

## Table of Contents

	<u>Page No.</u>
Organization Chart.....	1
Mission Statement.....	2
Vision Statement.....	2
Schedule 2.A - Department Summary (Request by Long Bill Group/Division) .....	3
Schedule 4 - Funding Summary.....	4
Schedule 5 - Summary of Health, Life, Dental.....	5
Schedule 5 - Summary of Short Term Disability.....	6
Schedule 5 - Summary of Salary Survey .....	7
Schedule 5 - Summary of Performance Based Pay .....	8
Schedule 5 - Summary of Amortization Equalization Disbursements .....	9
Schedule 7 - Summary of Change Requests .....	10
Schedule 11's - Cash Fund Status Fund 200 .....	11
Schedule 11's - Cash Fund Status Fund 20N .....	15
Schedule 11's - Cash Fund Status Fund 15N .....	19
Decision Item – Legal Services from the Department of Law .....	20
<u>Strategic Plans/Program Crosswalks</u>	
Administration Division	
Communications/Public Relations.....	23
Personnel.....	26
Finance Office.....	27
Clerk and Recorder Technology Fund.....	28
Information Technology Services Division.....	30
Elections Division	
Elections Division.....	39
Statutory Filings.....	41

Lobbyist Registration and Reporting .....42

Local Election Reimbursement.....43

Initiative and Referendum.....45

Campaign and Political Finance .....47

Help America Vote Act .....49

Licensing and Enforcement Division

    Administrative Rules .....53

    Bingo-Raffles (Charitable Gaming).....60

    Charitable Solicitations .....66

    Notaries Public.....72

    Uniform Electronic Transactions Act .....78

Business Organizations /Secured Transactions, Effective Financing Statements & Misc. Liens /  
 Legal Process/Authentications.....82

Schedule 3 - Operating Program Detail

Administration .....90

Information Technology Services.....100

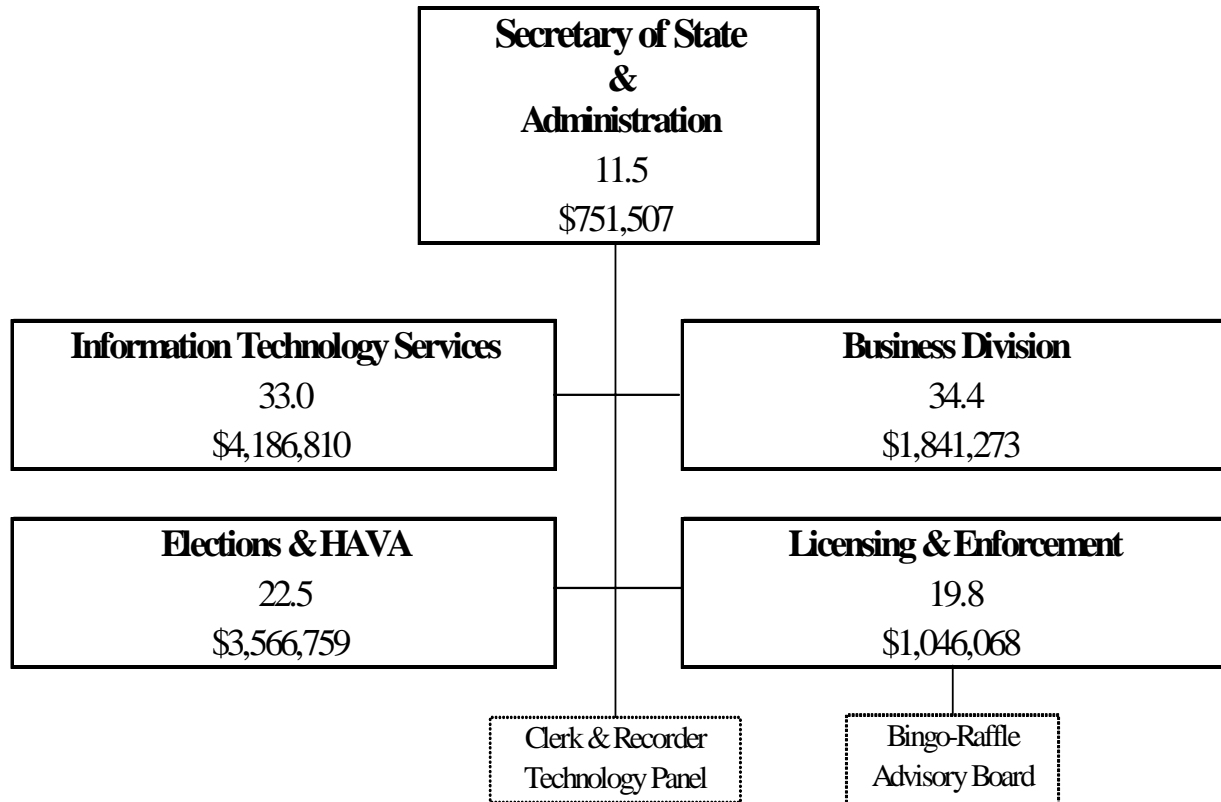
Special Purpose .....108

Help America Vote Act .....110

**COLORADO DEPARTMENT OF STATE**

**Organization Chart**

**FY 2007-08**



*(Each dollar amount shown above is the sum of the appropriations for Personal Services and Operating Expenses.)*

**Department of State Mission Statement**

The mission of the Department of State is to serve the public by performing constitutional and statutory duties of collecting, securing, and communicating information, ensuring the integrity of elections, and enhancing commerce.

**Department of State Vision Statement**

The vision of the Department of State is to provide accurate and reliable information through improved services to our customers. The Department of State will use technology to increase access, reduce fees, and provide easier and faster service to the public.



**Schedule 2.A  
Department Summary**

**Department: State**

	Actual FY 05		Actual FY 06		Appropriation FY 07		Estimate FY 07		Request FY 08	
	Total Funds	FTE	Total Funds	FTE	Total Funds	FTE	Total Funds	FTE	Total Funds	FTE
<i>Administration</i>										
<b>Total</b>	\$ 5,911,174	87.1	\$ 5,947,727	73.9	\$ 6,500,648	84.5	\$ 6,474,233	83.4	\$ 8,356,262	81.0
GF										
CF	\$ 5,911,174	87.1	\$ 5,921,713	73.9	\$ 6,336,493	84.5	\$ 6,397,609	83.4	\$ 8,233,936	81.0
CFE			\$ 26,014.00		\$ 164,155		\$ 76,624		\$ 111,732	
FF									\$ 10,594	
<i>Special Purpose</i>										
<b>Total</b>	\$ 8,832,548	8.6	\$ 5,519,763	9.2	\$ 11,445,389	11.0	\$ 24,176,585	8.0	\$ 5,590,137	15.0
GF										
CF	\$ 2,995,389		\$ 2,486,787		\$ 2,695,389		\$ 2,637,978		\$ 1,779,923	
CFE	\$ 5,641,486	8.6	\$ 2,924,037	9.2	\$ 8,750,000	11.0	\$ 21,407,211	8.0	\$ 3,710,214	15.0
FF	\$ 195,673		\$ 108,939				\$ 131,396		\$ 100,000	
<i>Information Technology</i>										
<b>Total</b>	\$ 5,746,821	24.0	\$ 7,320,238	29.5	\$ 6,657,012	31.0	\$ 7,646,320	32.0	\$ 6,913,439	33.0
GF										
CF	\$ 5,746,821	24.0	\$ 7,320,238	29.5	\$ 6,646,170	31.0	\$ 7,635,478	32.0	\$ 6,902,597	33.0
CFE					\$ 10,842		\$ 10,842		\$ 10,842	
FF										
<b>Department Total</b>										
<b>Total</b>	\$ 20,490,543	119.7	\$ 18,787,728	112.6	\$ 24,603,049	126.5	\$ 38,297,138	123.4	\$ 20,859,838	129.0
GF										
CF	\$ 14,653,384	111.1	\$ 15,728,738	103.4	\$ 15,678,052	115.5	\$ 16,671,065	115.4	\$ 16,916,456	114.0
CFE	\$ 5,641,486	8.6	\$ 2,950,051	9.2	\$ 8,924,997	11.0	\$ 21,494,677	8.0	\$ 3,832,788	15.0
FF	\$ 195,673		\$ 108,939				\$ 131,396		\$ 110,594	

**Schedule 4  
Source of Funding**

**Department:** State  
**Long Bill Group/Division:** Administration, Special Purpose, Information Systems

Source of Revenue	Fund Number	Actual FY05	Actual FY06	Approp. FY07	Estimate FY07	Request FY08
<b>Schedule 3 Total</b>		\$ 20,490,543	\$ 18,787,728	\$ 24,603,049	\$ 38,297,138	\$ 20,859,838
GF						
CF		\$ 14,653,384	\$ 15,728,738	\$ 15,678,052	\$ 16,671,065	\$ 16,916,456
CFE		\$ 5,641,486	\$ 2,950,051	\$ 8,750,000	\$ 21,494,677	\$ 3,832,788
FF		\$ 195,673	\$ 108,939	\$ 174,997	\$ 131,396	\$ 110,594
<b>Fund Lists</b>						
<b>Cash Funds (List each)</b>						
Dept of State - 24-21-104	200	\$ 14,197,717	\$ 13,926,306	\$ 13,856,065	\$ 15,721,023	\$ 16,565,757
Notary - 12-55-102.5	20N	\$ 266,633	\$ 324,819	\$ 321,987	\$ 321,987	\$ 350,699
Electronic Tech Fund 30-10-422	15N	\$ 189,034	\$ 1,477,613	\$ 1,500,000	\$ 628,055	
Cash Funds Exempt (HAVA)						
<i>CFE</i>	20P	\$ 5,641,486	\$ 2,950,051	\$ 8,750,000	\$ 21,494,677	\$ 3,832,788
<i>FF</i>	20P		\$ 108,939		\$ 131,396	\$ 110,594
Federal Funds (List each)						
<i>Grant 0303</i>	20P	\$ 178,308				
<i>Grant 0304</i>	20P	\$ 17,365				
<i>Grant 0305</i>	20P					

<b>Schedule 5.C</b>					
<b>Summary Table for Health / Life / Dental</b>					
	<b>Total Funds</b>	<b>GF</b>	<b>CF</b>	<b>CFE</b>	<b>FF</b>
<b>Actual FY 04-05 Expenditures from Pot</b>					
Administration	186,712		186,712		
Information Services	58,947		58,947		
HAVA	23,800		-	23,800	
<b>Department Total FY 04-05</b>	<b>269,459</b>	<b>-</b>	<b>245,659</b>	<b>23,800</b>	<b>-</b>
<b>Actual FY 05-06 Expenditures from Pot</b>					
Administration	208,996		208,996		
Information Services	64,973		64,973		
HAVA	27,049			27,049	
<b>Department Total FY 05-06</b>	<b>301,018</b>	<b>-</b>	<b>273,969</b>	<b>27,049</b>	<b>-</b>
<b>Estimate FY 06-07 (Pot Allocations)</b>					
Administration	154,083		154,083		
Information Services	116,494		116,494		
HAVA	37,202			37,202	
<b>Department Estimate FY 06-07</b>	<b>307,779</b>	<b>-</b>	<b>270,577</b>	<b>37,202</b>	<b>-</b>
<b>Projected FY 07-08 (Pot Allocations)</b>					
Administration	270,585		270,585		
Information Services	116,949		116,949		
HAVA	48,409			48,409	
<b>Department Request FY 07-08</b>	<b>435,943</b>	<b>-</b>	<b>387,534</b>	<b>48,409</b>	<b>-</b>



<b>Schedule 5.C</b>					
<b>Summary Table of Short Term Disability</b>					
	<b>Total Funds</b>	<b>GF</b>	<b>CF</b>	<b>CFE</b>	<b>FF</b>
<b>Actual FY 04-05 Expenditures from Pot</b>					
Administration	4,977		4,977		
Information Services	2,154		2,154		
HAVA	812		-	812	
<b>Department Total FY 04-05</b>	<b>7,943</b>	<b>-</b>	<b>7,131</b>	<b>812</b>	<b>-</b>
<b>Actual FY 05-06 Expenditures from Pot</b>					
Administration	4,785		4,785		
Information Services	2,274		2,274		
HAVA	786			786	
<b>Department Total FY 05-06</b>	<b>7,845</b>	<b>-</b>	<b>7,059</b>	<b>786</b>	<b>-</b>
<b>Estimate FY 06-07 (Pot Allocations)</b>					
Administration	4,154		4,154		
Information Services	2,005		2,005		
HAVA	521			521	
<b>Department Estimate FY 06-07</b>	<b>6,680</b>	<b>-</b>	<b>6,159</b>	<b>521</b>	<b>-</b>
<b>Projected FY 07-08 (Pot Allocations)</b>					
Administration	4,779		4,779		
Information Services	2,005		2,005		
HAVA	661			661	
<b>Department Request FY 07-08</b>	<b>7,445</b>	<b>-</b>	<b>6,784</b>	<b>661</b>	<b>-</b>

<b>Schedule 5.C</b>					
<b>Summary Table for Salary Survey</b>					
	<b>Total Funds</b>	<b>GF</b>	<b>CF</b>	<b>CFE</b>	<b>FF</b>
<b>Actual FY 04-05 Expenditures from Pot</b>					
Administration	58,468		58,468		
Information Services	54,438		54,438		
HAVA	7,935		-	7,935	
<b>Department Total FY 04-05</b>	<b>120,841</b>	<b>-</b>	<b>112,906</b>	<b>7,935</b>	<b>-</b>
<b>Actual FY 05-06 Expenditures from Pot</b>					
Administration	83,565		83,565		
Information Services	68,370		68,370		
HAVA	9,323			9,323	
<b>Department Total FY 05-06</b>	<b>161,258</b>	<b>-</b>	<b>151,935</b>	<b>9,323</b>	<b>-</b>
<b>Estimate FY 06-07 (Pot Allocations)</b>					
Administration	83,889		83,889		
Information Services	68,695		68,695		
HAVA	7,740			7,740	
<b>Department Estimate FY 06-07</b>	<b>160,324</b>	<b>-</b>	<b>152,584</b>	<b>7,740</b>	<b>-</b>
<b>Projected FY 07-08 (Pot Allocations)</b>					
Administration	110,815		110,815		
Information Services	73,877		73,877		
HAVA	22,380			22,380	
<b>Department Request FY 07-08</b>	<b>207,072</b>	<b>-</b>	<b>184,692</b>	<b>22,380</b>	<b>-</b>

