



COLORADO DEPARTMENT OF STATE

STRATEGIC PLAN

FY 2016-17

Submitted November 2, 2015

Wayne W. Williams
Secretary of State

We serve the American Dream



STATE OF COLORADO
Department of State

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November 2, 2015

Dear Coloradans,

As I approach the end of my first year as your Secretary of State, I'm happy to say that the Colorado Department of State stands out as one of the most professional, responsive, and transparent agencies in government. In Colorado today, it is easier to register to vote or start a business than it ever was before.

We have made extensive preparations for the 2016 presidential election, drawing on the advice of experts and stakeholders from across Colorado. We convened a committee to examine the critical role of watchers in our election process, and to make recommendations ensuring that this act of civic engagement maintains its place in Colorado's new mail ballot election system. We've brought stakeholders to the table to move Colorado toward a uniform voting system, and updated our election rules to improve security and access, particularly for military and overseas voters.

My office provided training for county clerks and election administrators in every part of Colorado. We also traveled the state providing campaign finance training to candidates, committees, and interested citizens, making a complex system more understandable and accessible, and promoting civic engagement.

We continue to function as the gateway to starting a business, nonprofit, or charity in Colorado. Our outstanding online services and low fees have helped foster Colorado's business climate and have made us a national leader. We reached out to nonprofit with training sessions across the state, and our eLearning modules have been tremendously successful in professionalizing and informing nonprofits boards of directors.

The second year of the Business Intelligence Center and Go Code Colorado saw increased interest and participation. We have revolutionized the concept of public-private partnership, and spearheaded the effort across state government to make public data available and useful. Go Code Colorado was honored this year with numerous national and international awards, and we are diligently planning for its third year.

We look forward to continuing to serve the people of Colorado.

Sincerely,

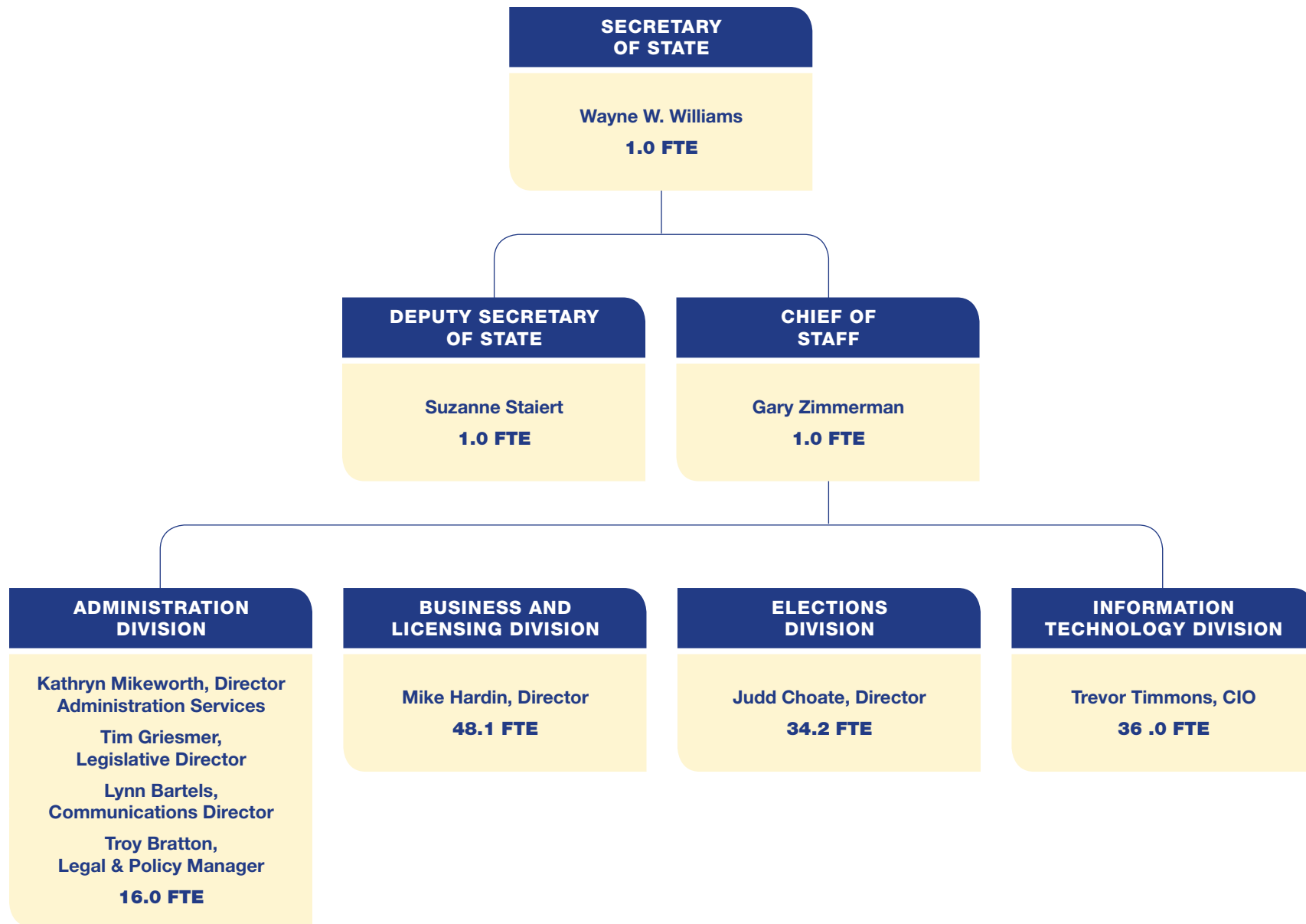
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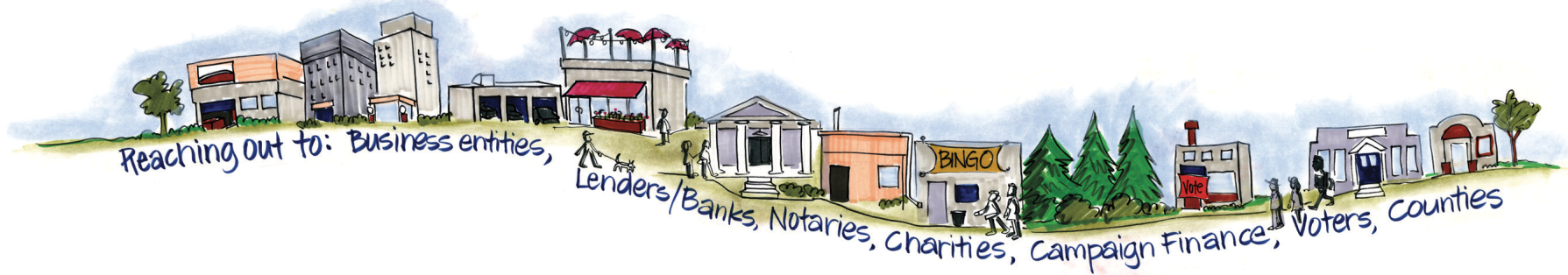
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BACKGROUND INFORMATION

The Department of State performs several functions, ranging from registering businesses to overseeing elections. The *Business and Licensing Division* receives filings such as business and nonprofit registrations, trade names, secured liens, lobbyist registrations, notary public applications, and bingo and raffle reports. Most filings are submitted electronically, and the office disseminates this information to the public through its website. The *Elections Division* oversees state elections and has exclusive responsibility for campaign finance disclosure and statewide ballot initiative certification. Two other divisions in the Department, *Administration* and *Information Technology*, support the office's programs. Cash funds generated by business and other filings support nearly all of the Department's activities. Federal grants provide the remainder of funding. The Department of State's Long Bill is organized into sections by division. Appropriations are allocated based on the historical utilization of resources in each division.



