: none"> <li>Re-uses addresses already associated with person and marked as non-disclosed</li> </ul>
Positives and Benefits of Current System	<ul style="list-style-type: none"> <li>Much better than prior manual process</li> <li>Automated letter generation increases staff productivity</li> <li>Automated action generation guides the user through actions needed to be performed on cases (with automatic deadline calculation)</li> <li>Case documents are stored in the database with the case and are easily accessible (electronic files are “official case records”)</li> <li>Automated penalty calculations</li> <li>Automated penalty reductions based on amended campaign finance transactions</li> <li>Automatically updates persons based on amended SOO’s</li> <li>Ability to dynamically add/modify case actions and configure deadlines</li> </ul>
Features Not Realized	<ul style="list-style-type: none"> <li>Receipt letters could be automated</li> <li>Report generation could be automated</li> <li>Ticklers that case actions are coming due</li> <li>Public search for cases (after waiting period after PPN is generated)</li> <li>Ability to send email and track phone calls related to the case – see contacts related to case</li> <li>Generate cases through ORESTAR function (as opposed to SQL script)</li> </ul>
<b>Usability Assessment</b>	
Navigation and Flow	<ul style="list-style-type: none"> <li>User interface is intuitive and easy to use</li> </ul>
Messaging and Error Handling	N/A
Accessibility Issues	N/A
System Performance Issues	<ul style="list-style-type: none"> <li>On-line response time is slow when reviewing cases with a large number of violations</li> </ul>
System Availability Issues	<ul style="list-style-type: none"> <li>System downtime due to server outages have been much less frequent in the last year</li> </ul>
User Documentation Assessment	<ul style="list-style-type: none"> <li>User documents are in-progress (completion expected by the end of 2015)</li> </ul>
Privacy and Security Issues/Risks	<ul style="list-style-type: none"> <li>Minimal risk (only a non-disclosed address)</li> </ul>
User Support Issues	N/A - No Filer interface
System Administration Issues	N/A
Election Preparation	N/A

#### Document Revision, Review and Approval History

Date	Name	Doc. Status	Description
6/25/15	Alan Schamp	Draft	Created initial draft in meeting on 6/25/15.

#### Issues and Action Items

Status	Description	Type	Owner	Due Date
Open	Send document for participant review	Action Item	Alan Schamp	TBD
Open	Review document with Elections Director	Action Item	Alan Schamp	TBD



## ORESTAR Analysis Project

### Process Descriptions – Complaints & Violations Process Workflow Analysis

#### Telephone and In-Person Hearings Workflow Diagram

Process Name	Team	Description
Potential Violation	SoS	ORESTAR (Campaign Finance) flags transactions as late or insufficient violations that are not appropriately amended by the filer by the end of the 4 month waiting period.
Generate Cases	SoS	<p>An ORESTAR function is executed to generate cases for all insufficient or late transactions that have reached the 4 month waiting period.</p> <p>The ORESTAR function automatically determines and inserts the following information for each case:</p> <ul style="list-style-type: none"> <li>• Calculate penalty</li> <li>• Create Case</li> <li>• Add Violations</li> <li>• ID key Committee members</li> </ul>
Review Case	SoS	A SoS Compliance Specialist reviews the cases to verify that there is in fact a violation for each ORESTAR generated Case.
Set Status to 'Resolved'	SoS	For each transaction that is determined to be a violation, the status is set to 'Resolved'.
Created Penalty Detail	SoS	If the total Penalty on the Case is greater than or equal to \$50, an ORESTAR function is executed to generate penalty detail (a report that is attached to the Case).
Generate PPN	SoS	A letter is generated and sent to the Committee – "Proposed Penalty Notice." This is an automated back office ORESTAR function.
Case Correction		This is an off page reference to the Case Correction workflow diagram.
Issue DFO	SoS	After the 90 day deadline (from the date that the PPN was sent) the violation(s) are considered uncontested. The SoS generates the Default Final Order stating to the Committee that the violation(s) are binding and that the penalty must be paid.
Pay Penalty	Filer	The penalty is paid by the Filer (through a check, money order or call with a credit card number).
Send Payment Receipt	SoS	When SoS receives a penalty payment, a payment receipt is generated and sent to the Filer.
Mitigating Circumstances		This is an off page reference to the Mitigating Circumstances workflow diagram.
Refer Case to OAH	SoS	If the Filer indicates that they are contesting the violation(s), the SoS Compliance Specialist refers the Case to the Office Of Administrative Hearings. Send OAH form with information from the case with PPN from ORESTAR Case – filled out manually by CS.
Schedule Hearing	OAH	The hearing is scheduled and an Administrative Law Judge is assigned.