<b>Schedule 5.C</b>					
<b>Summary Tables for Pay for Performance</b>					
	<b>Total Funds</b>	<b>GF</b>	<b>CF</b>	<b>CFE</b>	<b>FF</b>
<b>Actual FY 04-05 Expenditures from Pot</b>					
Administration	41,585		41,585		
Information Services	17,232		17,232		
HAVA	5,297			5,297	
<b>Department Total FY 04-05</b>	<b>64,114</b>	<b>-</b>	<b>58,817</b>	<b>5,297</b>	<b>-</b>
<b>Actual FY 05-06 Expenditures from Pot</b>					
Administration	-				
Information Services	-				
HAVA	-			-	
<b>Department Total FY 05-06</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Estimate FY 06-07 (Pot Allocations)</b>					
Administration	-				
Information Services	-				
HAVA	-				
<b>Department Estimate FY 06-07</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>-</b>
<b>Projected FY 07-08 (Pot Allocations)</b>					
Administration	27,083		27,083		
Information Services	18,485		18,485		
HAVA	5,330			5,330	
<b>Department Request FY 07-08</b>	<b>50,898</b>	<b>-</b>	<b>45,568</b>	<b>5,330</b>	<b>-</b>

<b>Schedule 5.C</b>					
<b>Summary Tables for Ammortization Equalization Disbursment</b>					
	<b>Total Funds</b>	<b>CF</b>	<b>CF</b>	<b>CFE</b>	<b>FF</b>
<b>Actual FY 04-05 Expenditures from Pot</b>					
Administration	-				
Information Services	-				
HAVA	-				
<b>Department Total FY 04-05</b>	-	-	-	-	-
<b>Actual FY 05-06 Expenditures from Pot</b>					
Administration	7,760		7,760		
Information Services	-				
HAVA	-			-	
<b>Department Total FY 05-06</b>	7,760	-	7,760	-	-
<b>Estimate FY 06-07 (Pot Allocations)</b>					
Administration	22,735		22,735		
Information Services	18,143		18,143		
HAVA	4,772			4,772	
<b>Department Estimate FY 06-07</b>	45,650	-	40,878	4,772	-
<b>Projected FY 07-08 (Pot Allocations)</b>					
Administration	35,671		35,671		
Information Services	22,143		22,143		
HAVA	4,772			4,772	
<b>Department Request FY 07-08</b>	62,586	-	57,814	4,772	-

**Schedule 7**  
**Summary of Change Requests**

**Department Name:** State  
**Submission Date:** November 1, 2006  
**Total Number of Decision Items:** 1  
**Total Number of Base Reduction Items:**

Priority Number	IT Request	Title	Total	FTE	GF	CF	CFE	FF
1	Yes <input type="radio"/> No <input type="radio"/>	Legal Services	60,000			60,000		
	<input type="radio"/> Yes <input type="radio"/> No							
	<input type="radio"/> Yes <input type="radio"/> No							
	<input type="radio"/> Yes <input type="radio"/> No							
	<input type="radio"/> Yes <input type="radio"/> No							
	<input type="radio"/> Yes <input type="radio"/> No							
	<input type="radio"/> Yes <input type="radio"/> No							
<b>Decision Item Subtotal</b>			60,000	0.0		60,000		
	<input type="radio"/> Yes <input type="radio"/> No							
	<input type="radio"/> Yes <input type="radio"/> No							
	<input type="radio"/> Yes <input type="radio"/> No							
	<input type="radio"/> Yes <input type="radio"/> No							
	<input type="radio"/> Yes <input type="radio"/> No							
	<input type="radio"/> Yes <input type="radio"/> No							
<b>Base Reduction Item Subtotal</b>			0	0.0		0		
<b>TOTAL</b>			60,000	0.0		60,000		

**Schedule 11.A**  
**Cash Fund Status for: Department of State - Fund 200**  
**C.R.S. Citation: 24-21-104**

**Cash Fund Revenue and Expenditure Trend Information**

	Actual FY 2004-05	Actual FY 2005-06	Estimate FY 2006-07	Request FY 2007-08	Projected FY 2008-09
Beginning Balance	\$7,193,087	\$5,467,142	\$5,409,319	\$3,909,319	
Exempt Revenue	\$45,000	\$4,728	\$0		
Non-Exempt Revenue	\$10,632,677	\$14,230,507	\$14,128,889	\$14,618,303	
Total Expenditures	\$12,403,622	\$14,293,058	\$15,628,889	\$16,127,622	
Ending Balance	\$5,467,142	\$5,409,319	\$3,909,319	\$2,400,000	
Ending Balance—Cash Assets	\$5,467,142	\$5,409,319	\$3,909,319	\$2,400,000	
Reserves Increase/Decrease	(\$1,725,945)	(\$57,823)	(\$1,500,000)	(\$1,509,319)	\$0

**Fee Levels**

Unless itemized here, this agency has had no fee increase in any year that follows a fee decrease.

**Cash Fund Reserve Balance**

	FY 2003-04	FY 2004-05	FY 2005-06
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	\$7,193,088	\$5,467,142	\$5,409,319
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	\$2,080,545	\$2,067,271	\$2,382,177
Excess Uncommitted Fee Reserve Balance			\$3,027,142
Statutory Deadline for Complying with the Target/Alternative Reserve Balance			

**Cash Fund Narrative Information**

Purpose/Background of Fund	The Secretary of State determines & charges fee amounts for filing each body corporate and politic document, for filing each facsimile signature, each official certificate, administering each oath, and for all transcripts or copies of papers and records. (24-21-104(1)(a), C.R.S.)
Fee Sources	Business Entity Filings, Bingo/Raffle Fees and Fines, Campaign Finance Reporting
Non-Fee Sources	
Long Bill Groups Supported by Fund	Administration, Special Purpose and Information Technology Services
Statutory or Other Restriction on Use of Fund	24-21-104 C.R.S.
Revenue Drivers	Number of Filings, both paper and electronic
Expenditure Drivers	New Legislation, Personal Services, Operating, Legal Services, and Leased Space
Assessment of Potential for Compliance	The Secretary of State has taken action to reduce the excess Uncommitted Fee Reserve balance by offering discounted fees for customers that file and pay over the Internet.
Action	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change <sup>1</sup> <input type="checkbox"/> Planned Fee Reduction <sup>1</sup> <input type="checkbox"/> Planned One-time Expenditure(s) <sup>1</sup> <input type="checkbox"/> Planned Ongoing Expenditure(s) <sup>1</sup> <input checked="" type="checkbox"/> Waiver <sup>2</sup>

1. If plan is needed to meet compliance deadline, attach Form 11.B.
2. If pursuing a waiver, attach Form 11.C.

<b>Schedule 11.B</b>		<b>Compliance</b>
<b>Plan for: Department of State - 200</b>		
C.R.S. Citation	24-21-104 & 24-21-104.50	
Action	Waiver Request	
Plan Description	<p>The Department of State has reduced fund balance in each of the last two fiscal years. The Department plans to monitor filings closely and contemplates temporary fee reductions to reduce revenues collected during FY07 and FY08, as it did in FY05. The FY07 Long Bill included Information Technology continuation funding for EFORT, a statewide disaster recovery resource, which will partially be funded by the cash fund and help to reduce the excess reserves.</p>	
Assumptions and Calculations	See Attached Schedule 11C	

SCHEDULE 11.C

S.B. 98-194 Waiver Request

<b>Department</b>	<i>Secretary of State</i>	<b>Fund Name/ COFRS#</b>	<i>Department of State Cash Fund 200</i>
<b>Program(s) Funded by the Cash Fund</b>	<i>Administration, Business Entities, Elections, Information Technology, and portions of Licensing</i>	<b>C.R.S. Citation</b>	24-21-104

**Funding Information for Line Items Supported by the Cash Fund  
(all funding sources)  
FY 2006-07 Appropriation**

<b>Division/Long Bill Line Items Supported by the Cash Fund</b>	<b>Total</b>	<b>FTE</b>	<b>CF for the Fund in this Schedule</b>	<b>Other CF</b>	<b>CFE for the Fund in this Schedule</b>	<b>Other CFE</b>	<b>FF</b>
<i>Total of all Lines</i>	15,950,876	115.5	15,628,889	321,987	164,155	0	0
<i>Line Item</i>							
Personal Services	4,180,740	84.5	4,056,277	124,463	75,000		
HLD	206,669		200,555	6,114	63,908		
STD	6,009		5,831	178	150		
Ammortizationn Equalization Payment	40,878		39,669	1,209			
Executive Services	152,584		148,069	4,515			
Workers Comp	7,098		6,888	210	532		
Operating Expense	675,086		650,200	24,886	5,000		
Legal Services	106,903		103,740	3,163	10,000		
Adm Law Judges	117,488		114,012	3,476			
GGCC	829		804	25			
MNT	52,746		51,185	1,561			
Risk Management	12,620		12,247	373	1,092		
Vehicle Lease	4,044		3,924	120			
Lease Space	627,774		609,201	18,573			
Indirect Costs	113,610		110,249	3,361	8,473		
Discretionary Fund	5,000		4,852	148			
<i>Special Purpose</i>							
County clerk reimb							
Local Elections	1,729,923		1,729,923				
Initiative & Referendum	200,000		200,000				
Master List	80,000		80,000				
<i>Information Technology</i>							
Personal Services	4,640,870	31	4,576,304	64,566			
Operating Expense	1,393,934		1,371,518	22,416			
Hdwe/Sftwe Maint	876,120		847,858	28,262			
Asset Management	719,951		705,583	14,368			

**Cash Fund Reserve Information in Current Year**

Amount of Excess Reserve as of 7/1/06	Deadline for Compliance
\$3,027,142	June 30, 2008



<b>Cash Fund Reserve Information on Date of Compliance</b>	
Estimated Cash Fund Target Reserve on the Compliance Date	Estimated Amount of Excess Reserve on the Compliance Date
\$2,382,176	\$0
<b>Cash Fund Reserve Information at End of Waiver Period</b>	
Estimated Amount of Uncommitted Reserve to be Waived	Estimated Cash Fund Reserve at End of Waiver Period
\$3,027,142	\$2,382,176
<b>Waiver</b>	
Justification for Waiver	The Secretary of State is requesting this waiver in order to accommodate the use of fund balance monies in the event that the projected expenditures for the disaster recovery center cannot be funded from the current year's revenue collections. This is likely, in that, the Secretary is planning fee reductions as well, in order to come into compliance with Senate Bill 98-194. The Secretary intends to eliminate \$1.5 million in excess reserves in FY07 and the balance in FY08. According to CRS 24-21-104.5 if there are not sufficient resources in the Department of State Cash fund then the General Assembly may appropriate money from the General Fund. The Department of State Cash fund would have sufficient funds for this expenditure if the waiver is granted and the General Assembly would not have to consider funding from the General Fund.
Beginning Date	July 1, 2006
Ending Date	June 30, 2008
Plan	Attach Schedule 11.B

**Schedule 11.A**  
**Cash Fund Status for: Notary Administration - Fund 20N**  
**C.R.S. Citation: 12-55-102.5**

**Cash Fund Revenue and Expenditure Trend Information**

	Actual FY 2004-05	Actual FY 2005-06	Estimate FY 2006-07	Request FY 2007-08	Projected FY 2008-09
Beginning Balance	\$525,889	\$650,882	\$632,850	\$610,863	\$550,164
Exempt Revenue					
Non-Exempt Revenue	\$391,626	\$374,360	\$300,000	\$290,000	\$270,000
Total Expenditures	\$266,633	\$392,392	\$321,987	\$350,699	\$360,555
Ending Balance	\$650,882	\$632,850	\$610,863	\$550,164	\$459,609
Ending Balance—Cash Assets	\$650,882	\$632,850	\$610,863	\$550,164	\$459,609
Reserves Increase/Decrease	\$124,993	(\$18,032)	(\$21,987)	(\$60,699)	(\$90,555)

**Fee Levels**

Unless itemized here, this agency has had no fee increase in any year that follows a fee decrease.