PRIOR YEAR LEGISLATION

The following 2015 legislation affects the functions of the Department of State

SB15-060 (Holbert, Everett) Update Electors Voter Registration Records: The act allows the Secretary of State to forward any information obtained from the division of motor vehicles to the appropriate county clerk and recorder in an effort to eliminate multiple voter registrations by the same elector.

HB15-1130 (Nordberg, Hill) Municipal Elections-Active Military or Overseas Voters Procedures and Deadlines: The act extends certain deadlines that govern the conduct of municipal elections to ensure that military and overseas voters can vote in municipal elections and all procedural requirements can be met.



HOT ISSUES

SECRETARY WILLIAMS WAS NAMED TO A LEADERSHIP ROLE IN THE NATIONAL ASSOCIATION OF SECRETARIES OF STATE.

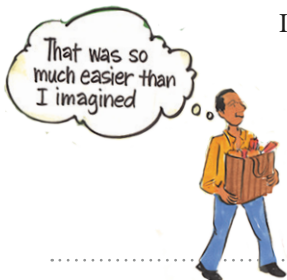
Secretary Williams was named co-chair of the NASS Standing Committee on Elections, which is dedicated to educating and informing NASS members about state election administration practices and laws, as well as tracking proposed federal legislation and election reform proposals submitted by national organizations and Secretaries of State.



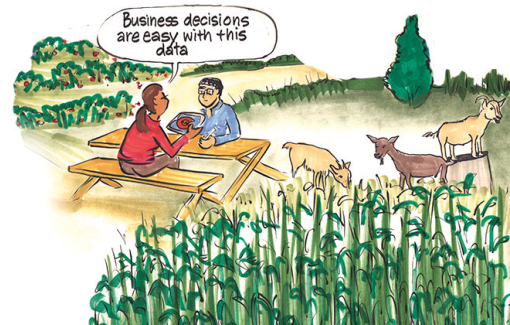
CERTIFIED FOUR VOTING SYSTEMS THAT WILL BE EVALUATED FOR CONSIDERATION AS THE STATE'S NEW UNIFORM VOTING SYSTEM. To continue moving forward with implementing a uniform voting system in Colorado before the June 2016 primary election, the Department certified four voting systems for evaluation in the 2015 coordinated elections, including Clear Ballot Group, Dominion Voting Systems, Election Systems & Software, and Hart InterCivic.

FORMED SEVERAL WORKING GROUPS TO CONTINUE IMPROVING COLORADO'S ELECTION SYSTEM.

The SCORE User Panel will identify and prioritize development needs in the state's voter registration database, known as SCORE. The Pilot Election Review Committee (PERC) will obtain and evaluate feedback to implement a uniform voting system. The



Election Watcher Advisory Panel reviewed statutes, rules, and best practices in order to bring watcher participation in line with Colorado's modern election framework. The Bipartisan Election Advisory Committee (BEAC) will succeed the Colorado Voter Access and Modernized Elections Commission (COVAME), and will undertake a broad examination of Colorado's election landscape and consider improvements to Colorado's election system.



International Association of Commercial Administrators (IACA) Merit Award, and the Colorado Technology Association's Technology Project of the Year Award, and was recognized as a Bright Idea by Harvard's Kennedy School through its Innovations in American Government Awards competition.

THE BUSINESS INTELLIGENCE CENTER AND GO CODE COLORADO COMPLETED ITS SECOND YEAR AND RECEIVED NUMEROUS RECOGNITIONS. Go Code Colorado was awarded the NASS IDEAS Award, the CIO 100 award, the

HOT ISSUES

CONTINUED

RELEASED A SELF-ASSESSMENT TOOL FOR NONPROFIT BOARD MEMBERS. To complement the Department's five-module eLearning course entitled Board Education and Effectiveness, aimed at helping nonprofits train and strengthen their boards of directors, the self-assessment tool will help nonprofit directors optimize their time by accessing those modules that most closely meet their needs.

CONDUCTED NONPROFIT WORKSHOPS TO HELP STRENGTHEN AND EDUCATE LEADERS IN COLORADO'S CHARITABLE COMMUNITY. The Department gathered together leaders from Colorado's nonprofit community to exchange best practices and learn about services available at the Department of State to strengthen Colorado's 12,000 registered charities.

JOINED WITH THE BETTER BUSINESS BUREAU TO PROMOTE SECURITY FOR COLORADO BUSINESSES. The Better Business Bureau and the Colorado Secretary of State's Office conducted joint media appearances urging business owners to make use of secure business filing, password protecting their records on the Secretary of State's website.

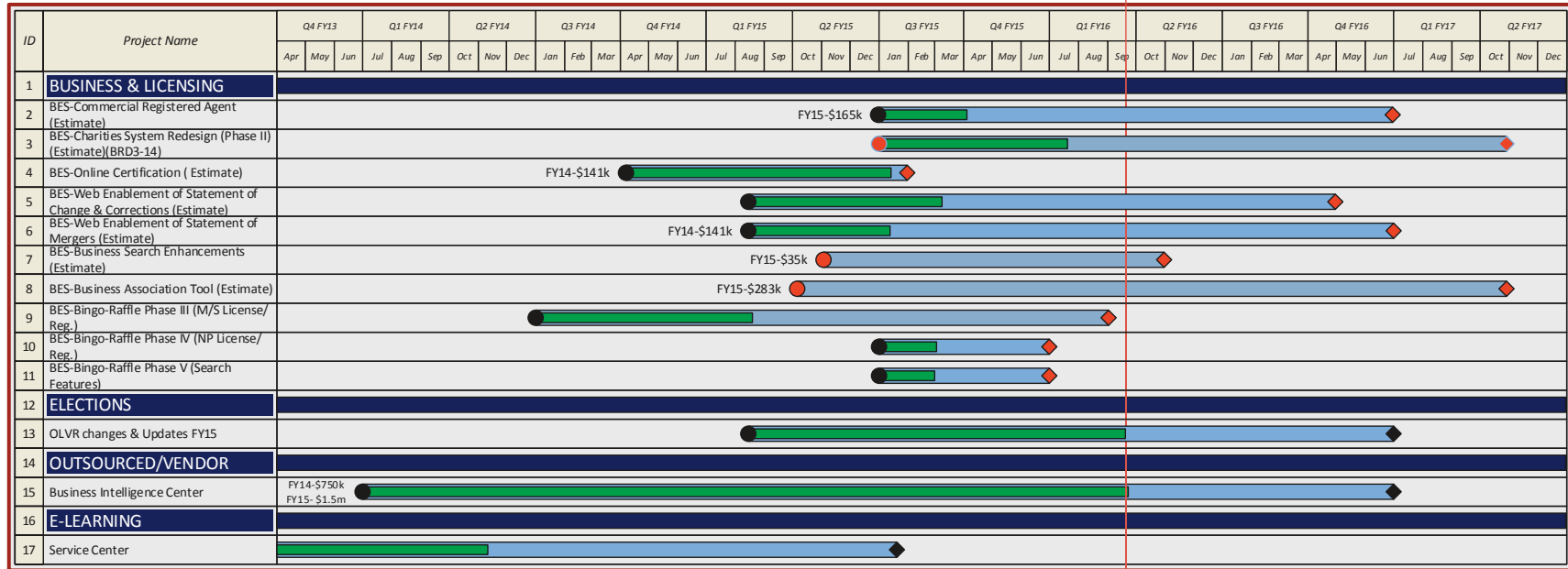
RELEASED FIRST EVER BINGO-RAFFLE QUARTERLY REPORTING ONLINE. In April the Department made quarterly reporting for nonprofits much easier. Nonprofits can now submit their quarterly reports through the Secretary of State website without the added time required for paper processes. This created efficiencies within the office as well as for its customers.