Issue Exhibits	SoS	The SoS Compliance Specialist sends documentation that supports the case for the violation(s) to the OAH and the Filer.
Issue Exhibits	Filer	The filer may send documentation refuting the violation(s) or documenting special circumstances to the SoS and OAH.
Conduct Hearing	OAH	
Proposed Order	OAH	A document is issued by the OAH that indicates the decision on each violation and the penalty amount (if applicable).
File Exceptions	Filer	The filer provides SoS with a document that describes any mitigating circumstances or exceptions pertaining to the violation(s).
Consider Exceptions	SoS	The SoS considers the exceptions provided by the filer (to be considered in determining the penalties in the Final Order).
Issue Final Order	SoS	The SoS determines the final penalties for the violations (the proposed order from the Hearing may be modified). A letter is generated and sent to the Filer indicating that the penalties specified in the Final Order must be paid.
Pay Penalty	Filer	If there are penalties in the Final Order, the Filer must submit payment.

## Types of Complaints and Violations

Tracked by ORESTAR

- Campaign Finance late transaction filing
- Campaign Finance insufficient transaction filing

Tracked Manually (Excel)

- Voters' Pamphlet violations
- Misuse of public resources
- Voter fraud
- Campaign/Candidate fraud

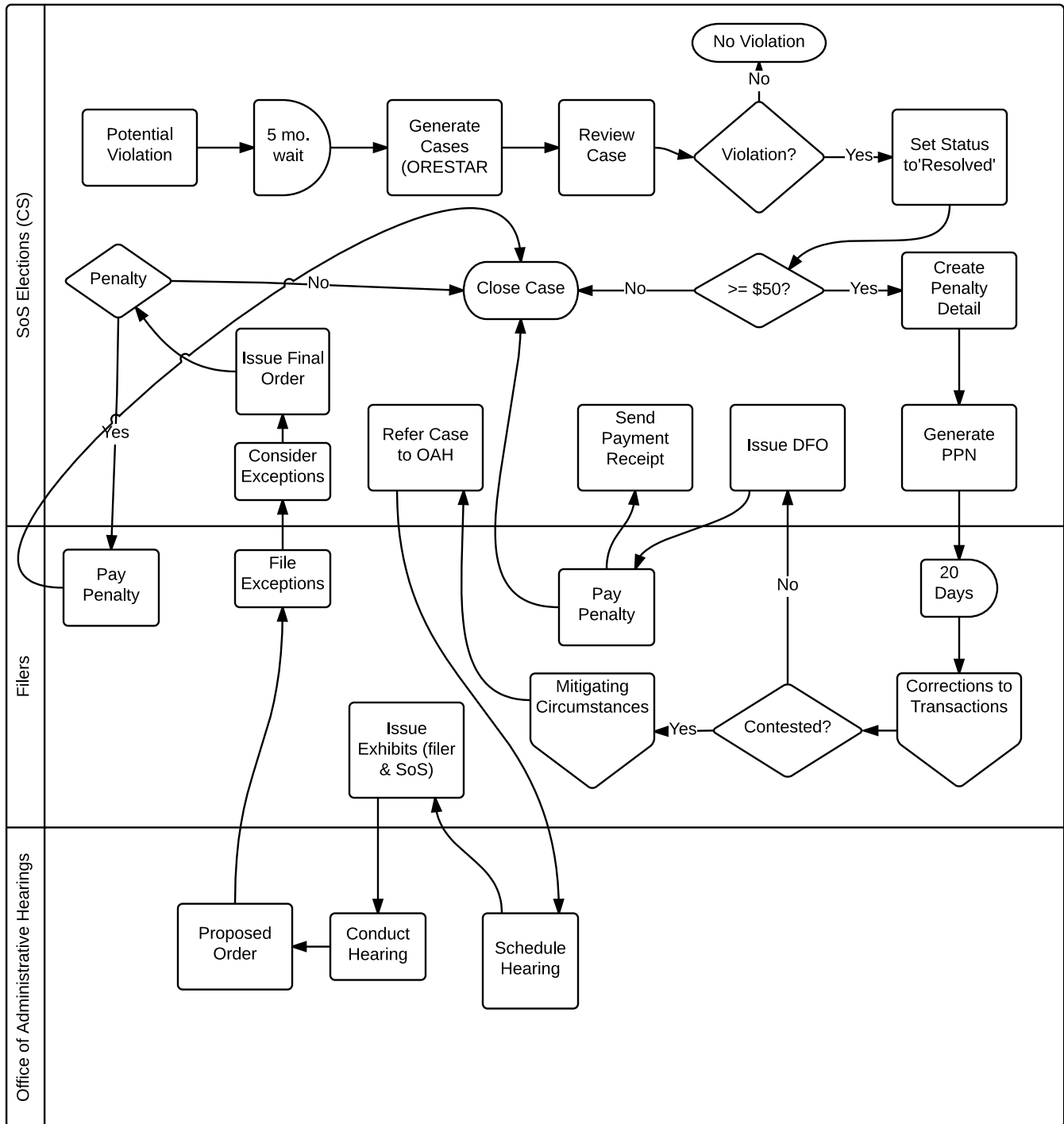
Types of Hearings:

- In-Person
- Telephone
- Notarized (most common)

Action Items:

- Develop workflow for Notarized hearings
- Develop workflow for Corrections to Transactions
- Develop workflow for Mitigating Circumstances
- Develop/modify workflows for Complaints and Violations not tracked in ORESTAR (Jennifer and Alana)

**Complaints & Violations Workflow - Telephone or In-person Hearing**  
**Oregon Secretary of State**  
**ORESTAR Analysis Project**





# **Freedom Counts, LLC**

**30 Evening Tide Way  
Bluffton, SC 29910**

**ORESTAR  
CONTACT MANAGEMENT  
FINAL REPORT**

**Contract Number: 165-1178-15**

**State of Oregon  
Secretary of State  
Elections Division**

**Date: December 18, 2015**

## **EXECUTIVE SUMMARY:**

The Oregon Secretary of State, Elections Division has contracted with Freedom Counts, LLC to identify limitations and capabilities of the ORESTAR CONTACT MANAGEMENT system to help determine the best strategy for maintaining and supporting the application.

To ensure that the Division's ORESTAR CONTACT MANAGEMENT application development, enhancement, documentation and maintenance efforts provide a product that effectively meets the expectations of a sufficient sustainable system the overall project is subdivided into three (3) Sections:

1. Software Operational Evaluation
2. Technical Assessment at the business and technical levels
3. Final Report with a detailed list of ORESTAR recommendations

The information gained through the Software Operation Evaluation and the **Technical Assessment** Evaluations are utilized to complete a detailed list of recommendations for the Final Report.

## **SYNOPSIS SUMMARY FOR ORESTAR CONTACT MANAGEMENT MODULE:**

Provides a method to track contact history by volume and subject matter and retain information about prior contacts to support efficiently handling issue resolution and information requests. Module also assists in protecting agency and customers by logging correspondence and information provided.

- Strengths
  - Provides information on who was served and the information that was provided
  - Staff knows how to use the current system
  - Current system is integrated with Committees
- Weaknesses
  - Staff are currently logging less than 10% of incoming calls as contacts (management believes percentage should be much higher)
  - Need a feature to display all Calls/Contacts for an existing Person (data grid).
  - Need a Knowledge base for phone
  - Add an export feature for search results (persons or contacts).
  - Ability to export a single contact (all data)
  - Ability to attach documents to contacts
  - Need to be able to transfer an issue (Contact) to another Elections support person with work queues
  - Need a better way to handle unknown callers

## **RECOMMENDATIONS FOR CONTACT MANAGEMENT MODULE:**

Freedom Counts, LLC recommends to the Oregon Secretary of State, Elections Division the following:

- ☐ Maintain In-house Software – fix current issues through new releases.
- ☐ Replace In-house – develop new database in MS Access or equivalent.
- ☒ Replace with Vendor Software – purchase new software through an RFP process.