**Cash Fund Reserve Balance**

	FY 2003-04	FY 2004-05	FY 2005-06
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	\$525,889	\$650,882	\$632,850
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	\$26,878	\$44,439	\$65,399
Excess Uncommitted Fee Reserve Balance			\$567,451
Statutory Deadline for Complying with the Target/Alternative Reserve Balance			

**Cash Fund Narrative Information**

Purpose/Background of Fund	The "General Assembly shall make annual appropriations from the Notary Administration cash fund for expenditures of the Secretary of State incurred in the performance of the Secretary of State's duties under this Article (Article 55, Notaries Public)" (12-55-102.5 (2) C.R.S.)
Fee Sources	Filing Fees
Non-Fee Sources	None
Long Bill Groups Supported by Fund	Administration and Information Technology
Statutory or Other Restriction on Use of Fund	None
Revenue Drivers	Number of Files (walk in or mail in), future electronic notary filings.
Expenditure Drivers	Expenditures are driven by two relatively consistent costs, personal services and operating costs.
Assessment of Potential for Compliance	
Action	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change <sup>1</sup> <input type="checkbox"/> Planned Fee Reduction <sup>1</sup> <input type="checkbox"/> Planned One-time Expenditure(s) <sup>1</sup> <input type="checkbox"/> Planned Ongoing Expenditure(s) <sup>1</sup> <input checked="" type="checkbox"/> Waiver <sup>2</sup>

1. If plan is needed to meet compliance deadline, attach Form 11.B.

2. If pursuing a waiver, attach Form 11.C.

<b>Schedule 11.B</b>		<b>Compliance</b>
<b>Plan for: Notary Administration - 20N</b>		
C.R.S. Citation	12-55-102.5	
Action	Waiver Request	
Plan Description	The Secretary of State is requesting a waiver in accordance with SB 98-194. The Electronic Notary initiative will increase expenses to the fund beyond routine operations. The Department is also examining other options to eliminate some fees and temporarily reducing fee levels to impact excess reserves.	
Assumptions and Calculations	See Attached Schedule 11C	

**SCHEDULE 11.C  
S.B. 98-194 Waiver Request**

<b>Department</b>	<i>Secretary of State</i>	<b>Fund Name/ COFRS#</b>	<i>Notary Administration Cash Fund 20N</i>
<b>Program(s) Funded by the Cash Fund</b>	<i>Administration and Information Technology</i>	<b>C.R.S. Citation</b>	<i>12-55-102.5</i>

**Funding Information for Line Items Supported by the Cash Fund  
(all funding sources)  
FY 2006-07 Appropriation**

<b>Division/Long Bill Line Items Supported by the Cash Fund</b>	<b>Total</b>	<b>FTE</b>	<b>CF for the Fund in this Schedule</b>	<b>Other CF</b>	<b>CFE for the Fund in this Schedule</b>	<b>Other CFE</b>	<b>FF</b>
<i>Total of all Lines</i>	15,950,876	115.5	321,987	15,628,889	164,155	0	0
<i>Line Item</i>							
Personal Services	4,180,740	84.5	124,463	4,056,277	75,000		
HLD	206,669		6,114	200,555	63,908		
STD	6,009		178	5831	150		
Ammortizationn Equalization Payment	40,878		1,209	39,669			
Executive Services	152,584		4,515	148,069			
Workers Comp	7,098		210	6888	532		
Operating Expense	675,086		24,886	650,200	5,000		
Legal Services	106,903		3,163	103,740	10,000		
Adm Law Judges	117,488		3,476	114,012			
GGCC	829		25	804			
MNT	52,746		1,561	51,185			
Risk Management	12,620		373	12,247	1,092		
Vehicle Lease	4,044		120	3,924			
Lease Space	627,774		18,573	609,201			
Indirect Costs	113,610		3,361	110,249	8,473		
Discretionary Fund	5,000		148	4,852			
<i>Special Purpose</i>							
County clerk reimb	0						
Local Elections	1,729,923			1,729,923			
Initiative & Referendum	200,000			200,000			
Master List	80,000			80,000			
<i>Information Technology</i>							
Personal Services	4,640,870	31	64,566	4,576,304			
Operating Expense	1,393,934		22,416	1,371,518			
Hdwe/Sftwe Maint	876,120		28,262	847,858			
Asset Management	719,951		14,368	705,583			

**Cash Fund Reserve Information in Current Year**

Amount of Excess Reserve as of 7/1/06	Deadline for Compliance
\$567,451	June 30, 2011

<b>Cash Fund Reserve Information on Date of Compliance</b>	
Estimated Cash Fund Target Reserve on the Compliance Date	Estimated Amount of Excess Reserve on the Compliance Date
\$65,399	\$0
<b>Cash Fund Reserve Information at End of Waiver Period</b>	
Estimated Amount of Uncommitted Reserve to be Waived	Estimated Cash Fund Reserve at End of Waiver Period
\$567,451	\$65,399
<b>Waiver</b>	
Justification for Waiver	The Secretary of State is requesting this waiver in accordance with SB 98-194. The Department is considering the feasibility of eliminating certain fees and/or temporarily reducing fee amounts, as well as increasing expenditures within the program.
Beginning Date	July 1, 2006
Ending Date	June 30, 2011
Plan	Attach Schedule 11.B

**Schedule 11.A**  
**Cash Fund Status for: Electronic Technology Filing - Fund 15N**  
**C.R.S. Citation: 30-10-422**

**Cash Fund Revenue and Expenditure Trend Information**

	Actual FY 2004-05	Actual FY 2005-06	Estimate FY 2006-07	Request FY 2007-08	Projected FY 2008-09
Beginning Balance	\$2,055,406	\$2,038,962	\$628,055	\$0	
Exempt Revenue					
Non-Exempt Revenue	\$172,590	\$66,706	\$10,000		
Total Expenditures	\$189,034	\$1,477,613	\$628,055		
Ending Balance	\$2,038,962	\$628,055	\$10,000		
Ending Balance—Cash Assets	\$2,038,962	\$628,055	\$10,000		
Reserves Increase/Decrease	(\$16,444)	(\$1,410,907)	(\$618,055)	\$0	\$0

**Fee Levels**

Unless itemized here, this agency has had no fee increase in any year that follows a fee decrease.

**Cash Fund Reserve Balance**

	FY 2003-04	FY 2004-05	FY 2005-06
Uncommitted Fee Reserve Balance (total reserve balance minus exempt assets and previously appropriated funds; calculated based on % of revenue from fees)	\$2,055,406	\$2,038,962	\$628,055
Target/Alternative Fee Reserve Balance (amount set in statute or 16.5% of total expenses)	\$3,042	\$31,506	\$10,000
Excess Uncommitted Fee Reserve Balance			\$0
Statutory Deadline for Complying with the Target/Alternative Reserve Balance			

**Cash Fund Narrative Information**

Purpose/Background of Fund	The Electronic Filing Technology Fund Advisory Panel was created by House Bill 02-1119 to assist counties with the implementation of electronic recording of real estate documents. The monies in this fund shall be used by counties who otherwise lack sufficient resources to purchase technologies necessary to implement electronic recording or upgrade their core recording systems. The County Clerk and Recorder Electronic Filing Technology Fund Advisory Panel is responsible for issuing grants to counties who apply for funding. The requirements for applying for funds and for grant approval have been defined by the Advisory Panel. FY07 grants are anticipated to use up the entire fund balance other than interest earned during the year.
Fee Sources	Surcharge of \$1.00 for each document received from recording or filing in a county office.
Non-Fee Sources	None.
Long Bill Groups Supported by Fund	Electronic Technology Grants to Counties.
Statutory or Other Restriction on Use of Fund	None.
Revenue Drivers	Number of filing of deeds, etc., at the county.
Expenditure Drivers	Expenditures are made when a county's grant is approved. In addition, funds are used for panel members for direct costs and travel directly affecting administration of the Technology Fund.
Assessment of Potential for Compliance	
Action	<input type="checkbox"/> Already in Compliance <input type="checkbox"/> Statute Change <sup>1</sup> <input type="checkbox"/> Planned Fee Reduction <sup>1</sup> <input type="checkbox"/> Planned One-time Expenditure(s) <sup>1</sup> <input checked="" type="checkbox"/> Planned Ongoing Expenditure(s) <sup>1</sup> <input type="checkbox"/> Waiver

1. If plan is needed to meet compliance deadline, attach Form 11.B.

2. If pursuing a waiver, attach Form 11.C.

## DECISION ITEM REQUEST FOR FY 2007-08

**TITLE:**           **Legal Services from the Department of Law**

**DIVISION:**     **Administration**

**PROGRAM:**     **LEGAL SERVICES**

**PRIORITY NUMBER:**   **1 OF 1**

**FEDERAL AND STATE STATUTORY AND CONSTITUTIONAL AUTHORITY:** 42 U.S.C. 15512, et seq. (federal “Help America Vote Act of 2002”); Article IV, sections 1, 3 and 18; Article V, sections 1, 44, and 48; Article VII; Article XII, section 9; Article XVIII, Sections 2 and 12a, and Article XXVIII, Colorado Constitution; Sections 1-1-107, 24-1-111, 24-4-103, 24-31-101 (1)(e), Title 24, Article 21, and Title 24, Article 50, C.R.S.

### Total Fund Request – Schedule 6

		PRIOR YEAR ACTUAL FY2005-2006	Appopr. FY2006-07	BASE REQUEST FY 2007-08	DECISION ITEM REQUEST FY 2007-08	TOTAL REVISED REQUEST	OUT YEAR FY 2008-09
LEGAL SERVICES	<b>TOTAL</b>	\$173,112	\$116,903	\$116,903	\$60,000	\$176,903	\$176,903
	<b>CF</b>	\$168,980	\$116,903	\$116,903	\$60,000	\$176,903	\$176,903
	<b>CFE</b>	\$4,132					

### Summary of Request:

To address legal issues and litigation brought against the Department and Secretary of State, the Department of State requests an increase in the base appropriation for Legal Services from the Department of State Cash Fund by an amount equal to a minimum of 885 hours, or approximately \$60,000.

### Program Description:

The Secretary of State is the chief executive of an office that oversees and administers numerous statutory and constitutional provisions that include: Colorado’s business and commercial statutes pertaining to profit and nonprofit corporations; limited liability companies; partnerships; trade names; secured transactions under the Uniform Commercial Code and miscellaneous liens; Colorado Election Code; Help America Vote Act; Voter Registration Law; Campaign Finance Laws; Campaign Finance Laws; Lobbyist Regulation; Colorado Charitable Solicitations Act, Bingo and Raffles Laws, and

Notaries Public Laws. The basic mission of the Department of State is to collect, secure, and make accessible a wide variety of public records, ensure the integrity of elections, and enhance commerce.

**Problem Description :**

In the last several years the Department’s costs for legal services have consistently exceeded the budget appropriations for these services, requiring the department to request supplemental appropriations or absorbing the additional costs in other areas of the budget. The increase in costs is primarily because of litigation brought against the Secretary of State as the State’s Chief Election Official. The following table compares the Long Bill appropriation versus actual expenditures in recent years:

<b>Fiscal Year</b>	<b>Long Bill Appropriation</b>	<b>Actual Expenditures</b>	<b>Difference</b>
FY06-07	\$116,903	\$277,881 (est.)	\$ (53,695)
FY05-06	\$121,617	\$201,539	\$ (79,922)
FY04-05	\$106,208	\$242,670	\$(136,462)
FY03-04	\$103,343	\$358,302	\$(254,959)

In FY 03-04, actual expenditures for legal services exceeded the Department’s appropriation by \$254,959, largely because of two major cases filed against the Secretary of State: (1) Challenges to the General Assembly’s congressional redistricting act (S.B. 03-352), and (2) challenges to the voters’ adoption at the 2002 General Election of Amendment 27 concerning campaign finance. For those cases that challenged the 2003 redistricting act, the Attorney General refused to represent the Secretary of State, therefore, causing the Department to hire outside counsel at rates substantially higher than the Department of Law rates.

For FY 04-05, the Department’s appropriation of \$106,208 fell short of the actual expenditures by \$136,462. This was largely attributable to the decision of the Attorney General to become a candidate for the United States Senate, which led to a determination that the Attorney General could not advise the Secretary of State on election matters that might affect the Attorney General’s candidacy. Thus, as in FY04, the Department had to obtain private legal counsel at substantially higher rates.

For FY 05-06, the Department again incurred costs greater than its appropriation because of issues surrounding elections. Costs for election-related cases accounted for considerably more than the appropriation of \$121,617 and the total expended for all legal services was \$79,922 more than the appropriation.

In FY06-07, in the first three months of the fiscal year, the Department incurred costs over \$53,000 more than the appropriation for the entire year, primarily due to one case – the *Conroy et al. v. Dennis et al* lawsuit. The *Conroy* lawsuit is one of a series of cases filed in various states this year by a national group whose purpose is to eliminate the use of electronic voting systems in the United States. This group is involved in litigation in at least eight states so far (Arizona, California, Colorado, New Jersey, New Mexico, New York, Pennsylvania, and Wisconsin). The *Conroy* case has cost the



Department approximately \$130,000 in legal services for the first few months of the fiscal year. As a result, the Department has submitted a Supplemental Appropriation Request for FY 2006-07 for an additional \$160,978 to pay for expected legal services during the remainder of the fiscal year for pending cases with the Department of Law as well as for routine legal opinions.

The amount needed in any fiscal year for legal services is always difficult to predict, largely because it depends on the legal issues and litigation that arise during the year. Since the Department's role is defendant rather than initiator where litigation is concerned, it has little control over the issues and litigation that may arise and the subsequent legal services required. Based on the Department's experience in recent years, the Department is reasonably certain that election-related issues will continue to generate a higher need for legal services. A growing awareness and interest among the public and advocacy groups in the conduct of elections has spawned more challenges to laws, rules and regulations, impacting the Department's need for legal services to defend those challenges.

#### **Available Alternatives:**

The Department has three alternatives with respect to an insufficient appropriation for legal services:

- (1) Continue with the appropriation as has been in the budget, and make a supplemental request each year as funds are depleted. This has been the practice in recent years, with both the Department of State and the Department of Law having to prepare supplemental requests for an additional appropriation.
- (2) Absorb additional costs, if possible, in the operating budget, and discontinue any defense involving the Department when additional funds are no longer an option. This would be detrimental to cases already in progress, would prevent the Department from obtaining critical legal opinions or defending the State on issues raised with the Secretary of State and/or the Department.
- (3) Increase the base request by a minimum of 885 hours (\$60,000) through this decision item.

#### **Recommendation:**

The increased need for legal services has become well-established over the last several years, and the need is not expected to diminish so as long as there are issues surrounding elections. The Department believes the best alternative is number three – increase its base by a minimum of 885 hours (\$60,000). While supplemental requests could continue to be made year after year, those requests require additional work by the Department of Law, the Department of State, and the Joint Budget Committee and its staff, and those resources would be better spent on other duties. And while the Department can sometimes absorb costs, there may not always be funds available to do so without a supplemental request. Given the responsibility of the Department with regard to oversight of statutory and constitutional provisions, discontinuing defense of those provisions is simply not an option.