A PROJECTED TIME-LINE OF DEPARTMENT PROJECTS

FOR THE PERIOD OF APRIL 2013 TO DECEMBER 2017 (Subject to Change)

TODAY



- KEY
- BLUE = PROJECTED TIMELINE
 - GREEN = PROGRESS
 - BES = BUSINESS EFFICIENCY SUITE PROJECT
 - = TARGETED START DATE
 - ★ = LEGISLATIVELY MANDATED COMPLETION
 - ◆ = TARGETED COMPLETION DATE
 - ◆ = TARGETED COMPLETION DATE AFTER LEGISLATIVE FUNDING RUNS OUT

INTRODUCTION

The Department of State primarily receives and makes information publicly available. Internet-based electronic filing and retrieval of information with the Department is favored by the general public, and in many cases, is mandatory. The Department is continually web-enabling documents and information for its customers.

Even though each division within the Department has its own unique functions, some functions are consistent across programs, with the common thread being electronic information. For example:

Licensing/Registering. Businesses, charitable organizations, fund raisers, voter registration drives, and lobbyists register with the Department. Bingo-raffle organizations are licensed, and notaries public receive commissions from the State through the Department.

Communicating/Educating. Each division devotes significant time to communicating with and assisting its constituents, the public, the private sector, governmental bodies, media, and others who require information regarding the Department's programs.

Records Disclosure. Through its website, the Department's divisions make available information about businesses in Colorado, disclosure information of political candidates and committees, and the disclosure reports filed by registered charitable organizations.

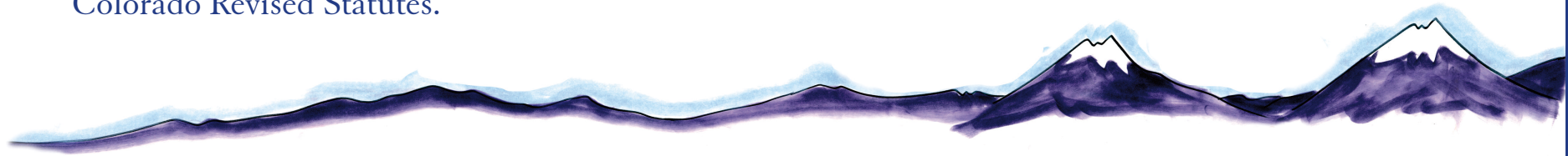
Electronic Filings. Most of the records filed with the department are filed electronically, including business filings, voter registrations, campaign finance disclosure, administrative rules, lobbyist reports, and charitable organization reports.

In addition to serving as the “keeper of records”, the Secretary of State is the chief election official of the state, charged with administering statutes that relate directly or indirectly to the conduct of elections for the State of Colorado.



STATUTORY AUTHORITY

The statutory authority for the Department of State is found in Title 24, Article 21, Colorado Revised Statutes.



Mission Statement

We believe in... growing commerce and fostering political freedom by being value-driven, ethical and efficient.

Vision Statement

We serve you... by building trust, instilling confidence and offering common sense creative solutions.



We serve the American Dream



Office of the Secretary of State

Wayne W. Williams

FY16- FY17

STRATEGIC PLAN

We serve the American Dream

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ADMINISTRATION BUSINESS and LICENSING ELECTIONS INFORMATION TECHNOLOGY

2015 Alchemy Strategy Group 303-681-9379

ADMINISTRATION DIVISION

The Administration Division supports the Secretary of State and the Business and Licensing, Elections, and Information Technology divisions in the department by providing personnel, finance, and general administrative support. The Division also provides communication and education to the public about the department's functions.



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Administration

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GOALS

Optimize processes to maximize synergies between Legislative, Policy and Communications units

Develop policy and strategy that supports divisions and furthers Department agenda

Ensure consistent departmental strategy and voice internally and externally

Improve legal and compliance controls

Engage, retain, and develop a high-performing workforce

Optimize HR and Finance processes

Work collaboratively and develop loyal relationships with customers

Align learning opportunities with business objectives

OBJECTIVES 2016

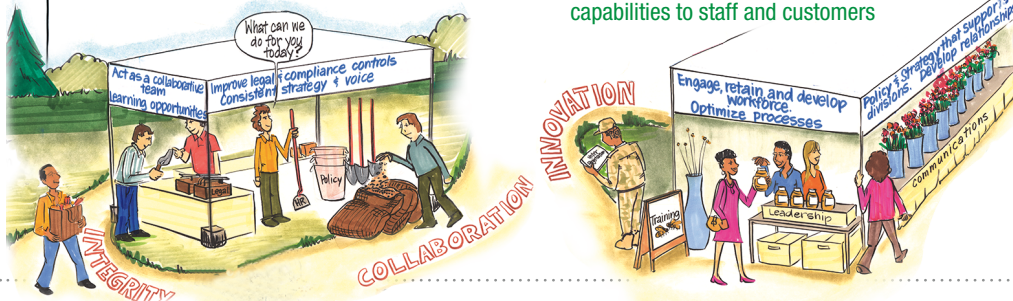
- Complete LEAN process reviews to identify "to-be" improvement opportunities
- Identify and develop Department policy and research; communicate team role to Department
- Communicate policy & communication strategy to department; establish process for internal & external communication reviews
- Identify process priority to create a schedule for process improvement; review highest priority processes
- Work with managers to provide regular, quality feedback
- Initiate process improvements to take advantage of HR and Finance synergies
- Define and consistently apply policies
- Demonstrate the value of eLearning capabilities to staff and customers

OBJECTIVES 2017

- Modify team composition to maximize identified synergies
- Conduct research and establish effective working relationships with stakeholders, SME, local gov'ts, business community & elected officials to identify potential policy-related concerns and solutions
- Conduct communication & writing training with key division stakeholders; review & refine processes
- Review medium priority processes according to schedule; refine prior processes
- Provide additional developmental opportunities for the Department's workforce
- Continue execution of improvement projects
- Cultivate informed and empowered customers
- Build strong partnerships to develop exceptional courses

OBJECTIVES 2018

- Continue execution of improvement projects; develop team-building activities
- Evaluate active/previous policy endeavors to shape future agenda.
- Reinforce/institutionalize communication & strategy culture
- Continue review according to schedule; institutionalize & reinforce processes through use
- Continue to review and refine hiring processes
- Evaluate and refine
- Reinforce culture of cooperation
- Refine and adjust development cycle



We believe in... growing commerce and fostering political freedom by being value-driven, ethical and efficient.

We serve you by... building trust instilling confidence and offering common sense creative solutions.

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Optimize processes to maximize synergies between Legislative, Policy and Communications units.

OBJECTIVES

- Complete LEAN process reviews to identify “to-be” improvement opportunities.
- Modify team composition to maximize identified synergies.
- Continue execution of improvement projects; develop team-building activities.

EVALUATION

Collaborate to produce robust materials for major initiatives.

ACTIVITY

Coordinate and synchronize legislation background work with policy research and messaging to Department. Meet to discuss legislative agenda and whitepaper opportunities.

PERFORMANCE MEASURES

	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
CORA	-	-	LEAN Process Review	Additional improvements based on 15-16 process review feedback
Rulemaking	-	-	LEAN Process Review	Additional improvements based on 15-16 process review feedback

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Develop policy and strategy that supports divisions and furthers Department agenda.

OBJECTIVES

- Identify and develop Department policy and research; communicate team role to Department.
- Conduct research and establish effective working relationships with stakeholders, SME, local gov'ts, business community & elected officials to identify potential policy-related concerns and solutions.
- Evaluate active/previous policy endeavors to shape future agenda.

EVALUATION

- Identifying and prioritizing internal and external policy issues.
- Planning and completing rulemaking according to agenda and individual rulemaking schedules.
- Greater utilization of PCL team on policy issues.