#### **DETAILED RECOMMENDATIONS FOR CONTACT MANAGEMENT MODULE:**

Freedom Counts, LLC recommends that the Oregon Secretary of State, Elections Division issue a Request for Proposals (RFP) to replace the current Contact Management system with a vendor supplied software package. The RFP should be issued as soon as possible and a vendor selected to allow adequate time to accept, install, prepare and test to have in place for the November 2016 General Election.

This software upgrade will enhance the ability of the Elections Division to make structural organizational changes to improve the efficiency of the department.

#### **Potential Benefits from an RFP –**

- Easy usability should improve logging of incoming calls
- Automated Knowledge Base for phone
- Ability to display all Calls/Contacts for an existing Person (data grid)
- Export feature for search results (persons or contacts)
- Added public search capability
- Ability to export a single contact
- Ability to attach documents to contacts
- Ability to transfer an issue (Contact) to another Elections support person with work queues
- Improved method to handle unknown callers



## ORESTAR Operational Assessment Form (Contact Management)

Conducted for the Oregon Secretary of State

By Freedom Counts, LLC

Purpose of Form: The purpose of this form is to facilitate the assessment of the current features and functionality of the ORESTAR system from a business/operational perspective. The assessment is conducted for a given use case allowing the functionality of the system to be assessed based on a specific user interaction supported by the ORESTAR system.

ORESTAR Module	Contact Management
Attendees and Contributors	Jim Williams Tami Dettwyler Russell Bither-Terry Codi Trudell Brenda Bayes Jennifer Hertel Jan Flowers Summer Davis Jeff Hauck Lisa Ackerson
Use Case Name	Search for customer and log contact (SoS Elections) View prior contacts for customer (SoS Elections) Log Follow-up Action (SoS Elections) Analyze Contact volume History (ORESTAR Admin.)
Owning Business Unit(s)	SoS Elections
Users/User Groups and Frequency of Use	SoS Elections (daily)
Duration of Use Case	
Business Purpose	Retain information about prior stakeholder contacts to support efficiently handling issue resolution and information requests.  Regulate answer shopping.  Protect agency and customers by logging correspondence and information provided.  Track Contact history (by volume and subject matter).
Business Transaction(s)	Tracks contacts with SoS Elections stakeholders

Functionality Assessment	
Business Drivers for Change	<ul style="list-style-type: none"> <li>• Key driver for change – increase percent of calls logged (currently 7.5%)</li> <li>• Name search brings up a list of contacts matching name – it would be less error prone and more expedient to list Person matches rather than prior contacts. Propose checkbox in Contact Search to determine whether results are Person search or all Contacts.</li> <li>• Add an Export feature for search results (Persons or Contacts).</li> <li>• Ability to export a single contact (all data)</li> <li>• Need to be able to transfer an issue (Contact) to another Elections support person with work queues</li> <li>• Ability to attach documents to contacts</li> </ul>
Operational Efficiency Issues	<ul style="list-style-type: none"> <li>• Many people are not using CM during call – this is a matter of personal preference but it causes data entry after the phone call – ability to create Person w/o contact might help with this</li> </ul>
Data Redundancy/Integrity Issues	<ul style="list-style-type: none"> <li>• In many cases there are multiple ORESTAR person ID's set up for the same person (largely due to inconsistent spelling of person name when contacts are searched for and entered). This makes viewing call and resolution history for a caller fragmented.</li> </ul>
Search and Data Retrieval	<ul style="list-style-type: none"> <li>• Name search brings up a list of contacts matching name – it would be less error prone and more expedient to list Person matches rather than prior contacts. Propose checkbox in Contact Search to determine whether results are Person search or all Contacts.</li> <li>• Add an Export feature for search results (persons or contacts).</li> <li>• Ability to export a single contact (all data)</li> </ul>
Agency Reporting	<ul style="list-style-type: none"> <li>• Ad hoc reporting – no major issues (ORESTAR Admin.)</li> </ul>
Non-Disclosure	<ul style="list-style-type: none"> <li>• Confidentiality – Contact Management allows flagging Contacts</li> </ul>
Positives and Benefits of Current System	<ul style="list-style-type: none"> <li>• Provides information on who was served and the information that was provided</li> <li>• Staff already know how to use the current system</li> <li>• Current system is integrated with Committees</li> <li>• No additional cost to purchase</li> </ul>
Features Not Realized	<ul style="list-style-type: none"> <li>• Add a feature to display all Calls/Contacts for an existing Person (data grid).</li> <li>• Knowledge base for phone support – For QC purposes and may be important if external vendor call center is engaged.</li> <li>• Add an export feature for search results (persons or contacts).</li> <li>• Ability to export a single contact (all data)</li> <li>• Attach documents to contacts</li> <li>• Need to be able to transfer an issue (Contact) to another Elections support person with work queues</li> <li>• Need a better way to handle unknown callers</li> </ul>
Usability Assessment	
Navigation and Flow	<ul style="list-style-type: none"> <li>• Change “Add New Contact” label to “Add New Person”</li> <li>• Link Contact to other Committee information (e.g., SOO) (hyperlink in Contact to SOO).</li> </ul>
Messaging and Error Handling	<ul style="list-style-type: none"> <li>• N/A</li> </ul>
Accessibility Issues	<ul style="list-style-type: none"> <li>• N/A</li> </ul>
System Performance Issues	<ul style="list-style-type: none"> <li>• N/A</li> </ul>
System Availability Issues	<ul style="list-style-type: none"> <li>• N/A</li> </ul>