## Strategic Plan / Program Narrative

### SECRETARY OF STATE / DEPARTMENT OF STATE

**PROGRAM TITLE:** Administration

**CHANGE REQUEST(S):** Base Reduction #1

**ESTIMATED TOTAL FUNDING:**

Line Item	FY 2006-07 Total Appropriation		FY 2007-08 Total Request	
	Dollars	FTE	Dollars	FTE
Personal Services	\$ 751,507	11.5	\$ 751,507	11.5
Health, Life and Dental	\$ 270,577		\$ 387,079	
Short-term Disability	\$ 6,159		\$ 6,784	
Amortization Equalization Disb.	\$ 40,878		\$ 57,814	
Executive Service	\$ 152,584			
Workers Compensation	\$ 7,630		\$ 8,779	
Operating Expenses	\$ 680,386		\$ 680,386	
Legal Services	\$ 116,903		\$ 176,903	
Administrative Law Judge Services	\$ 117,488		\$ 140,566	
Computer Center	\$ 829		\$ 437	
Multiuse Network	\$ 52,746		\$ 1,757,699	
Risk Management & Property Funds	\$ 13,712		\$ 18,244	
Vehicle Lease Payments	\$ 4,044		\$ 4,044	
Leased Space	\$ 627,774		\$ 621,469	
Indirect Costs	\$ 122,083		\$ 165,717	
Discretionary Fund	\$ 5,000		\$ 5,000	
<b>Totals</b>	<b>\$ 2,970,300</b>	<b>11.5</b>	<b>\$ 4,782,428</b>	<b>11.5</b>

**FEDERAL AND STATE STATUTORY AND CONSTITUTIONAL AUTHORITY:** Article IV, sections 1, 3, and 18, Article V, sections 1 and 48, Article VII, and Article XII, section 9, and Article XVIII, Sections 2 and 12a, Colorado Constitution; Section 24-1-111, Title 24, article 21, and Title 24, article 50, C.R.S.

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**PROGRAM DESCRIPTION:**

The Administrative Division of the department is responsible for providing office management and general administrative support to the Secretary of State and the department as a whole. Administrative support includes sub-programs of Communication/Public Information, Personnel, Finance Office, and Clerk and Recorder Technology Fund.

**SUB-PROGRAM:** COMMUNICATION/PUBLIC INFORMATION

**PROGRAM DESCRIPTION:**

The mission of the Secretary of State's office is to serve the public by performing constitutional and statutory duties of collecting, securing, and communicating information, ensuring the integrity of elections, and enhancing commerce. To successfully complete this mission, communication and education on how laws, rules, regulations and policies concerning the five diverse divisions of the department directly affect the public must be continually provided. The Public Information Office assists in carrying out the mission by tracking trends and issues pertinent to the department, keeping management informed on items of public interest, timely disseminating information, and responding to inquiries from the public and the media. Utilizing various communication resources, the Public Information Office promotes and encourages understanding, acceptance, cooperation and awareness between the Department of State and the citizens of the State of Colorado.

#### **TRENDS AND OTHER BASELINE INFORMATION:**

Since the 2000 General Election, the Office of the Secretary of State has received more public attention than in previous years. More and more emphasis has been placed on increasing the transparency of all areas of the Secretary of State's Office, specifically on elections, which has resulted in the need for increased education of the public and private sectors about programs, services, and current issues. To keep the public aware of changes or prevailing issues that immediately impact them, the Office of the Secretary of State has vigorously utilized several sources, such as press releases, radio spots, newspaper advertisements, and the department's website.

In addition to citizen attention, the Secretary of State's office has experienced a significant rise in media interest which has increased the workload of this sub-program. Because of a highly publicized citizen concern with certification of electronic voting equipment, and issues raised around rules adopted by the department, the office has attempted to be more proactive with media communications, working to foresee possible issues of concern and to maintain open lines of communication. The Public Information Office focuses on using such methods as:

- Newspapers, newsletters, and trade magazines;
- Website content;
- Updated phone scripts with latest information and services;
- Editorial meetings;
- Media relations involving press releases, press events, and interviews; and
- Public interaction through research, media training, and technical assistance.

Public access to documentation and records relating to the Secretary of State's office is one of the main functions of the public information office. This office regularly responds to requests from the press and public for various types of information and documentation. Ongoing legal cases and open record requests under the Colorado Open Records Act (CORA) have put an additional burden on the public information office. High-profile court cases have increased the amount of documentation required in legal discovery and the number of open record requests handled by the Public Information Officer. In order to comply with additional requests, at times

temporary staff has been hired to make records available for inspection as required for legal discovery and CORA requests.

New and improved web design and applications have made the department’s website more user-friendly, providing better functionality with more accurate and current information. The department continues to post updated information relating to rules notices and adoption, Secretary of State Advisory Opinions, regulations, and statutes concerning elections, licensing, and business entities. To quickly provide election results for the media and the public, the Office also posts election results and the Abstract of Votes Cast on the website. Bilingual documents are available on the website pages of the Business and Elections divisions, and the static content of the Secretary of State’s website is fully ADA-compliant. It is the intent of the Office to not only inform but to make the process of information retrieval less intimidating for those unfamiliar with Colorado’s government structure.

This past year the Secretary of State’s Office began using the Colorado Publications Library StateLinc service to get materials about the office to the libraries across the state. In order to get services and offerings to more of the public, this service has been a vehicle to announce changes and improvements to the Department’s services. The Public Information Office intends to continue to use this service as a way to promote new services and activities.

**ACTION PLAN:**

- Continue to utilize current technology (web) to disseminate information to the public regarding current state and federal statutes and legislative changes, providing electronic services whenever possible.
- Continue to develop and post information on the “Newsroom” portion of the website. This information will include fact sheets, policies, publications, and awards.
- Provide support to customers in the form of publications, training classes, web content, and seminars. The press office intends to provide increased awareness of office trainings and seminars to key audiences.
- Use key messages to reflect the organizations values, themes, direction, and position.
- For the Secretary of State, develop talking points and messages that specifically address a topic or issue of interest to the media, legislative body, or public.
- Identify issues and conduct research and analysis to determine the impact of the issues to the agency and their customers.
- Continue to provide positive, professional and courteous customer service.

**CUSTOMER REQUIREMENTS:**

<b>Customer</b>	<b>Requirement</b>
General Public, Members of the Media, Internal Staff, County Clerk and Recorders, Legislators, and Congress	Timely and accurate reporting and education of office activities and policies and availability to the public to answer inquiries concerning filing and election materials.

**SUB-PROGRAM: PERSONNEL**

**PROGRAM DESCRIPTION:**

The Personnel Office provides services to the department in selection, classification, employee relations, and employee records management. It provides technical assistance to supervisors and other employees in the areas of staffing and human resource management, personnel administrative issues, e.g., those pertaining to grievances, corrective actions, and disciplinary actions. The staff disseminates information to employees pertaining to benefits and other items of interest. This section also oversees policies and procedures formulated by the Department for compliance with civil rights laws and the federal Fair Labor Standards Act.

**PRIORITIZED OBJECTIVES AND PERFORMANCE MEASURES:**

OBJECTIVE 1.2: Assist division directors in reducing amount of time positions are vacant.					
	<b>FY03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimate</b>	<b>FY 07-08 Projected</b>
MEASURE 1.2.1 Average number of days to establish referral lists for positions.	35.5	25.2	26.3	24.0	21.0

OBJECTIVE 1.3. Assist in the development of a Succession Planning strategy to address a changing workforce, and to plan for future retirements.					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimate</b>	<b>FY 07-08 Projected</b>
MEASURE 1.3.1 With division managers, identify critical positions and knowledge, skills and abilities required.	NA	NA	10%	40%	50%
MEASURE 1.3.2 Identify individuals who could move into critical positions in the future.	NA	NA	10%	40%	50%

**TRENDS AND OTHER BASELINE INFORMATION:**

During FY05-06, the department experienced more turnover of employees than it had in recent years, particularly among those in professional positions. In addition to the impact of vacancies on programs is the impact on the workload of the Personnel Office in filling the vacancies. Unlike lower level positions, the depth of skill level of professional positions usually necessitates construction and conduct of more complex exams. In addition is the unusually large number of applicants for the professional vacancies, which requires more screening and testing to establish referral lists for the division directors to consider. The most recent challenge to the process of filling vacancies (and keeping them filled) has been the inability to offer competitive salaries for higher skills sets.

An area in which the department plans to improve in FY07 and FY08 involves Succession Planning. Turnover in critical positions has an impact on the staffing and the services the department provides, and the Personnel Office will work with division directors to minimize such impacts in the future.

Emphasis on earlier intervention and interaction with staff on issues of concern continued to reduce the occurrence of employee relations conflicts. In an effort to all but eliminate these types of issues, the department required all employees to attend on-site training on Sexual Harassment and Respect in the Workplace.

**CUSTOMER REQUIREMENTS:**

<b>Customer</b>	<b>Requirement</b>
Employees of the department as well as citizens seeking employment with the Department.	Provide support, technical assistance, and information in regards to human resources areas such as selection (application process, exams, referral, and appointments), classification, compensation, benefits, employee relations and staff development.

**SUB-PROGRAM: FINANCE OFFICE**

**PROGRAM DESCRIPTION:**

The Finance Office secures and manages the necessary financial resources to enable the Department of State to efficiently and effectively operate the programs designated by state, federal, and other applicable laws and rules. This office supports the other divisions in the department by providing procurement and contracting services, preparing and monitoring the annual budget, performing accounting functions, managing the payroll and leave accruals for all employees, and providing timely financial information to the Secretary of State, Deputy Secretary of State and program managers. This unit is responsible for managing the cashier’s office, transmitting daily revenues to the Treasurer’s Office, and monitoring the safety of the department’s cash assets.

OBJECTIVE 1.4: Maintain high level of customer service to internal customers.					
	<b>FY03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimate</b>	<b>FY 07-08 Projected</b>
MEASURE 1.4.1 Average response time (in days) to requests from Department customers	NA	NA	NA	2	1

**TRENDS AND OTHER BASELINE INFORMATION:**

In support of the other divisions in the department, the Finance Office continues to explore processes and procedures for timely providing support, increasing efficiencies, and making the best use of the department’s resources. Implementation of centralized purchasing procedures,

policies on the use of procurement cards, prepaid business accounts, and cash handling have enabled the unit to timely process financial transactions, monitor the budget and supply financial reports to management as needed. In FY06, staffing shortages in the unit affected the unit's ability to look for additional improvements. However, with a full staff in FY07 who possess a range of capabilities, the unit expects to provide a high level of support to its customers, and to continue to streamline processes and procedures.

**CUSTOMER REQUIREMENTS:**

<b>Customer</b>	<b>Requirement</b>
General Public, Program Managers, OSPB, JBC, Vendors, Counties	Timely and accurate reporting and processing of all financial transactions and preparation and monitoring of department budget.
Other State Agencies	Timely submission of required documents

**SUB-PROGRAM: CLERK AND RECORDER TECHNOLOGY FUND**

**PROGRAM DESCRIPTION:**

2002 legislation created a clerk and recorder technology fund, administered by the Secretary of State's office and an advisory panel, for grants to counties to enable them to purchase necessary technology for the acceptance of electronic filings (eRecordings). Monies for the fund came from the collection by counties of a \$1.00 surcharge on all recordings of real estate documents from September 2002 through June 2004 and their remittance of half the surcharges to the state for deposit into the fund. The administration of the program includes staff support at the panel meetings, preparation of grant agreements with counties, collection of reports from counties, and monitoring and auditing of grants awarded to the counties.

**TRENDS AND OTHER BASELINE INFORMATION:**

The Technology Fund Advisory Panel adopted standards and guidelines and a grant application process for counties to follow in order to receive grant funds for eRecording. The Panel also established subcommittees to research topics related to eRecording, to review grant applications, and to audit those counties who received grants.

From May 2005 through July 2006, the Panel approved and awarded grants totaling \$2,017,237 to 42 counties to assist them with their eRecording projects. As of October 2006, there remained approximately \$42,000 in the fund, and with only six counties in the state having not implemented eRecording, it is expected that one or two of those counties will apply for the funds during FY07 and that the fund will be exhausted. All grant funds must be expended by July 2007, and staff monitoring of the grants indicate that all the funds will be expended.

In 2006, HB06-1342 extended the time period which counties may collect the \$1.00 surcharge on recordings filed; they may continue collections through June 2012. However, no provision was made for further funding of the grant fund. Unless legislation in FY07 adds to the technology

fund, it is expected that all funds in the fund will be used up in FY07 and the Secretary of State's involvement in this program will be concluded when all grants terminate in 2007.



# STRATEGIC PLAN / PROGRAM NARRATIVE

## SECRETARY OF STATE / DEPARTMENT OF STATE

**PROGRAM TITLE:** Information Technology Services Division

**CHANGE REQUEST(S):** Decision Item

**ESTIMATED TOTAL FUNDING:**

Line Item	FY 2006-07 Total Appropriation		FY 2007-08 Total Request	
	Dollars	FTE	Dollars	FTE
Personal Services	\$ 4,649,628	31.0	\$4,186,810	33.0
Operating Expenses	\$1,400,621		\$1,405,091	
Hardware/Software Maintenance	\$899,578		\$ 920,564	
Information Technology Asset Maintenance Plan	\$ 696,493		\$ 445,418	
<b>Totals</b>	<b>\$ 7,646,320</b>	<b>31.0</b>	<b>\$ 6,957,883</b>	<b>33.0</b>

**FEDERAL AND STATE STATUTORY AUTHORITY:** Article IV, section 1, Colorado Constitution; Section 24-1-111, and Title 24, article 21, C.R.S.