ACTIVITIES

- Collect legislative priorities from divisions. Prioritize and formalize Department legislative agenda.
- Set research and whitepaper agenda, leaving flexibility to respond to developing situations.
- Follow up on Rulemaking agenda items and schedules.
- Market team's role to Department.

PERFORMANCE MEASURES

	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Create supporting documents for legislative initiatives (Fact sheets/issue briefs)	-	-	1 per legislative initiative	Additional improvements based on 15-16 process review feedback
Maintain contact with agency counterparts and important stakeholders	-	-	Twice per year	Twice per year

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Ensure consistent departmental strategy and voice internally and externally.

OBJECTIVES

- Communicate policy & communication strategy to department; establish process for internal & external communication reviews.
- Conduct communication & writing training with key division stakeholders; review & refine processes.
- Reinforce/institutionalize communication & strategy culture.

EVALUATION

- Increase frequency of writing training opportunities within PCL team.
- Increase number of departmental policy reviews.

ACTIVITIES

- Identify and participate in writing training.
- Create departmental style guide and editing process for internal and external communications.
- Market editing process internally to Department.
- Compile, organize, review and revise departmental policies.

PERFORMANCE MEASURES

	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Number of writing training opportunities	-	-	(at least one training per PCL team member)	Increase FY15-16 data by 25%
Number of Departmental policies reviewed	-	-	Gather data	FY 15-16 data + 20% increase

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Improve legal and compliance controls.

OBJECTIVES

- Identify process priority to create a schedule for process improvement; review highest priority processes.
- Review medium priority processes according to schedule; refine prior processes.
- Continue review according to schedule; institutionalize & reinforce processes through use.

EVALUATION

- Reduce transfer of CORA requests from PCL to divisions.
- Reduce CORA search time.
- Increase number of rulemakings completed without extending timelines.
- Improve collection of SMART Act deliverables.

ACTIVITIES

- Revise and streamline CORA rules and process, distinguish CORA requests from documents that can be requested by other methods, review and establish record-keeping policy, update financial charges, establish policy for expedited documents, update website and train staff.
- Complete rulemaking process-mapping; establish rulemaking policies with divisions and update department rulemaking website to improve usability and accessibility.
- Establish internal process for collecting SMART Act deliverables.

PERFORMANCE MEASURES

	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Number of CORA requests transferred from PCL to divisions	–	–	Gather data	FY15-16 decrease by 20%
CORA search time	–	–	Gather data	FY15-16 decrease by 10%
Number of rulemakings completed without extending timelines	–	–	Gather data	FY15-16 increase by 20%

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Engage, retain, and develop a high-performing workforce.

OBJECTIVES

- Work with managers to provide regular, quality feedback
- Provide additional developmental opportunities for the Department's workforce
- Continue to review and refine hiring processes

EVALUATION

- The Department will continue to monitor the total days in the recruitment cycle to fill open vacancies with the best candidate in the shortest amount of time.
- The Department will continue to evaluate training opportunities available to staff and track the level of participation by supervisors and their direct reports.

ACTIVITIES

- Develop PD and job announcement templates to improve efficiencies in hiring process and recruit talent that are qualified for the position
- Continue to refine comparative analysis processes
- Conduct survey of staff to identify improvement opportunities
- Educate managers on how to conduct employee evaluations and communicate informally with their staff
- Research succession planning models
- Develop and implement chosen succession planning model
- Continue identifying opportunities for employee development

PERFORMANCE MEASURES

	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Average number of calendar days in selection process	68	65	65	65
Percentage of individual contributors that have attended training	100%	100%	100%	100%
Percentage of supervisors that have attended training	100%	100%	100%	100%

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Optimize HR and Finance processes.

OBJECTIVES

- Initiate process improvements to take advantage of HR and Finance synergies
- Continue execution of improvement projects
- Evaluate and refine

EVALUATION

- The Department will continue to initiate process improvement activities for HR and Finance. The process improvement list will be defined, progress on each project will be reported, and total cycle time for project implementation will be tracked.

ACTIVITIES

- Identify processes in need of improvement
- Develop project schedule
- Begin project implementation/lean process

PERFORMANCE MEASURES

	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Average number days to settle Credit Card transactions	2	2	2	1
Number of hours to process financial close	120	120	120	110
Number of regular meetings to ensure integration of HR/Finance processes	–	35	60	65

GOAL Work collaboratively to develop loyal relationships with customers.

OBJECTIVES

- Define and consistently apply policies
- Cultivate informed and empowered customers
- Reinforce culture of cooperation

EVALUATION

- The Department will catalog the total training opportunities relating to HR and Finance provided to staff.
- The Department will capture the amount of time utilized to communicate policies and procedures to staff (through training opportunities and meetings) to demonstrate the increased frequency of these communications.

ACTIVITIES

- Proactively communicate with staff about applicable policies
- Ensure proper messaging and project delivery implementation so that all internal users are informed
- Continue to encourage a culture of collaboration and customer service within the Division
- Cross-train staff to reduce single points of failure and improve customer experience

PERFORMANCE MEASURES

	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Number of financial reporting meetings held	36	40	55	55
Number of initiatives implemented relating to communication and collaboration	–	3	5	5

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Align learning opportunities with business objectives.

OBJECTIVES

- Demonstrate the value of eLearning capabilities to staff and customers
- Build strong partnerships to develop exceptional courses
- Refine and adjust development cycle

EVALUATION

- Collect analytics including the total logins and completions for each course.
- Utilize a test group to review and provide recommendations prior to launching each course.
- Send follow-up survey for feedback when courses have been launched.
- Track total courses developed for both internal staff and external customers.

ACTIVITIES

- Work directly with staff to identify eLearning needs
- Develop project schedule
- Produce finalized eLearning courses
- Review courses available and work directly with staff to make updates and enhancements
- Continue to stay up to date on eLearning standards and enhancement opportunities
- Work with staff to identify areas where an eLearning course is needed
- Process map development cycle and identify opportunities for improvement
- Implement proposed changes

PERFORMANCE MEASURES

	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Total courses offered to the public using eLearning platform	35	37	39	42
eLearning courses that support SOS programs	32	33	35	37
eLearning courses for internal staff development	3	3	7	7
eLearning courses for public outreach	3	7	7	7

BUSINESS AND LICENSING DIVISION

The Business and Licensing Division provides document filing, records management, information retrieval, and educational services. It registers business names and organizations, trade names and trademarks, and files secured transactions records and notary applications, making them, as well as other document filings, accessible to the public. This Division also administers the lobbyist program, licenses entities involved in charitable bingo/raffle, registers charitable organizations, and publishes the Code of Colorado Regulations (CCR). The Division's Business Intelligence Center harnesses the State's public data and knowledge resources and in concert with Colorado's technology community delivers value added software tools for business decision-making.