User Documentation Assessment	<ul style="list-style-type: none"> <li>Documentation improvements in progress</li> </ul>
Privacy and Security Issues/Risks	<ul style="list-style-type: none"> <li>Some PI – Names, email addresses, phone numbers</li> <li>Confidentiality indicator – need internal training</li> </ul>
User Support Issues	<ul style="list-style-type: none"> <li>N/A</li> </ul>
System Administration Issues	N/A
Election Preparation	N/A

#### Document Revision, Review and Approval History

Date	Name	Doc. Status	Description
6/18/2015	Alan Schamp	Draft	Created initial draft in meeting on 6/18/2015.

#### Issues and Action Items

Status	Description	Type	Owner	Due Date
Completed	Send document for participant review	Action Item	Alan Schamp	6/18/15
	Review document with IT participants	Action Item	Alan Schamp	TBD
	Review document with Elections Director	Action Item	Alan Schamp	TBD





## ORESTAR Analysis Project

### Process Descriptions – Contact Management Workflow Analysis

Process Name	Team	Description
Customer Contact or Request	Caller	An external stakeholder calls one of the SoS Elections main lines (could also be a request through email or other medium) with an issue, question or requesting information.
Call Answered	SoS Elections	At any given time, SoS elections identifies primary and secondary staff persons to pick up calls on the main lines. The person initially taking the call can resolve simple information requests and in this case he/she will handle the request and logs a contact.  Note: Generally, the primary is the receptionist.
Contact Routed	SoS Elections	If the person taking the initial call cannot resolve the issue/request, they will route the call to an appropriate staff person.
Resolve Issue	SoS Elections	The Elections staff person works with the stakeholder to resolve their issue and/or provide necessary information.
Log Contact	SoS Elections	The Elections staff person requests contact information from the stakeholder (name, phone number, email). Note: The stakeholder may decline to provide any personal information. The Elections staff person searches for the stakeholder by name (usually last name) to determine if the stakeholder already exists (see note below). The staff person creates a contact and enters information that is relevant (esp., for other Elections staff).  Note: If the stakeholder already exists, a contact is created for the existing ORESTAR person.
Internal Staff Initiates Contact	SoS Elections	An SoS Elections staff person calls, emails or sends correspondence to a customer for a known issue or followup.

## Issues or Key Outcomes

- Key driver for change – increase percent of logged calls (currently only 7 %)
- In many cases there are many multiple ORESTAR person ID's set up for the same person/caller (largely due to inconsistent spelling of person name when contacts are searched for and entered). This makes viewing call and resolution history for a caller fragmented.
- Name search brings up a list of contacts matching name – it would be less error prone and more expedient to list Person matches rather than prior contacts.

## Initiated by:

- Call from voter
- Call from County
- Call from Interest group
- SoS initiated contact (any of above)
- Any contact pertinent to other elections staff

## Subjects / topics

- Campaign Finance support
- Candidates
- Voter's pamphlet
- Voter registration
- Initiatives and ref.
- Elections administration (local elections officials)
- Investigations
- Other

**Contact Management Workflow**  
**Oregon Secretary of State**  
**ORESTAR Analysis Project**