**PROGRAM DESCRIPTION:**

The Information Technology Services Division (ITS) consists of 33 staff members (growing to 34 in FY 2007-08), one of which is assigned to the Help America Vote Act Section of the office, supporting the information systems needs of the entire Secretary of State’s office. Information Systems enables the diversified divisions within the Secretary of State to provide automated information services quickly and accurately.

Information Technology Services maintains the departmental infrastructure required to support the Colorado Department of State (CDOS) data center, web presence, desktop environment and telephony systems. The above aforementioned systems are utilized to support the data, communications and document imaging needs of Corporations, Uniform Commercial Code, Accounting, Notary, Campaign, Lobbyist, Elections, Bingo/Raffle, Administrative Rules, Uniform Electronic Transaction Act (UETA) and Charitable Solicitations programs within the Secretary of State while supporting the web presence of the entire Secretary of State. Utilizing the Internet as a means of receiving and delivering responsive, pertinent information from and to our customers is a critical facet of fulfilling the Department’s mission of customer service. Internet-based, real-time electronic document filing has become an essential resource saving tool of the Department.

Increased speed and ease of filing has increased customer satisfaction and Department efficiency.

On a statewide level, Information Technology Services manages the state disaster recovery facility known as Enterprise Facility for Readiness/Response/Recovery and Transition Services (e-FOR<sup>3</sup>T). This facility seeks to provide computer environmental space, electrical power and communications bandwidth to support any state governmental entity’s needs in an I.T. system disaster recovery and continuity of business capacity on a fee-free basis. This program is a public private partnership with ViaWest. The facility was ready for use on June 15, 2006. The program is in its infancy. Agencies are currently deciding how and when they will be ready to use these facilities resources. Early adopting agencies include the Colorado Department of State, Department of Regulatory Agencies, Department of Labor and Employment, The Department of Personnel and Administration’s Division of Information Technologies, Department of Public Safety and the Department of Human Services.

Another significant project with statewide reach is the SCORE II project. SCORE, or the State of Colorado Registration and Elections system, will provide the statewide voter registration database system mandated by the Help America Vote Act. A vendor with a wealth of experience in implementing this type of system will commence work in October 2006, with full statewide deployment of the system expected by April 2008. This system will supplant the local systems in the sixty-four Colorado counties used for registering voters and assisting with the conduct of elections. The ITS Division is providing project leadership, project management and technical resources in support of this project.

**IT Objectives: The following objectives reflect the strategic direction of the Information Technology Services Division of the Secretary of State’s office.**

<b>OBJECTIVE 03.1</b> Support state legislation and enable implementation of the Help America Vote Act (Public Law 107-252) – The President signed this Federal election reform law in October of 2002, and enabling state legislation (H.B. 03-1356) has been signed into law. Federal law calls for a statewide voter registration system to be in place by January 1, 2006.					
	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimated</b>	<b>FY 07-08 Projected</b>	<b>FY 08-09 Projected</b>
<b>MEASURE 03.1.1</b> Provide fully functional statewide voter registration system at all county locations.		0%	60%	100%	100%

**Action Plan:**

- Set up project management office (PMO).
- Contract Independent Validation and Verification consultant
- Assess current CDOS capabilities
- Select and contract prime vendor/partner for project build.

- RFP development
- Evaluation and selection
- Contract negotiation
- Construct contract and move through state channels
- Assess county capabilities
- Hire needed information systems technologist staff
- Contract needed subject matter expert staff for specific needs.

**OBJECTIVE 02.3** Corporate trade mark enhancements. Re-engineering of office systems supporting business filings, and will move this division even further toward a fully e-government model. Cooperatively worked with the Business Division, representatives of the Business Law Section of the Colorado Bar Association, and other stakeholders in defining the scope and character of changes to office systems supporting administration of business entity law where trade marks are concerned (changes required by H.B. 06-1140). Base System must be implemented on May 29, 2007 per statute.

	FY 05-06 Actual	FY 06-07 Actual	FY 07-08 Actual		
<b>MEASURE 02.2.1</b> Provide new fully functioning business back office, web presence and batch system that meets the requirements of H.B. 02-1147.	25%	100%			

**Action Plan:**

- Assist in construction of H.B. 06-1140
- Build fiscal note and action plan for H.B. 06-1140.
- Build Requirements Document
- Develop code base to meet specifications of Requirements Documents.
- Modular Test
- Integration Test
- User Acceptance
- Implementation of base system May 29, 2007

**OBJECTIVE 02.4** EFS Central Filing System. Re-engineering of office systems supporting EFS filing of UCC documents, and will move this division even further toward a fully e-government model. Cooperatively worked with the Business Division, representatives of the Business Law Section of the Colorado Bar Association, and other stakeholders in defining the scope and character of changes to office systems supporting Uniform Commercial Code lien filing (changes required by SB 06-188). Base System must be implemented on July 1, 2008 per statute.

	FY 05-06 Actual	FY 06-07 Actual	FY 07-08 Actual		
<b>MEASURE 02.4.1</b> Provide new fully functioning business back office, web presence and batch system that meets the requirements of SB -188.	25%	100%			

**Action Plan:**

- Build fiscal note and action plan for SB 06-188.
- Analyze buy versus build objective
- Build Requirements Document
- Develop code base to meet specifications of Requirements Documents.
- Modular Test
- Integration Test
- User Acceptance
- Implementation of base system July 1, 2007

**OBJECTIVE 2.5** EFS master list. This was initiated through the decision item process. Project is to bring in house the publication of the EFS master list that is currently outsourced. Project is scheduled for implementation June 10, 2007.

	FY 05-06 Actual	FY 06-07 Actual	FY 07-08 Actual		
<b>MEASURE 02.5.1</b> Provide EFS master list for UCC Division of CDOS.	25%	100%			

**Action Plan:**

- Build Requirements document in tandem with UCC business division.
- Develop code base
- Test
- Implement

**OBJECTIVE 04.1** Pursuant to H. B. 04-1300, provide a web-based system to provision notaries with electronic document authentication numbers. In the second year, provide a fully functional web-based system for electronic filing and retrieval of information regarding notaries public.

	<b>FY 04-05 Actual</b>	<b>FY 05-06 Estimate</b>	<b>FY 06-07 Projected</b>		
<b>MEASURE 04.1.1.-</b> System implementation.	25%	90%	100%		

**Action Plan:**

- Collect Requirements
- Design System with SIPA
- Build System
- Integrate with Portal (SIPA)
- Implementation

**OBJECTIVE 05.1** Pursuant to H.B. 06-1086, the information technology systems used by the office in administering the Bingo-Raffle Law will be enhanced. This bill requires the Department to begin the effort of transitioning filings performed under this law to an e-government model. CDOS target implementation date is 12/1/2007

	<b>FY -5-06 Actual</b>	<b>FY 06-07 Estimate</b>	<b>FY 07-08</b>		
<b>MEASURE 05.1.1.-</b> Requirements Collection	100%		%	Completed	
<b>MEASURE 54.1.2 – DATA CONVERSION</b>	50%	100%		Completed	
<b>MEASURE 05.1.3 – SYSTEM IMPLEMENTATION</b>	0%	50%	100%	Completed	

**Action Plan:**

- Collect requirements
- Analyze build versus buy options
- Build System or purchase system
- Data Collection and Conversion
- Build interfaces
- Hire staff
- Implement System

**OBJECTIVE 04.8** – Disaster Recovery Computer Facility project (e-FOR<sup>3</sup>T) – This effort is to provide a statewide computer facility provisioned for all state entities to use for the purpose of Disaster Recovery of computer operations. CDOS sees the disaster recovery computer facility (e-FOR<sup>3</sup>T) evolving from the project phase into a program.

	<b>FY 05-06 Projected</b>	<b>FY 06-07 Projected</b>			
<b>MEASURE 04.8.1 - Procure and Provision Facility</b>	100%	Transform from Project to Program			

**Action Plan:**

- Form Task Force
- Release RFI – RFP and Evaluate using previously formed task force
- Contract - Lease
- Establish ‘Governance Advisory Committee’
- Build ‘Interagency Agreement’ template
- Pilot first agency in usage of facility
- Convert from project to program (begin all state entity usage of facility)

All of the above objectives have been made and project has been successfully closed out. Close out document is available upon request.

**OBJECTIVE 04.9** – CDOS Disaster Recovery Project – This effort is to provide CDOS a disaster recovery presence in the e-FOR<sup>3</sup>T statewide computer facility. Not to be confused with Objective 04.8, this objective encompasses the Department’s efforts to establish an agency presence in the e-FOR<sup>3</sup>T facility.

	<b>FY 05-06 Estimate</b>	<b>FY 06-07 Projected</b>			
<b>MEASURE 04.9.1 - Procure, Provision and enable CDOS in e-FOR<sup>3</sup>T Facility for DR capabilities</b>	50%	100%			

**Action Plan:**

- Design methods
- Procure hardware and software
- Install and configure platforms
- Test systems

## Trends and Other Baseline Information

### Existing Conditions:

Traditionally, access to the Secretary of State's office had been limited to counter, phone, mail and fax. With the evolution of technology, citizens expect access and responsiveness to which they are entitled, at times and places chosen by them, not by their government. In many instances this is being supported, in large part, by the expansion and deployment of technology. We see much of this happening through expanding Web technologies. Both inquiries and filings may be performed via the World Wide Web.

The Secretary of State's office has worked hard over the last few years to recruit and retain knowledgeable workers in the information technology field. The job market in this industry has, in the past few years, become advantageous to the employer. It is our belief that the weak market for persons with technical skill is beginning to strengthen. It is therefore important that we continue our efforts to retain good knowledgeable information technology staff. We are taking measures to retain current staff through methods such as providing challenging work assignments, training, recognition, bonuses and other innovative approaches. Those we have retained are a talented and dedicated group of IT professionals of which we are proud. We feel our efforts to maintain a good employee relationship during slow economic times will not go unnoticed by the employees when good economic times again return.

### Accomplishments in the Previous Fiscal Year

- During fiscal year 2005-06 the department executed a decision item plan for a statewide disaster recovery data center to be implemented. This completed facility (e-FOR<sup>3</sup>T) is a shared facility for all state agencies to participate in. The facility provides for space, electrical power and communications lines for all state agencies at no cost to them. CDOS has funded these costs. This decision item has also provisioned CDOS within this new DR facility. This decision item for this project was signed into the 2005 legislative session's long bill. Funding appropriation for this project arrived on July 1, 2005. CDOS. During FY2005-06 CDOS hired outside project management, published an RFP and selected a vendor/partner for this project. Contract was signed on March 1, 2006 with ViaWest Inc. CDOS and ViaWest completed the project on June 15, 2006. This project has been named 'Enterprise Facility for Response/Readiness/Recovery and Transition services' (e-FOR<sup>3</sup>T).
- Business Entities Corporate Tradename Project – Trade names that had previously been filed with the Colorado Department of Revenue (DOR) now are transacted at CDOS as of May 2006. This meant adding several new transactions to the business entities (Phoenix) system. It also meant transferring the database from DOR to CDOS. This migration did require a cleansing and reformatting effort for the data to integrate with current CDOS business entity system. CDOS ITS will continue to add transactions to the business entities system as time and resources permit.

- Colorado's implementation of the Help America Vote Act (HAVA) and Statewide Colorado Registration and Elections system (SCORE) effort – The Information Technology Services division had provided technical support for this project in an advisory role until January 1, 2006. At that time the Secretary placed management of this project in the ITS division. The challenge during this fiscal year was to establish a project management office, acquire an Independent Verification and Validation (IV&V) support company and begin the RFP process to find a new prime vendor. ITS has successfully contracted project management and IV&V support. The RFP process to find a prime vendor was successful and resulted in the evaluation of two qualified companies. At the time of this writing, a contract between Saber Software, Inc. of Oregon and the State of Colorado has been signed by the parties and is undergoing review by the State Controller's Office and the Attorney General. We expect that project activities will commence during the month of October 2006. Pilot deployments to counties are expected in summer 2007, with full statewide deployment by March 2008.
- Electronic Recording of real estate documents by county clerks moving forward (H.B. 02-1119) – This program, overseen by an Advisory Panel consisting of two county clerk and recorders, one county commissioner, one title industry representative and one CDOS staff member, has established guidelines for electronic recording of real estate documents in the counties. While this program has no direct impact on the operations of the Secretary of State, we have provided support to the Panel in the development of this program.

#### Significant Activities in the Current Fiscal Year

- Disaster Recovery Computer Facility – CDOS sees the disaster recovery computer facility (e-FOR<sup>3</sup>T) as a finished project. This program is now in an operational mode. The program is now capable of supporting any state entity that wishes to use its services. CDOS offers this basic service package to any state agency on a cost free basis. The basic package provides computer room environmentals, electrical power, physical security and bandwidth at no charge. Governance has been established for the use of the facility. The Office of Information Technology has endorsed the use of this facility for disaster recovery projects within state government entities. At the time of writing this, the facility has successfully completed a DR exercise for DPA(DoIT) help desk unit. Early adopting agencies are showing signs of preparing to use the facility. The initiation ceremony was held on September 22, 2006.
- Help America Vote Act (HAVA) implementation of 'Statewide Colorado Registration Elections' system (SCORE II) – ITS is responsible for providing project management and direction for the SCORE II project. We expect this will continue to be a significant effort.
- Lobbyist System enhancements (HB 06-1149)
- Notary System e-filing (HB-04-1300)
- Business Entities Trademark Enhancement (HB 06-1140)
- EFS Central Filing enhancements (SB 06-188)



- Bingo-Raffle system rewrite (HB 06-1086)
- EFS master list build (decision item)

### **Assumptions and Calculations**

The impact of continuing to provide additional services to our customers via the Internet is uncertain. While our customers will be able to access more and more information on their own, the need for technically savvy customer service will no doubt increase. This has required that line staff become more familiar with Internet services, and may eventually require that we move toward providing technical and subject matter support outside our normal business hours. The office provides walk-in service and subject-matter support via telephone during our office hours (7:30 a.m. to 5:00 p.m. M-F), and technical support is available from 6:30 a.m. to 7:00 p.m. on weekdays. This schedule, while it may be typical of or better than most government agencies, leaves users with no subject matter support during evenings and weekends, and no access to technical support on evenings and weekends. As we move more toward providing 24x7x365 access to information, we need to evaluate the necessity and feasibility of providing help desk support outside normal business hours. We anticipate that this area will receive attention in the future.