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Business and Licensing

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GOALS

Build outreach opportunities and relationships with stakeholders

Increase customer satisfaction through improved system usability and efficiency

Enhance Division performance through employee development and process improvement

Build credibility and public trust through accurate and transparent program administration

OBJECTIVES 2016

- Identify and source stakeholder engagement opportunities
- Develop targeted educational offerings for customers
- Support national Single Portal initiative for charitable filings
- Establish non-profit task force on finance and funding
- **Incorporate citizen journey into system enhancements**
- **Reduce online filing reject rates**
- **Establish Key Performance Indicator(KPI) baselines and benchmarks against global standards**
- **Increase online filing adoption rates in Bingo/Raffle**
- **Inventory and begin standardizing division policies and procedures**
- **Increase state agency participation in BIC program**
- **Achieve 50% redundancy in critical Division tasks through cross-training initiative**
- **Review and enhance rule-making process**
- **Expand consultation concept and process across programs**
- **Leverage leadership role in state and national forums in support of innovative solutions**
- **Develop measurement tool to measure customer satisfaction levels for programs**
- **Implement process to respond to customer data cleanup requests**

OBJECTIVES 2017

- Complete implementation of targeted educational offerings
- Educate department on Business Analysis platform
- Conduct gap analysis of online services
- Collaborate with stakeholders on legislative solutions
- **Achieve 50% adoption rate for online filing in Bingo/Raffle**
- **Complete two Business Efficiency Suite components**
- **Conduct gap analysis of technology platform needs**
- **Determine systems readiness for improving collection of fines and late fees**
- **Achieve 85% redundancy in critical Division tasks through cross-training initiative**
- **Improve reporting tools and dashboards based on data analysis and validation**
- **Validate improvements to rule-making process**
- **Optimize use of SharePoint for division processes**
- **Develop customer service initiatives based on measured satisfaction levels**
- **Increase customer education on policies and procedures**
- **Establish audit, oversight, inspections and investigations calendar across division**
- **Deploy tools to proactively identify records for cleanup**

OBJECTIVES 2018

- Sustain educational materials and offerings
- Assist other divisions in standardizing Business Analysis platform
- Discovery/implementation of enhancements to online services
- **Achieve 60% adoption rate for online filing in Bingo/Raffle**
- **Complete Business Efficiency Suite**
- **Complete improvement of collection process**
- **Institutionalize division level report protocols**
- **Integrate mobile technology into program services**
- **Integrate SharePoint with external stakeholders**
- **Leverage investigations and audit outcomes to build outreach**



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GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Enhance Division performance through employee development and process improvement.

OBJECTIVE

By end of FY17-18 achieve greater than 85% redundancy in critical Division tasks. A task is redundant when no less than two employees are trained and the task has been fully documented.

EVALUATION

The Department will evaluate success by creating a matrix that incorporates critical tasks, personnel trained & overall percentage of tasks that are documented and have at least two people trained in them.

ACTIVITIES

- Inventory all critical Division tasks, identifying which have or need redundancy.
- Prioritize training plan based on risk and build tracking matrix to identify personnel to be trained.
- Create protocol to track increase in redundancy in real time.
- Build training curriculum and training plan for each critical Division task.
- Execute on training plan and incorporate into performance evaluations and reward strategies.

DISCUSSION

As the Department evolves from paper-based and in-person interactions to online and virtual ones, it is important to position the Department for success. This includes building upon individual skills and expanding current capabilities through focused cross-training. The Division took a full inventory of tasks and skills and the Division is applying a training regimen to create redundancy and capacity across all Division programs. Given the success of the Divisions first year efforts we continue to challenge ourselves by increasing FY17-18 estimates to greater than 85%.

PERFORMANCE MEASURES

	ACTUAL FY14-15	ESTIMATED FY15-16	ESTIMATED FY16-17	PROJECTED FY17-18
Number of critical Division tasks	58	58	58	58
Number of tasks with redundancy (no less than 2 employees trained and fully documented)	25	29	44	50
Percentage of tasks with redundancy (see above)	43%	50%	>75%	>85%

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Increase customer satisfaction through improved system usability and efficiency.

OBJECTIVE

By end of FY15-16, reduce the rejection rate for charitable registration filings to 8%.

EVALUATION

The Department will evaluate its success through daily performance dashboards and periodic ad hoc reporting tools. Continuous rejection rate monitoring will drive midstream adjustments while periodic comparisons between current rates, historical trends, and initial estimated benchmarks will provide valuable feedback on progress toward our overall goal.

ACTIVITIES

- Conduct outreach and training to educate potential registrants who are involved with charitable organizations, charitable solicitations and professional non-profit fundraising on registration requirements with the State.
- Release new online filing system to incorporate customer-driven enhancements & conduct root cause analysis on high volume rejects to guide process improvement effort.

DISCUSSION

The growth in the number of registered charities was 8% in FY 12-13, 6.4% in FY 13-14, and 7.3% in FY 14-15. The growth in the total number of filings fell 8.1% in FY 12-13, but began climbing again in FY 13-14 (+4.2%) and FY 14-15 (+6.5%). We believe there is a correlation between the increase in filings and the streamlining of the tax-exempt application process at the Internal Revenue Service that began in July, 2014. Consequently, the Department is projecting growth in filing volume of 7% per year. In FY 13-14, an analysis of the most common reasons for rejecting a filing resulted in adding more data validation within the filing system, which led to a significant improvement in the reject rates from FY12-13 to FY13-14. Ongoing monitoring of practices will ensure sustained levels of improved performance.

PERFORMANCE MEASURES

	ACTUAL FY12-13	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16
Total charity program filings submitted	14,142	15,105	16,084	17,210
Number of filings rejected	1,831	1,266	1,184	1,291
Percent of total charity program filings rejected	13.0%	8.4%	7.4%	7.5%

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Increase customer satisfaction through improved system usability and efficiency.

OBJECTIVE

By FY17-18, reduce the number of rejected notary public commission applications to 10%.

EVALUATION

The Department will evaluate success through performance dashboards and periodic ad hoc reporting tools. Continuous rejection rate monitoring will drive adjustments while periodic comparisons between current rates, historical trends, and initial benchmarks will provide valuable feedback on progress toward our overall goal.

ACTIVITIES

- Work with web design team to identify improvement opportunities related to usability.
- Conduct internal process compliance review to ensure accurate reject categorization and communication to applicant.
- Analyze reject reasons with new system data to determine trends and educational opportunities – enhance curriculum and update FAQ/training hand-outs.

DISCUSSION

After implementing a fully online filing system in December of 2013, the Division continues to focus on increasing the number of applicants who are successful upon their initial submission. As with any new system a user learning curve resulted in temporary increases in application reject rates. Using this reject data and user feedback the Division identified improvements to user training and system interfaces to clarify application requirements and facilitate compliance. Additionally, through the use of process mapping the Division is standardizing and auditing our internal review procedures to gain efficiencies. To account for the improvement efforts noted above, the project timeline is expanded to include FY17-18 to achieve the 10% rejection rate.

PERFORMANCE MEASURES

	ACTUAL FY12-13	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	ESTIMATED FY16-17	PROJECTED FY17-18
Number of Notary Applications Filed	25,008	24,780	25,094	25,000	25,000	25,000
Number of Notary Applications Rejected	3,392	3,099	3,205	2,750	2,625	2,500
Percent of Notary Applicants Rejected	13.6%	12.5%	12.8%	11.0%	10.5%	10.0%

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Increase customer satisfaction through improved system usability and efficiency.

OBJECTIVE

By end of FY17-18, reduce the number of rejected bingo-raffle license applications to 10%.

EVALUATION

The Department will evaluate its success through daily performance dashboards and periodic ad hoc reporting tools. Continuous rejection rate monitoring will drive midstream adjustments while periodic comparisons between current rates, historical trends and initial estimated benchmarks will provide valuable feedback on progress toward our overall goal.

ACTIVITIES

- Enhance consultation services to include education on the new system for both new and renewing applicants
- Through training and outreach efforts, educate potential applicants on the requirements for operating charitable gaming, prerequisites for licenses, and the application process.
- Develop and implement an online filing system that will assist applicants in determining if they meet prerequisites for a license, as well as guide them step-by-step through the application-filing process.

DISCUSSION

In FY14-15 Bingo/Raffle rejection rates were below our targeted reduction rate of 10%. Reject measurements will see only marginal improvements until the deployment of the license application module of the online system. As with any new system, the Division anticipates a user learning curve that will result in dramatic but temporary increases in reject rates due to the comparatively small volume of applicants for Bingo/Raffle licensure+ (e.g. ~85,000 Notaries Public vs ~1,200 Bingo/Raffle entities). With the expansion of the consultation model the Division anticipates increasing the knowledge level of both new and existing users of the application which will cause an increase in successful filings in FY17-18.