The appearance of a State Internet Portal Authority (SIPA) may impact CDOS. It is not exactly clear what services and functionality this computer service is to provide. CDOS expects that it will impact us since the general idea of an Internet portal is to facilitate e-government through its information dissemination and e-filing capabilities. Currently, CDOS performs these services within its own ITS data center. Offerings of SIPA may include statewide email services and credit card payment engine capabilities. Both of these services are items that CDOS would have interest in leveraging. CDOS has offered the e-notary filing project as an initial project for SIPA integration. Currently, the SIPA vendor (Colorado Interactive) is estimating this project to be integrated with their offerings in the first calendar quarter of 2007. The Secretary is legislated as a board member of SIPA. The agency currently leverages the 'Google' search engine provided by SIPA. The agency intends to work closely with SIPA to take full advantage of any functionality that will benefit the department and its constituents.

The disaster recovery computer facility (e-FOR<sup>3</sup>T) is expected to begin gaining traction as agencies observe the value and functionality. Recent national catastrophic events have highlighted the need for such facilities and processes. It is expected that state agencies will put more focus on this area as time progresses. The CIO Forum and IMC have highlighted two major deficiencies in the State of Colorado Information Systems arena to be security and disaster recovery. This is documented in the State Communications and Data Processing Plan (SCDP). This document in tandem with e-FOR<sup>3</sup>T facility will support agencies initiatives in business continuity needs and plans. CDOS expects that this e-FOR<sup>3</sup>T program will be centric to the enterprise needs of all agencies to help them facilitate and plan for their business continuity needs.

## Strategic Plan / Program Narrative

### SECRETARY OF STATE / DEPARTMENT OF STATE

**PROGRAM TITLE:** ELECTIONS DIVISION

**CHANGE REQUEST(S):** None

**ESTIMATED TOTAL FUNDING:**

Line Item	FY 2006-07 Total Appropriation		FY 2007-08 Total Request	
	Dollars	FTE	Dollars	FTE
Personal Services	\$ 510,670	8.0	\$ 510,670	8.0
Operating Expenses	\$ 31,719		\$ 31,719	
<b>Totals</b>	<b>\$ 542,389</b>	<b>8.0</b>	<b>\$ 542,389</b>	<b>8.0</b>

**FEDERAL AND STATE STATUTORY AND CONSTITUTIONAL AUTHORITY:** Article VII, Colorado Constitution; Title 1, Articles 1 through 13 and 40, Title 24, Article 21; Title 24, Article 6, Part 3, C.R.S.; federal “National Voter Registration Act of 1993”, 42 U.S.C. sec. 1973gg; “Regulation of Lobbyists”; Sections 1-5-505.5, 1-7-116, 1-45-112 (2), and 24-21-104.5, C.R.S.

**PROGRAM DESCRIPTION:**

The Secretary of State is responsible for the administration and supervision of several statutory provisions and sub-programs relating to the Election Code and the conduct of elections for the State of Colorado. The Elections Division oversees varied functions that include, but are not limited to, ballot access for candidates, preparation of elections, conduct of elections, voting, collection of election data, certification of voting equipment and National Voter Registration Act. The division also provides access and assistance to the public and elected officials, and yearly publishes an Abstract (certified record of the results in each election).

This division coordinates activities mandated under the federal Help America Vote Act (HAVA), such as the implementation and development of a statewide voter registration system, assurance that voting systems used in the state meet the HAVA requirements, and outreach and education to the public and state election officials.

Sub-programs under the supervision of Elections Administration include Statutory Filings, Lobbyist Registration and Reporting, and Local Election Reimbursement. Other programs supervised by the Elections Division are Initiative and Referendum and Campaign and Political Finance.

**PRIORITIZED OBJECTIVES AND PERFORMANCE MEASURES:**

<b>OBJECTIVE 1.1:</b> Maximize accessibility of election data by streamlining the process through the use of technology.					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimate</b>	<b>FY 07-08 Projected</b>
<b>MEASURE 1.1.1</b> Number of days to produce election abstract after certification of results	238	238	238	238	200
<b>MEASURE 1.1.2</b> Reduce the number of days the state voter registration file lags the local file.	5	5	5	5	1

**TRENDS AND OTHER BASELINE INFORMATION:**

Public interest and scrutiny of new voting systems, requirements and election rules regarding the conduct of elections have placed greater demands on the division’s resources, increasing the workload of the staff as well as their interactions with election officials across the state. County clerks and recorders, responsible for the conduct of elections in their respective counties, rely heavily on the Elections Division for guidance, training, and outreach to the public. Increased efforts by non-governmental groups to register voters and encourage electoral participation have impacted the workload of the division with the need for ongoing training sessions in the office and in the field.

Statutory requirements and the implementation of new rules have changed the way counties have conducted elections in the past, resulting in more responsibility being placed on the state in monitoring the conduct of elections to assure transparency of elections and to maintain voter confidence in the process. Division staff’s workload will increase significantly as they must recertify voting systems, assure that county security plans meet requirements, and oversee and document county compliance with security requirements.

The Elections Division will continue to disseminate information on a regular basis to candidates for elective office, to respond to citizen inquiries, and to support county clerks and recorders in the changes in the administration of elections. The Division will increase training of its staff to then better train the elected officials throughout the state.

Until the HAVA-mandated centralized statewide voter registration system is implemented in 2008, the division will continue its INTEGRITY voter registration system and will provide monthly voter registration information to the counties.

**CUSTOMER REQUIREMENTS:**

<b>Customer</b>	<b>Requirement</b>
Public	Participation in the election process.

<b>Customer</b>	<b>Requirement</b>
County Election Officials	Guidance and training on conduct of elections

**SUB-PROGRAMS**

**PROGRAM TITLE:                    Statutory Filings**

**PROGRAM DESCRIPTION:**

The Statutory Filings sub-program includes: reporting by political party organizations, notice and preparation of elections, voting, certification of ballots, conflict of interest, town abandonment, oaths, maintaining a filing and indexing system, election certifications from county clerks and recorders, and candidate petitions. This program identifies political parties, minor political parties, and qualified political organizations pursuant to statute and receives copies of the constitution, boards of directors, and rules and regulations of the parties.

**PRIORITIZED OBJECTIVES AND PERFORMANCE MEASURES:**

<b>OBJECTIVE 1.2:</b> Provide accurate and timely responses to candidate petitions.					
	<b>FY03-04 Actual</b>	<b>FY04-05 Actual</b>	<b>FY05-06 Actual</b>	<b>FY06-07 Estimate</b>	<b>FY07-08 Projected</b>
<b>MEASURE 1.2.1</b> Working days required for verifying a statewide candidate petition.	14	15	18	14	18
<b>MEASURE 1.2.2</b> Error rate for verification	1%	1%	1%	1%	1%

**TRENDS AND OTHER BASELINE INFORMATION:**

Major and minor political parties in the State of Colorado must participate in the caucus, assembly, and primary election process. With the addition of minor parties in this ballot access scheme, the division has seen an increase in party committee rule and regulation filings. Inclusion of minor parties in the process impacts the division’s workload in that it augments the number of candidates on the primary ballot, in turn increasing the number of candidate acceptances, party designations and candidate petitions that must be processed by the division. The division must also maintain files and certify to the county clerks and recorders the appropriate registration designations for voters seeking to register with the minor parties. The workload of the division is further impacted when an organization seeks minor party status, since one method of initiating a political party in Colorado requires the circulation of a petition. A minimum of 10,000 qualified signatures must be collected on the petition and submitted to the division for verification.

Other activities maintained under this sub-program are verification of information that statutorily must be sent to electors, review of mail ballot election plans, emergency plans, TABOR notices, and voter registration notices.

Because of the successful implementation of a document tracking system for statutory filings and the utilization of a high-speed scanning system, the division is able to post filings quickly and have the images of the documents available to the general public through the department's website.

**CUSTOMER REQUIREMENTS:**

<b>Customer</b>	<b>Requirement</b>
Public	Ability to view election information in a variety of ways including printed and electronic
Candidates	Understanding and ability to comply with state statute requirements
Proponents	Understanding and ability to comply with state requirements. Minimal "non-compliance" factors with data conversions.

**PROGRAM TITLE: Lobbyist Registration and Reporting**

**PROGRAM DESCRIPTION:**

Any person defined statutorily as a lobbyist is required to register with the Secretary of State by filing a written statement on or before January 15 of each calendar year; the lobbyist who supplies the required information is then granted a certificate of registration. Registered lobbyists are then required to file monthly disclosure statements that include legislation on which lobbying is being performed, expenditure of public funds used for lobbying, and time spent on lobbying by any state official or employee.

The Secretary of State is responsible for this lobbyist registration program by prescribing the forms to be used for registration and monthly filings, granting certificates to lobbyists, tracking and enforcing the mandated reporting requirements, and assessing penalties for delinquent filings. The division communicates with lobbyists on requirements and sends notifications of delinquency and invoices for penalties as necessary.

The department provides the capability for lobbyists to file their information either in printed form or electronically. Since nearly all lobbyists now file their information electronically, the division is able to post the information on the department's website within twenty-four hours of the filing, so that, as mandated, the public has quick access. In addition, the department makes available on the website lobbyist and employer/client directories which are updated regularly, particularly during the legislative session.

To assist lobbyists in meeting their requirements and avoid penalties, a manual is available, both in printed form and on the website, which contains statutes, rules, calendar of filing dates, and guidelines concerning the filings.

**PRIORITIZED OBJECTIVES AND PERFORMANCE MEASURES:**

<b>OBJECTIVE 1.3</b> Decrease and ultimately eliminate the use of paper for lobbyist filings and make the process faster, less expensive and more convenient through an electronic filing system					
	<b>03-04 Actual</b>	<b>04-05 Actual</b>	<b>05-06 Actual</b>	<b>06-07 Estimate</b>	<b>07-08 Projected</b>
<b>MEASURE 1.3.1</b> Percentage of filings made electronically	99%	99%	99%	99.5%	100%

<b>OBJECTIVE 1.4</b> Decrease delinquency rate through more timely tracking and notification					
<b>MEASURE 1.4.1</b> Promptness of delinquency notices (days after due date)	1	1	1	1	1
<b>MEASURE 1.4.2</b> Average duration of delinquency (number of days)	3	3	2	1	1

**TRENDS AND OTHER BASELINE INFORMATION:**

Existing trends and conditions have not changed materially over the past years. As legislators are term-limited, and long seniority has become a thing of the past, lobbyists are more and more the legislature’s “institutional memory” and have become busier than ever. Their influence continues to increase concomitantly, as does the importance of clear, accessible, current public information on lobbying activities. Fewer and fewer lobbyists are single-area specialists, and the trend toward diversification of individual lobbyists’ practices, heightened contract and client acquisition activity, and more frequent changes throughout the legislative session are also continuing. This, in turn, increases the need for constant updating of lobbyist information, especially during the legislative session. The division will continue to use technology for communications with lobbyists, and to provide information about lobbyists for interested parties.

**CUSTOMER REQUIREMENTS:**

<b>Customer</b>	<b>Requirement</b>
Press, legislators and interested citizens	Accessible, updated lobbyist directories and information, available on demand
Lobbyists and prospective lobbyists	Understanding of the requirements of the law governing lobbying; clear, timely forms and instructions for registration and reporting; uniform formats, deadlines, and follow-ups for registration and reporting; prompt notice of any reporting delinquency

**PROGRAM TITLE:           Local Election Reimbursement**

**PROGRAM DESCRIPTION:**

Under the State Election Code, the Fair Campaign Practices Act, and section 24-21-104.5, C.R.S., the State reimburses local governments for certain costs of administering state election laws.

**TRENDS AND OTHER BASELINE INFORMATION:**

The state reimburses counties for the cost of the duties performed by the county clerk and recorder related to conducting the election on state ballot issues or ballot questions in each November election. The reimbursement formula, per 1-5-505.5, C.R.S., uses the number of active registered voters in each county as of the date of the November election as the basis for calculations of reimbursements. The staff requirements to support this program are minimal.

**CUSTOMER REQUIREMENTS:**

Customer	Requirement
Local Governments	Reimbursement for election costs incurred pursuant to state law

## Strategic Plan / Program Narrative

### SECRETARY OF STATE / DEPARTMENT OF STATE

**PROGRAM TITLE:** Initiative and Referendum

**CHANGE REQUEST(S):** None

**ESTIMATED TOTAL FUNDING:**

Line Item	FY 2006-07 Total Appropriation		FY 2007-08 Total Request	
	Dollars	FTE	Dollars	FTE
Personal Services	\$ 96,720	2.0	\$ 96,720	2.0
Operating Expenses	\$ 31,719		\$ 31,719	
<b>Totals</b>	<b>\$ 128,439</b>	<b>2.0</b>	<b>\$ 128,439</b>	<b>2.0</b>

**FEDERAL AND STATE STATUTORY AND CONSTITUTIONAL AUTHORITY:** Article V, Section 1, Colorado Constitution; Title 1, Article 40, C.R.S.

**PROGRAM DESCRIPTION:**

Initiative and referendum is a fundamental power reserved by the people to propose laws and amendments to the constitution or statutes and to enact or reject the same at the polls. Administration of the initiative and referendum process involves filing and indexing for proposed initiatives, conducting title board hearings to set titles for proposed laws or constitutional amendments, and verification of signatures on initiative petitions.