PERFORMANCE MEASURES

	ACTUAL FY12-13	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	ESTIMATED FY16-17	PROJECTED FY17-18
Number of licensed bingo entities	1,275	1,237	1,215	1,220	1,255	1,285
Number of bingo/raffle licenses rejected	214	158	81	70	151	129
Percent of bingo/raffle licenses rejected	16.8%	12.8%	6.7%	5.7%	12.0%	10.0%

The Elections Division supports the Secretary of State as the state's chief election official by administering and supervising statutory and constitutional provisions that relate directly or indirectly to the conduct of Colorado elections. These include certifying content to the ballot, publishing the abstract of vote totals, as well as overseeing the verification of petitions for ballot issues, campaign finance filings, voting equipment certifications, requirements of the National Voter Registration Act and the Help America Vote Act, and maintaining the statewide voter registration system.



Office of the
**Secretary
of State**

Elections

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GOALS

Leverage Technology

Process Uniformity

Education

Transparency/Compliance

OBJECTIVES 2016

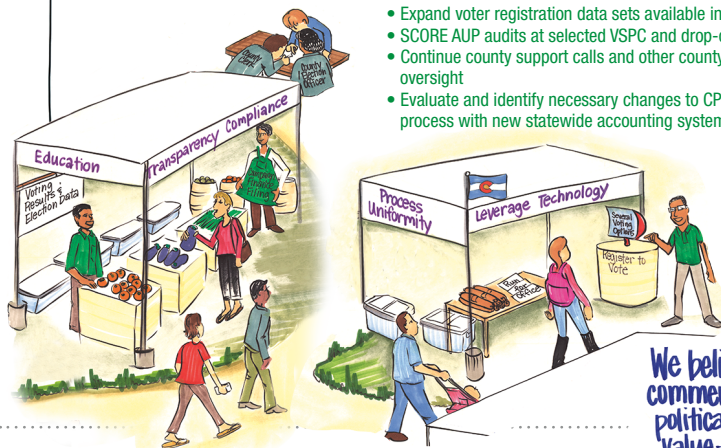
- Implement fully electronic transmission of DMV registration data
- Implement additional security measures for UOCAVA ballot delivery
- Create NCOA/ERIC SCORE module for county users
- Scope and implement TRACER enhancements
- Create ePayment options for Campaign Finance (CPF) fines
- Expand rollout of end-point protection for county SCORE users
- Consolidate best points from Clerk's Associate webpage with ours
- Enhance OLVR to improve end user experience
- Re-evaluate and establish Uniform Voting System rollout plan, including funding options and begin pilot tests
- Rollout VSPC module with full registration capability
- Improve continuity activities by identifying single point of failure issues
- Improve election cost data collection
- Train county end-users on VSPC module
- Rollout county petition verification guide
- Update Elections policy manual to account for statutory and rule changes
- Update CPF policy manual to account for statutory and rule changes
- Maintain and expand in-person and online clerk training opportunities
- Design and deploy CPF and TRACER eLearning Modules
- Expand voter registration data sets available in ACE
- SCORE AUP audits at selected VSPC and drop-off locations
- Continue county support calls and other county support/oversight
- Evaluate and identify necessary changes to CPF fin collection process with new statewide accounting system

OBJECTIVES 2017

- Coordinate with CDOR on development of new DRIVES system and integrate with SCORE
- Continue to improve ballot delivery for UOCAVA voter access
- Review and improve NCOA/ERIC SCORE module for county users
- Explore TRACER development to allow for electronic filing of Personal Financial Disclosure (PFD)
- Create ePayment options for VRDs, data requests, and petition entity licenses
- Make end-point protection for county SCORE users mandatory
- Identify and implement centralized collection of state and local felon info for list maintenance
- Switch over to SOS website
- Continue to make enhancements
- Select and begin Rollout Uniform Voting System
- Develop and implement enhancements to improve usability of VSPC module
- Update Election Disaster Mitigation Plan
- Publish Elections Costs Best Practices Guide for Counties
- Develop and implement SCORE eLearning curriculum, including VSPC training materials
- Review and update county petition verification guide due to feedback and possible statutory/rules changes
- Update Election policy manual to account for statutory and rule changes
- Update CPF policy manual to account for statutory and rule changes
- Maintain and expand in-person and online clerk training opportunities
- Expand CPF and TRACER eLearning offerings and conduct public outreach to encourage usage
- Develop and implement alternate language voter guides, including braille
- Implement Congressional district voter registration data sets in ACE
- Continue to conduct SCORE AUP audits at selected VSPC and drop-off locations in all 64 counties
- Identify and deploy regional county support staff
- Implement changes to CPF fine collection process by working with State Central Collections

OBJECTIVES 2018

- Review and improve DRIVES system integration with SCORE
- Identify and implement enhancements to UOCAVA ballot delivery, explore expanding to emergency voters
- Roll out county training for new module
- Continue to enhance TRACER capabilities
- Explore other areas for e-payment
- Identify and implement centralized collection of CDPHE death info for list maintenance
- Revamp and improve website
- Review potential changes to continue improvements for end user
- Full implementation of Uniform Voting System
- Continue to update and improve VSPC module
- Update COOP
- Fully standardize cost collection process
- Develop and expand boot camp/odd-year training season model
- Continue to review and update county petition verification guide due to feedback and possible statutory/rules changes
- Update Elections policy manual to account for statutory and rule changes
- Update CPF policy manual to account for statutory and rule changes
- Update CPF policy manual to account for statutory and rule changes
- Maintain and expand in-person and online clerk training opportunities
- Continue to perfect CPF and TRACER eLearning modules
- Work with stakeholders to perfect these guides
- Continue to expand data sets in ACE
- Conduct off-year SCORE AUP audits along with ADA reviews at selected locations
- Setup permanent regional staff to support counties
- Identify and implement TRACER enhancements



We believe in... growing commerce and fostering political freedom by being value-driven, ethical and efficient.

We serve you by... building trust instilling confidence and offering common sense creative solutions.

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Implement ePayment capability for Campaign Finance (CPF) fines.

STRATEGIC PLANNING THEME: Leverage Technology

OBJECTIVE

Make e-payment available for CPF fines.

EVALUATION

The Department will track progress of IT, measure against increase of paid fines.

ACTIVITY

Re-open discussion with IT and Quest. Add to project list and budget.

PERFORMANCE MEASURES

	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Percentage of fines paid by ePayment	0%	25%	90%

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Improve Online Voter Registration (OLVR) to enhance the end-user experience.

STRATEGIC PLANNING THEME: Leverage Technology

OBJECTIVE

Improve the voter registration experience for first time users of the electronic application and provide more information to current registered voters who update or withdraw their voter information.

EVALUATION

- The Department will use the number of registration transactions to determine bandwidth and hardware necessary to accommodate users.
- The Department will continue to evaluate current technological trends to ensure the best user experience possible.

ACTIVITY

- Monitor the number of transactions monthly to establish usage parameters.
- Add email notification, voter registration wording changes for new, update and withdrawal, add the ability for voters to update their record using the last 4 digits SSN, change order of fields to match in both Classic, and Mobile applications, make data entry format consistent on both Classic and Mobile (e.g. birth data field), create Voter Registration Drive access, fix GoVoteColorado landing page.

PERFORMANCE MEASURES

	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
OLVR New Registrants	27,206	39,000	75,000
OLVR Updates	110,326	160,000	650,000
OLVR Updates by Last 4 Digits of SSN	0	5,000	8,000

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Increase opportunities for military and overseas voters (UOCAVA) to receive an un-voted ballot early enough to vote and return the ballot in time to be counted.

STRATEGIC PLANNING THEME: Leverage Technology

OBJECTIVE

Increase the number of voters using the system to obtain an un-voted ballot to all military and overseas voters who desire or need to use the transmission method.