**PRIORITIZED OBJECTIVES AND PERFORMANCE MEASURES:**

<b>OBJECTIVE 1.5:</b> Assure citizen initiative petitions meet statutory signature requirements within the statutory deadlines.					
	<b>03-04 Actual</b>	<b>04-05 Actual</b>	<b>05-06 Actual</b>	<b>06-07 Estimate</b>	<b>07-08 Projected</b>
<b>MEASURE 1.5.1</b> Number of Initiatives submitted to the Title Board for Titles	57	29	83	50	76
<b>MEASURE 1.5.2</b> Number of titles set by Title Board	49	19	65	40	62
<b>MEASURE 1.5.3</b> Number of Initiative Petitions verified	6	5	8	6	8
<b>MEASURE 1.5.4</b> Average number of working days required for verifying an initiative petition.	14	15	30	30	30
<b>MEASURE 1.5.5</b> Error rate of signature verification	1%	1%	1%	1%	1%



**TRENDS AND OTHER BASELINE INFORMATION:**

The number of initiatives submitted for titles, as well as the number of resulting petitions submitted for signature verification is usually dependent on whether the election is conducted during an odd or even-numbered year, as well as the level of interest on prevailing issues. Since non-TABOR initiatives are only allowed on the ballot in the even-numbered years, and a higher voter turnout is generally expected – particularly during a presidential election year – initiatives normally increase from the previous election cycle, which directly affects the number of signatures required to submit an initiative petition. For the November 2006 election, the division received 83 initiatives for titles of which 65 titles were set, and a resulting 8 initiative petitions for signature verification. Seven of the initiative petitions were placed on the November 2006 ballot for the voters to consider.

This program provides all the clerical and follow-up support necessary to receive initiatives, set titles, to review petitions for compliance with the statutes, and to verify signatures after the petitions are circulated, as well as to assist with the protest process and to archive the petitions once the thirty-day protest period has passed. Since this program requires careful review of petitions to determine sufficiency of signatures for placement on the ballot, temporary employees who must be closely supervised and whose work must be checked for quality assurance are utilized in peak periods. In order to assure high quality, temporary employees are sought from local colleges and universities, particularly among students who have a demonstrated interest in the election process.

**CUSTOMER REQUIREMENTS:**

Customer	Requirement
Public	Participation and confidence in the election process
Proponents	Understanding of Colorado Revised Statutes and state requirements

**ASSUMPTIONS AND CALCULATIONS:**

It is expected that a minimum of 8 initiative petitions will be submitted for signature verification in FY07-08 for the general election to be held in November 2008. The required number of valid signatures on each will be based on 5% of the total number of votes cast for the office of Secretary of State in the 2006 general election, but in order to achieve the required number, proponents attempt to file petitions with at least fifty percent more than the number of total signatures required. The cost of hiring temporary employees to verify signatures will be dependent upon the number of initiatives submitted for the 2007 election, as well as the number of voters in the 2006 election.

## Strategic Plan / Program Narrative

### SECRETARY OF STATE / DEPARTMENT OF STATE

**PROGRAM TITLE:** Campaign and Political Finance

**CHANGE REQUEST(S):** None

**ESTIMATED TOTAL FUNDING:**

Line Item	FY 2006-07 Total Appropriation		FY 2007-08 Total Request	
	Dollars	FTE	Dollars	FTE
Personal Services	\$ 114,836	3.0	\$ 114,836	3.0
Operating Expenses	\$ 31,719		\$ 31,719	
<b>Totals</b>	<b>\$ 146,555</b>	<b>3.0</b>	<b>\$ 146,555</b>	<b>3.0</b>

**FEDERAL AND STATE STATUTORY AND CONSTITUTIONAL AUTHORITY:** ARTICLE XXVIII, COLORADO CONSTITUTION; Title 1, Article 45, C.R.S., Article XXV

**PROGRAM DESCRIPTION:**

Article XXVIII to the Colorado Constitution, Campaign and Political Finance (CPF), was a citizen initiative approved by Colorado voters, which took effect on December 6, 2002. This article added provisions concerning contribution limitations, voluntary spending limits, new types of committees, and reporting requirements to the Fair Campaign Practices Act (FCPA), a citizen initiative approved by Colorado voters that replaced the Campaign Reform Act (CRA) in January 1997. Administration and compliance of the CPF/FCPA includes provisions relating to the conduct of campaigning for public office (including reporting of campaign contributions and expenditures), maintaining a filing and indexing system, and providing assistance to candidates, the media and the public.

Administration of this program by the division requires continual data entry and auditing oversight, as well as conduct of training for designated election officials and candidates, and customer service for both manual and electronic filers. This program supports candidates and committees who are obligated to file under the CPF/FCPA, provides mandated electronic filing capability, and employs an electronic mail notice system to reduce the non-compliance rate of filing.

**PRIORITIZED OBJECTIVES AND PERFORMANCE MEASURES:**

<b>OBJECTIVE 1.6:</b> Maximize public accessibility as mandated by creating a telecommunications network that enables electronic filings of documents.					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimate</b>	<b>FY 07-08 Projected</b>
<b>MEASURE 1.6.1</b> Improve availability of public information	80% of state filing next day	80% of state filing next day	70% of state filing next day	75% of state filing next day	80% of state filing next day

<b>OBJECTIVE 1.7:</b> Maximize public accessibility and compliance among filers under the Act					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimate</b>	<b>FY 07-08 Projected</b>
<b>MEASURE 1.7.1.</b> Conduct instructional classes for designated election officials and candidates.	20	25	36	15	25
<b>MEASURE 1.7.2.</b> Conduct staff training programs to maintain and improve professional expertise.	4	4	4	5	4
<b>MEASURE 1.7.3.</b> Number of CPA/FCPA filings per year	9,500	6,290	9,500	6,290	10,000

**TRENDS AND OTHER BASELINE INFORMATION:**

CPF/FCPA workload includes approximately 600 active committee filings, nearly 40% of which are candidate filings for each reporting period. These numbers increase during General Election cycles and will continue to increase due to the Federal electioneering communications requirement and the popularity of the small donor committees created by Article XXVIII. The workload of the division is continually impacted by the volume of required assistance to candidates, the media and the public in general, the number of training and instructional classes the division must provide, and the timeliness with which records information can be provided to the public, both locally and nationally.

Because of the successful implementation of a document tracking system for campaign finance filings and the utilization of a high-speed scanning system, the division is able to post filings quickly and have the images of the documents available to the general public through the department's website.

Citizens will continue to seek public office, and financial disclosure and additional reporting will continue to be required. The division will work closely with counties to encourage electronic filings, and will maintain access to information so that requirements may be met.

**CUSTOMER REQUIREMENTS:**

<b>Customer</b>	<b>Requirement</b>
Candidates and issue committees	Reporting forms and access to information which allows compliance to meet disclosure requirements
Public, media, schools	Access to information disclosed by candidate and issue committees regarding contribution and expenditures

# STRATEGIC PLAN / PROGRAM NARRATIVE

## SECRETARY OF STATE / DEPARTMENT OF STATE

**PROGRAM TITLE:**            **Help America Vote Act**

**CHANGE REQUEST(S):**    **None**

**ESTIMATED TOTAL FUNDING:**

Line Item	FY 06-07 Total Appropriation		FY 2007-08 Total Request	
	Dollars	FTE	Dollars	FTE
Personal Services	\$ 6,938,740	11.0	\$2,844,533	9.5
Operating Expenses	1,811,260		965,681	
<b>Totals</b>	<b>\$8,750,000</b>	<b>11.0</b>	<b>\$3,810,214</b>	<b>9.5</b>

**FEDERAL AND STATE STATUTORY AND CONSTITUTIONAL AUTHORITY:** Article VII, Colorado Constitution; Title 1, Articles 1 through 13, Colorado Revised Statutes (specifically Article 1.5 of Title 1, C.R.S., as enacted by House Bill 03-1356); Federal “Help America Vote Act of 2002” (“HAVA”), Pub. Law No. 107-252, 116 Stat. 1666, 42 U.S.C. §§15512, et seq. (2002).

**PROGRAM DESCRIPTION:**

The federal “Help America Vote Act of 2002” (HAVA) was signed into law in October 2002 to establish a program to provide funds to States to improve the administration of federal elections in the United States, primarily through:

1. The replacement of punch card and lever voting systems;
2. The purchase of voting systems that are accessible for individuals with disabilities; and
3. The implementation of a computerized statewide voter registration system.

In response to, and to comply with HAVA, the Colorado General Assembly enacted legislation to implement changes in Colorado laws relating to elections. These changes increased the authority and responsibilities of the Secretary of State’s office in the administration of elections, and included:

1. A mandated statewide voter registration system;
2. The establishment of required specified forms of identification from first-time voters;
3. The prohibition of the use of lever and punch card voting systems in federal elections after January 1, 2006;
4. Accessible voting system acquisition, testing and certification requirements and standards;

- 5. Required accessible polling places and voting equipment for federal elections after January 1, 2006.

**PRIORITIZED OBJECTIVES AND PERFORMANCE MEASURES:**

<b>OBJECTIVE 1.1:</b> Eliminate punch card and lever machines in polling places.					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY06-07 Estimate</b>	<b>FY07-08 Projected</b>
<b>MEASURE 1.1.1</b> Percent of precincts that have replaced the punch card machines based on the number of precincts that had punch cards in November 2000	58% (393/682)	97% 660/682	100% (682/682)	Objective Met	NA

<b>OBJECTIVE 1.2</b> Implement a centralized statewide voter registration system.					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimated</b>	<b>FY07-08 Projected</b>
<b>MEASURE 1.2.1</b> Testing, Implementation and Operation of system				50%	100%
<b>MEASURE 1.2.2</b> Increase the timeliness of removing a deceased voter from the voter registration rolls				50%	100%
<b>MEASURE 1.2.3</b> Increase the timeliness of removing convicted felons from the voter registration rolls				50%	100%
<b>MEASURE 1.2.4</b> Eliminate duplicate voter registrations across counties within Colorado				50%	100%

<b>OBJECTIVE 1.3:</b> Assure the accessibility of polling places to persons with special access needs.					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimated</b>	<b>FY07-08 Projected</b>
<b>MEASURE 1.3.1</b> Percentage of polling places surveyed			98%	100%	100%
<b>MEASURE 1.3.2</b> Percentage of polling places fully accessible			95%	100%	100%
<b>MEASURE 1.3.3</b> Percentage of polling places with at least one accessible voting system			Unknown	100%	100%
<b>MEASURE 1.3.4</b> Number of polling place accessibility complaints found to have a basis in fact			2	0	0

**TRENDS AND OTHER INFORMATION:**

HAVA resulted from a national consensus that the nation's electoral system needed improvements. The law clearly defined the rights and privileges of eligible electors and sought to prevent disenfranchisement resulting from mistaken determinations of ineligibility to vote, the use of outdated and insufficiently accessible voting systems, or unnecessary administrative obstacles. HAVA provided significant federal financial assistance to states to finance the purchase of more reliable voting systems (replacement of lever and punch card equipment) and to establish a statewide computerized voter registration list. It mandated changes in the conduct of federal elections in all states for the purposes of ensuring greater access to the polls by individuals with disabilities, providing more information to individuals who desire to vote, improving the training of poll workers, and reducing the possibility of fraud in the electoral process.

Colorado received its share of federal funds to carry out HAVA purposes and additional funds are not expected to be allocated. Since HAVA requires ongoing activities, current federal funding will eventually run out and the State will be required to find an alternative source of funds to support the program.

***Computerized statewide voter registration list:***

In FY05, the Department contracted with Accenture LLP to implement a statewide voter registration system to store and manage the official state voter registration list and to be housed with the Office of the Secretary of State. The project was to be completed and in operation by January 1, 2006, the deadline imposed by HAVA. Unfortunately, Accenture failed to timely deliver the software necessary for the implementation of the system, their contract was terminated in November 2005, and Accenture refunded to the State \$2,000,000 for expenses the State had incurred with Accenture and the project.

In FY06 the Department issued a new RFP, and a contract was subsequently awarded to Saber Software, Inc. in FY07 to develop the system, which should be fully implemented during FY08.

***Replacement of lever and punch card voting systems:***

Colorado received approximately \$2.1 million in HAVA funds to disburse to five counties specifically for the replacement of punch card voting machines in 682 polling places. All five counties timely replaced their punch card voting machines so that in the August 2006 Primary Election, no punch card or lever voting systems were used.

***Accessibility of polling places and voting systems:***

While Colorado legislation enhanced the authority of the Secretary of State vis-à-vis the running of elections and training of election officials, it also required that all polling places/vote centers be surveyed for ADA compliance and made accessible to persons with disabilities. All polling places in the state have been surveyed for their accessibility.

Pursuant to HAVA, since 2003 the Department has been awarded grants in excess of \$500,000 from the U.S. Department of Health and Human Services to enhance the accessibility of polling places by individuals with disabilities and to assure the disabled community has the same opportunity for access and participation in voting as the non-disabled. In FY06, the Department awarded over \$80,000 in sub-grant funds to eight counties to assist them in making modifications to polling places/vote centers where surveys indicated deficiencies. Future grants will be awarded for the same purposes, as counties change polling locations and/or enhance the accessibility options for the disabled.

The Department took significant action regarding the HAVA requirement of at least one accessible voting system in each polling place/vote center by the first federal election after January 1, 2006 [i.e., August 8, 2006]. As mandated by state law, the Department established rules enumerating the voting system standards with which vendors must comply for certification of systems in Colorado, and in FY06, the Department certified equipment of four vendors. The Department also allocated approximately \$15 million of HAVA funds to counties to assist them in their acquisition of HAVA-compliant voting systems. For the 2006 Primary Election, all counties were in compliance with the HAVA requirement of having at least one accessible voting system in each polling location in the state.