EVALUATION

The Department will review the voter and county user surveys to evaluate success of the program. The feedback will be used to identify system and process enhancements to make the program more voter-friendly and efficient, and to increase independence from any vendor.

ACTIVITIES

- Provide ongoing training and support to counties.
- Partner with expert county users and the vendor to identify and develop system functionality to continue to make it more voter-friendly and administratively efficient.
- Identify and implement system enhancements and cosmetic changes to the system to increase usability.

PERFORMANCE MEASURES

	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Number of counties providing UOCAVA online ballot transmission	64	64	64
Number of total UOCAVA voters issued a ballot	15,367	16,920	22,000

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Conduct voter outreach using mailing and enhance the usability of OLVR for Voter Registration Drive (VRD) use and develop a tool that will allow any Colorado voter to access his or her sample ballot.

STRATEGIC PLANNING THEME: Leverage Technology

OBJECTIVE

Improve voter outreach and education; provide online access to sample ballots based on residence address 45 days before election day.

EVALUATION

The Department will track the increasing number of VRDs using online registration instead of paper registration forms; track the number of electors who view the sample ballot online; track the registration correspondence sent to unregistered citizens compared to new registrations.

ACTIVITY

Send direct mailings to potential voters based on Colorado Department of Revenue records, allow voters to look up their sample ballot by residence, and develop online registration to allow VRD tracking.

PERFORMANCE MEASURES

	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Number of VRDs using OLVR	0	0	5
Number of mailings (ERIC)	178,000	0	200,000
Number of voters visiting sample online ballot tool	Not able to track	5,000	10,000

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Develop/implement a statewide voter registration ePollbook module that combines the ability to register voters, update voter records (VR), and issue ballots for use at Voter Service and Polling Centers (VSPC) during elections.

STRATEGIC PLANNING THEME: Leverage Technology

OBJECTIVE

View voter registration records for statewide for ballot issuance.

EVALUATION

The Department will track usage and effectiveness of new combined module.

ACTIVITY

Improve the user interface with real time access to VR with the ability to update name, residence, affiliation and status, and issuance of correct ballot in one module.

PERFORMANCE MEASURES

	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Register voters	0	15,000	15,000
Update residential and mailing addresses	43,978	75,000	100,000
Issue ballot	101,060	100,000	150,000
Update keyline and affiliation	0	25,000	30,000

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Set National Voter Registration Act, section 7 (NVRA) site specific performance standards.

STRATEGIC PLANNING THEME: Process Uniformity

OBJECTIVE

Ensure NVRA performance compliance by setting site specific performance standards using monthly number of clients served at each site provided by NVRA site coordinators, liaisons, or department leads.

EVALUATION

The Department will monitor voter registration agency performance and target agency support.

ACTIVITIES

- Oversee the submission of site specific data from each NVRA agency.
- Collect a count of NVRA responses to the option to register to vote (Yes or No) and compare against the number of people served by that agency for the same period.
- Monthly reporting reminder emails to each agency and follow-up emails as necessary to clarify reported data, quarterly newsletter sent via email to each agency, and periodic site visits.

PERFORMANCE MEASURES

	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Percentage of NVRA agencies that file compliance reports timely	99%	100%	100%
Agency site visits	12	12	15
Percentage of NVRA agencies that have supplied information on # served*	68%	85%	95%

*Excludes disability services at colleges/universities.

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL **Implement Uniform Voting System statewide by 2016 General Election.**

STRATEGIC PLANNING THEME: Process Uniformity

OBJECTIVE

Transition each Colorado county to a common voting system to ensure uniformity and consistent application.

EVALUATION

The Department will review surveys completed by stakeholders and the recommendations of the Pilot Election Review Committee to evaluate each pilot system.

ACTIVITY

- Selected four or more voting systems to conduct pilots with select counties during the 2015 election cycle.
- Will be followed by the selection of a single uniform voting system for statewide implementation.
- Survey stakeholders, including voters, county election staff and supervisor judges of each voter service and polling center in the pilot counties.
- Select uniform system or systems for statewide implementation

PERFORMANCE MEASURES

	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Number of Colorado counties using selected system	0	0	21

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Increase the number of certified county staff under the new certification rules adopted in 2013.

STRATEGIC PLANNING THEME: Education

OBJECTIVE

Provide learning opportunities on topics relevant to county election officials.

EVALUATION

The Department will utilize surveys, ballot examination, auditing procedures, etc., to ensure counties implement procedures and comply with laws and rules.

ACTIVITIES

- Provide a combination of online and regional classroom training opportunities.
- Encourage county clerks to have all staff who work with elections (full or part-time) to take elections courses.

PERFORMANCE MEASURES

	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
County officials newly certified by SOS	42	50	50
County officials currently certified by SOS	352	350	350
Number of county officials who attended at least one in-person training	269	335	275

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Provide online training opportunities accessible to all clerks and county staff to reduce travel expenses.

STRATEGIC PLANNING THEME: Education

OBJECTIVES

To provide training on a wide range of topics that county elections staff can access on demand to complete the elections certification process required by rule.

EVALUATION

The Department will conduct periodic surveys to evaluate the effectiveness of the courses. Evaluations will cover participant satisfaction questions, as well as questions about counties changing or updating their procedures based on information learned in the courses.

ACTIVITY

With the guidance of the Certification Advisory Board, create and maintain a catalog of basic elections topics.

PERFORMANCE MEASURES

	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Number of online classes offered for certification training	17	19	20

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Employ a SCORE eLearning certification course to ensure all users receive the instruction necessary to utilize the statewide voter registration and election management system.

STRATEGIC PLANNING THEME: Education

OBJECTIVE

Develop SCORE eLearning training and include it as a required course for elections certification and Voter Service and Polling Center staff, and continue to add additional courses as needed.

EVALUATION

The Department will list schedule and task completion, functional development updates.

ACTIVITY

Track every class taken by county for certification.

PERFORMANCE MEASURES

	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Number of county election officials taking course	Course not yet developed	Course in development	100

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Implement and maintain Accountability in Colorado Elections (ACE) website.

STRATEGIC PLANNING THEME: Transparency/Compliance

OBJECTIVE

Ensure transparency in Colorado elections by packaging publicly available data in an easily digestible format.

EVALUATION

- Reduce the number of non-compliant and non-participatory counties.
- Department will continue to seek and implement feedback in accuracy of data displayed.
- Department will continue to proactively work with counties to address issues to increase compliance with statute and rule requirements.

ACTIVITIES

- Develop, deploy, and maintain a series of interactive charts, maps, and tables on the Secretary of State website using publicly available elections data.
- Enhance site by developing new maps based on feedback from counties and public.

PERFORMANCE MEASURES

	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Compliance data points collected	10	10	10
Voter Registration data points reported	23	32	32
Voter Turnout and Ballot Method data points reported	14	14	14
Web views	23,228	30,000	150,000

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Campaign Finance (CPF) fine collection improvement.

STRATEGIC PLANNING THEME: Transparency/Compliance

OBJECTIVE

Improve CPF fine collections by assuring timely remittance to central collections and following collection rules.

EVALUATION

The Department will continue to monitor the collection process to identify ways to streamline the process.

ACTIVITY

- Track percent of fines collected and those turned over to central collections.
- Monitor complaints and litigation, legal developments, etc., to identify rule or process changes.
- Continue to work with Attorney General's office to ensure due process and compliance with the Fair Debt Reduction Act.

PERFORMANCE MEASURES

	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Percent of invoiced fines paid	76%	75%	80%
Percent of invoiced open fines	24%	25%	20%
Percent of fines imposed or partially reduced upon waiver request*	57%	65%	65%
Percent of fines fully or conditionally waived upon waiver request	43%	35%**	35%

* The number of fines imposed or partially reduced upon waiver request is a subset of total invoiced fines.

** This percentage is expected to decrease in FY 15-16, because the FY 14-15 percentage represents a large number of inactive committees that were terminated following waiver of penalty.

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Maintain high level SCORE functional support for county and state end users.

STRATEGIC PLANNING THEME: Transparency/Compliance

OBJECTIVE

Provide high level of technical and functional support to all election officials and staff required to use the Statewide Colorado Registration and Election (SCORE) system to maintain voter registration records and manage elections. Target training opportunities to reduce call volume.

EVALUATION

The Department will use the information to determine priority for trainings.

ACTIVITY

- Track every call and email received by the support team for technical and functional support.
- Create reports in CRM to track call content for the purpose of targeted training.

PERFORMANCE MEASURES

	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Number of county support calls fielded by SCORE team	16,282	14,000	17,000
Number of county support emails fielded by SCORE team	7,805	8,500	10,000

INFORMATION TECHNOLOGY (IT) DIVISION

The Information Technology (IT) Division provides technical and project management services, system development, and support to programs administered by IT and the other divisions of the Department. Our division has developed our own mission statement to express our purpose: *“To provide continuous commitment in delivering innovative, cost-effective, and secure Information Technology Solutions that supports the unique and individual goals of all divisions within the Department.”*



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Information Technology

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GOALS

Implement IT Service Level Agreements (SLAs)

Enhance our Technology Advantage

Enhanced Security Reporting and Tracking

Improve Resource Management

Training

OBJECTIVES 2016

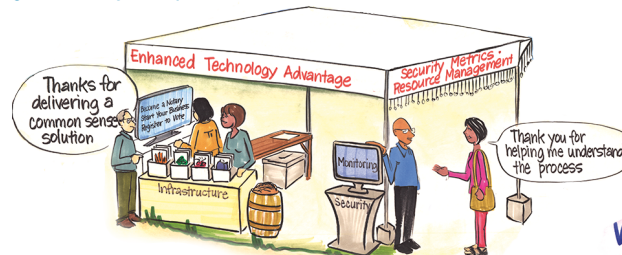
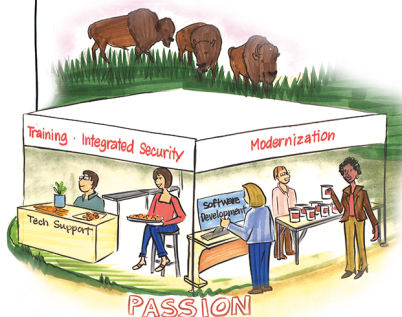
- Update services in and for each IT unit; Meet or exceed 92% of SLA expectations
- Implementation of collaboration environment; Complete upgrades of enterprise storage solutions; Execute on prioritized departmental projects
- Institute a program of regular audits of change management procedures; Submit rewrite of agency cyber security reports to OIT
- Continue developing backups for resources; Review and refresh process maps describing SDLC processes with line of businesses
- Securing the Human—100% within first month of employment; Live interactive training on security best practices

OBJECTIVES 2017

- Update services in and for each IT unit; Meet or exceed 95% of SLA expectations
- Stabilization and improvement of collaboration environment across our enterprise; Execute on prioritized departmental projects
- Regular information security assessment reports reviewed with department senior staff; conduct regular audit of all critical systems
- Maintain backups for resources; Sustain repeatable, predictable IT operations
- Skillsoft—meet or exceed 95% customer service and/or technology training; Continue regular training protocol on information security best practices

OBJECTIVES 2018

- Update services in and for each IT unit; Meet or exceed 95% of SLA expectations
- Stabilization and improvement of collaboration environment across our enterprise; Execute on prioritized departmental projects
- Regular information security assessment reports reviewed with department senior staff; conduct regular audit of all network systems
- Maintain backups for resources; Sustain repeatable, predictable IT operations
- Skillsoft—meet or exceed 95% customer service and/or technology training; Continue regular training protocol on information security best practices



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GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Implement IT Service Level Agreements (SLAs).

OBJECTIVE

Provide timely responses to service requests received from the CDOS business units.

EVALUATION

The Department will track metrics to ensure that response times and status communications are in line with the service level agreement.

ACTIVITIES

- Draft service-level-agreements between the business units and IT.
- Develop methods to improve customer support to the business units and ensure effective response times.
- Establish communication plans for major system changes.

PERFORMANCE MEASURES

	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Percent of major change activities communicated to business units	N/A	N/A	80%	100%
Respond to service requests in the time outlined in the SLA	N/A	N/A	92%	95%

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL Enhance our Technology Advantage.

OBJECTIVE

To improve office functionality and efficiency by leveraging technologies that will increase users' abilities to do their jobs.

EVALUATION

SharePoint implemented office wide by the end of 2015, with individual business unit environments established by the end of 2016.

ACTIVITIES

- By the end of 2015, deploy SharePoint to the office.
- Virtualize all possible servers and workstations to reduce hardware requirements.
- Provide increased storage options to keep pace with increasing needs.
- Research open source options to replace costly closed source products.
- Develop SharePoint environments for each business unit.

PERFORMANCE MEASURES

	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Percent of SharePoint implementation complete	N/A	N/A	100%	N/A
Number of business unit SharePoint environments established	N/A	N/A	4	8
Number of external stakeholder SharePoint portals established	N/A	N/A	0	1

GOAL Enhanced Security Reporting and Tracking.

OBJECTIVE

To develop methods for ensuring adherence to security standards and improve reporting practices to the business units.

EVALUATION

Increased number of formal audits of systems and controls performed annually.

ACTIVITIES

- Provide monthly data classification reports to line of business units
- Audit and report on Center for Internet Security (CIS) hardening standards
- Develop audit schedule for systems

PERFORMANCE MEASURES

	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Number of control audits	N/A	N/A	2	5

GOAL Improve Resource Management.

OBJECTIVE

To train members of the IT Division in multiple areas to provide overlap coverage for each position in IT.

EVALUATION

Increased number of documented procedures for standard activities.

ACTIVITIES

- Review document storage to reduce the amount of duplication within the file share.
- Develop procedures for common IT processes, so that others can have a reference for performing the tasks.
- Provide redundancy training so that every position has a secondary who can perform the duties of that position.

PERFORMANCE MEASURES

	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Number of SOPs generated or updated	N/A	N/A	75	83

GOAL Training.

OBJECTIVE

To provide quality and relevant training to all office personnel.

EVALUATION

The Department will evaluate its success by collecting and tracking detailed metrics on individual training results.

ACTIVITIES

- Security training of new employees is incorporated into the onboarding process
- Department supervisors will receive periodic reports of the training status of staff in their program areas
- Ensure all new employees, contractors, and interns complete Securing the Human training with the first week of their employment.
- Encourage users to continue education through Skillsoft training courses.
- Provide regular training and practice simulations for incident response team.

PERFORMANCE MEASURES

	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Percent of users that completed SANS Securing the Human training within 30 days of their start date.	97%	93%	90%	98%
Percent of IT personnel who have completed customer service and/or technology training.	N/A	N/A	97%	100%
Percent of users who have completed security training in the past year.	100%	100%	100%	100%

GOALS, OBJECTIVES AND PERFORMANCE MEASURES

GOAL

Support integration of information security into CDOS line of business

OBJECTIVE

To incorporate information security as part of the daily business practices.

EVALUATION

Increase in the number of secure procedures incorporated into business practices.

ACTIVITIES

- Develop plans for performing daily operations in a secure manner.
- Build templates to structure, guidance, and ease of operation.

PERFORMANCE MEASURES

	ACTUAL FY13-14	ACTUAL FY14-15	ESTIMATED FY15-16	PROJECTED FY16-17
Percent of users trained in secure email delivery	N/A	N/A	100%	100%
Percent of machines hardened per CIS standards	N/A	N/A	90%	100%
Percent of network devices forwarding logs to centralized logging server	N/A	N/A	98%	100%