***Training of election officials and public outreach:***

With the many changes in the conduct of elections imposed by the HAVA and state laws, training of officials and education of the public has become paramount. During FY06, the mandated training and certification program for county clerks and recorders became formalized, with a large number of the election officials in the state having completed nearly all the requirements of the program. In FY06, training sessions were offered throughout the state in different regions and additional sessions will be offered in FY07, particularly with the expectation of a significant number of new election officials following the November 2006 election.

To continue implementing the requirements and provisions of HAVA, it is expected that the HAVA unit of the Department will require a total of 9 FTE for FY08.

**CUSTOMER REQUIREMENTS:**

<b>Customer</b>	<b>Requirement</b>
Election Officials	Participation in election training and education, and use of statewide voter registration system.
General Public	Participation in the election process; accessibility for disability community.
Division of Motor Vehicles	Support efforts on SSN and driver's license validation.
Department of Corrections	Support validation of felony status.
Department of Public Health and Environment	Support validation of death records.

# STRATEGIC PLAN / PROGRAM NARRATIVE

## SECRETARY OF STATE / DEPARTMENT OF STATE

**PROGRAM TITLE:**            **Administrative Rules**

**CHANGE REQUEST(S):**

**ESTIMATED TOTAL FUNDING:**

Line Item	FY 2006-07 Total Appropriation		FY 2007-08 Total Request	
	Dollars	FTE	Dollars	FTE
Personal Services	\$ 207,802	4.7	\$ 207,802	4.7
Operating Expenses	\$ 16,516		\$16,516	
<b>Totals</b>	<b>\$ 224,318</b>	<b>4.7</b>	<b>\$ 224,318</b>	<b>4.7</b>

**FEDERAL AND STATE STATUTORY AND CONSTITUTIONAL AUTHORITY:** Section 24-4-103, C.R.S., “Rule-Making Procedure”

**PROGRAM DESCRIPTION:**

This program is responsible for publishing the *Code of Colorado Regulations*, which is comprised of all the administrative rules of the executive agencies of the state of Colorado. These rules provide information to the public that affects all aspects of daily life, from licensing requirements for various professionals to water quality standards for streams and lakes. State agencies are required by the “Administrative Procedure Act” to file adopted rules and notices of rulemaking with the Secretary of State for publication in the companion publication, the *Colorado Register*. The register is published monthly and includes: rule-making notices, proposed rules, new and amended rules, and attorney general rules opinions. In 2002, the passage of HB 02-1203 directed the Secretary of State to publish the *Code* and *Register* electronically. Accordingly, a computer program has been developed by the Department of State to accomplish this. To facilitate the publication of the administrative rules online, rulemaking agencies submit filings using a web accessible eFiling system. The *Code* and *Register* and an email notification system will be available to the public from the Secretary of State’s website in the fall of 2006.

In conjunction with the publication of rules, the administrative rules program trains agencies concerning rulemaking procedures and the formatting and styling of rules documents. In FY 05-06 the rules program trained approximately 100 agency rule filers and their attorneys on the use of the e-filing web application. The Rules program provides “help-desk” support for rule filers and attorneys, answering questions about eFiling as well as questions regarding rulemaking procedures and statutory requirements. Additionally, the program continues to contract with a private publisher to print a paper version of the *Code*.



Now that eFiling is fully functional the print publisher uses the web application to obtain the documents necessary to publish the *Colorado Register* and to update the *Code*. Electronic filing allows agencies to file in a more timely and efficient manner; they can perform every step in the rule-filing process without leaving their desk. Electronic filing provides web-based forms with pre-populated dates and email reminders to prevent filing errors and missed deadlines. Agencies are able to avoid mistakes that with the paper filings may not have been discovered until after a deadline was missed.

**PRIORITIZED OBJECTIVES AND PERFORMANCE MEASURES:**

<b>OBJECTIVE 1.1</b> Develop and implement a secure, accessible, electronic rules code and register, along with a paperless rules filing system, utilizing the most economical and efficient available technology.					
<b>FISCAL YEAR</b>	<b>03-04 Actual</b>	<b>04-05 Actual</b>	<b>05-06 Actual</b>	<b>06-07 Estimate</b>	<b>07-08 Projected</b>
<b>MEASURE 1.1.1</b> Research available technologies and select the one(s) proving most efficient, secure, and cost effective for this application	Develop eRules and eFiling	Continue development of eRules and eFiling	Bring eRules/ eFiling application online	Maintain and Improve System	Maintain and Improve System
<b>MEASURE 1.1.2</b> Recommend and implement any statutory changes necessary to support an electronic rules code and electronic filing	Continue implementation of statutory changes	Continue implementation of statutory changes	Legislation implemented	Recommend statutory changes	Implement statutory changes
<b>MEASURE 1.1.3</b> Develop and put in place procedures for electronic filing and convert to a paperless filing system for adopted rules	Continue development	Continue development	100% of adopted rules filed electronically	Electronic filing in place	Maintain and Improve System

<b>OBJECTIVE 1.2</b> Provide access to the state administrative rules from the Secretary of State's web site and through other electronic and print publishers.					
<b>FISCAL YEAR</b>	<b>03-04 Actual</b>	<b>04-05 Actual</b>	<b>05-06 Actual</b>	<b>06-07 Estimate</b>	<b>07-08 Projected</b>
<b>MEASURE 1.2.1</b> Provide free access to the administrative rules on the Secretary of State's website	Under development	Under development	SOS IT continues development	Rules available to the public	Maintain and Improve
<b>MEASURE 1.2.2</b> Contract with resellers to provide additional access to rules	N/A	N/A	N/A	Supply content to private-sector publishers	Supply content to private-sector publishers
<b>MEASURE 1.2.3</b> Contract with outside vendor for an official print publication of the rules	Contract continues	Contract continues	Contract continues	Contract discontinued	Contract discontinued
<b>MEASURE 1.2.4</b> Develop electronic solution for transferring rule filings to publishers	Under development	Under development	System in place	Data transferred electronically	Data transferred electronically

**OBJECTIVE 1.3** Update and maintain the rules. Develop strategies to improve the electronic rules publication and e-filing web application.

<b>FISCAL YEAR</b>	<b>03-04 Actual</b>	<b>04-05 Actual</b>	<b>05-06 Actual</b>	<b>06-07 Estimate</b>	<b>07-08 Projected</b>
<b>MEASURE 1.3.1</b> Percentage of updates inserted into online rules within 30 days from filing date.	N/A	N/A	N/A	100%	100%
<b>MEASURE 1.3.1</b> Provide additional editorial content to the code, such as case law references	N/A	N/A	N/A	Modify application to allow for editorial content	Research case law and insert notations
<b>MEASURE 1.3.2</b> Meet quarterly with government and private-sector advisory groups to receive user feedback and recommended changes	Met and discussed system development issues	Continued collaboration	Received feedback from users	Provide recommendations for improvements	Provide recommendations for improvements
<b>MEASURE 1.3.3</b> Create filing procedure and style manual and update as needed	Create manual	Revise and update as needed	Revise and update as needed	Revise and update as needed	Revise and update as needed

**OBJECTIVE 2.1** Provide training and “help desk” to assist agency rulemakers with the transition to electronic filing and to familiarize them with the rulemaking process.

<b>FISCAL YEAR</b>	<b>03-04 Actual</b>	<b>04-05 Actual</b>	<b>05-06 Actual</b>	<b>06-07 Estimate</b>	<b>07-08 Projected</b>
<b>MEASURE 2.1.1</b> Create training program to include the use of the system and the creation of rules documents	Design program and begin training	Continue training and update content	Continue training and update content	Continue training and update content	Continue training and update content
<b>MEASURE 2.1.2</b> Provide training classes quarterly or more often as needed	N/A	N/A	1 – 2 per week	Monthly	Quarterly
<b>MEASURE 2.1.3</b> Answer phone calls, voicemail, and email from agencies and attorneys	N/A	N/A	2500	2500	2500
<b>MEASURE 2.1.4</b> Post self help documents on the SOS website	Create documents	Create documents	Revise and update as needed	Revise and update as needed	Revise and update as needed

**OBJECTIVE 3.1** Provide monthly publication of updates, access to rulemaking documents, and customer service to the public.

<b>FISCAL YEAR</b>	<b>03-04 Actual</b>	<b>04-05 Actual</b>	<b>05-06 Actual</b>	<b>06-07 Estimate</b>	<b>07-08 Projected</b>
<b>MEASURE 3.1.1</b> Publish new and amended rules in the Colorado Register at least once per month	Monthly	Monthly	Monthly	Monthly	Monthly
<b>MEASURE 3.1.2</b> Provide online access to rule filings.	N/A	N/A	N/A	Online access in place	Online access continues
<b>MEASURE 3.1.3</b> Answer phone calls, voicemail, and email from the public	N/A	N/A	500	1000	2000

**TRENDS AND OTHER BASELINE INFORMATION:**

The original publisher of the administrative rules and register gave notice to the State that it would not renew its contract at the end of fiscal year 2001-2002. This event drew attention to the urgency of creating an electronic rules code and prompted legislation in the form of House Bill 02-1203, to amend the statute governing the rule-making process. The Secretary of State is now required to publish the *Code* and *Register* electronically with the option of additionally publishing a paper version. "The secretary of state shall cause to be published in electronic form and may cause to be published in printed form, at the least cost possible to the state, the code of Colorado regulations and the Colorado register . . ." (CRS 24-4-103 (11)(b)).

Before the end of FY 01-02, a contractor was located to continue the paper publication and planning for the electronic rules code was begun. A Request for Proposals for an electronic rules publishing system was issued to vendors in September of 2002. Although a vendor was chosen at the end of November, protracted contract negotiations continued for the next four months, and the contract was not in place until April 7<sup>th</sup> of 2003. The contractor was to take electronic files provided by agencies and convert them to XML for presentation on the web. Simultaneous with the conversion, the contractor was to develop an electronic rules filing and publication system. The contractor experienced myriad problems with the conversion and in July of 2003 determined that it would be unable to fulfill the contract. The Secretary of State and the contractor consequently agreed to terminate the contract.

The Department of State then returned to the proposals originally submitted for the project in order to choose a new vendor. The remaining vendors were contacted and requested to submit updated proposals. A new vendor was subsequently chosen with a new contract being signed and approved the first week of October 2003. A different approach was taken by the second contractor with regard to conversion from paper to electronic rules. Instead of using electronic files submitted by rulemaking agencies, the second contractor keyed the 25,000 plus pages in XML format. Despite the fact that the conversion process was different, the program continued with the same model for the development of the electronic rules filing and publication system. Requirements documents created while working with the original vendor were still valid; therefore, the administrative rules program saved the time and expense of recreating those documents.

The second contractor handed over the eRules/eFiling web application to the Department of State at the end of FY 04-05 in an incomplete state. As a result, it was necessary for the DOS IT staff to complete unfinished modules and debug the existing computer code. Additionally, an office-wide upgrade to Word 2003 caused numerous problems with the conversion process, creating even more work for the IT staff. Nevertheless, work proceeded and electronic filing was initiated in January of 2006. After a few months of operation, it became apparent that a few modifications were called for in order for the system to accommodate the diverse rulemaking procedures of the over one hundred rulemaking agencies. While completing these modifications, the IT staff also put in place an email notification system, whereby the public can subscribe to receive notification when rules in their area of interest are amended.

After the *Code* and *Register* are made available to the public, the administrative rules program will continue to monitor new rule filings and insert amendments into the *Code*. As the public begins to use

the website, it is expected that the time devoted to customer service will increase. Moreover, several agencies have indicated that they will no longer publish rules documents on their individual websites once the system is fully functional and instead direct the public to the Secretary of State's website, as it contains the official version of the state administrative rules. Both the Attorney General's office and the Office of Legislative Legal Services participate in the rulemaking process via the eFiling system as well.

The official state rules repository is being maintained electronically as of July 1, 2006 and the Secretary of State's office no longer accepts rules filings in print. The remaining paper filings in the Secretary of State's possession will be transferred to State Archives at the end of FY 2006-07. The paper filings dated from September of 1977 and through June 2006 will not be converted to electronic media. It was determined that electronic archiving of outdated rules is not necessary, and that it would be more economical to retain the paper archive. The repository contains all state agency rules – new, repealed, amended and superseded, together with some earlier rules that were still in effect at the end of 1977.

#### **WORKLOAD ASSUMPTIONS:**

Over the last four years, the focus of the program has been the development of the web application, which allows administrative rules to be filed electronically and published to the web. Ongoing, the program will provide customer support for both rulemakers and the public via telephone and email, as well as maintain an accurate updated electronic administrative rules code and register. Initially the system was designed to allow agencies to maintain their own rules through the web application. This proved to be much more difficult than anticipated and the modified program now requires the rules staff to make formatting adjustments and upload the documents submitted by state agencies. It is also expected that staff will provide editorial notations along with the text of the rules. As a result, inserting updates, maintaining and improving the web application, and customer service will be priorities.

The program will continue to provide training with regard to rulemaking procedures, formatting and styling rules documents, and the use of the eFiling system. Training manuals and rulemaking information posted on the website will be updated as improvements are made. The administrative rules program staff will continue to meet with advisory groups from both the government and private sector in order to better understand the changing needs of the users. We expect to need ongoing IT support to make our services more timely and relevant.

#### **ACCOMPLISHMENTS:**

The contractor hired to write the eRules/eFiling computer program completed its contractual obligations at the end of FY 04-05, yet it was necessary for a Department of State programmer to spend over a year completing the unfinished product that was delivered. Additionally, an office-wide upgrade to Word 2003 caused numerous problems with the conversion process. In spite of the setback, the DOS IT staff was able to complete the work necessary to allow rulemaking agencies to begin using the eFiling system in January of 2006. DOS took what was an incomplete product and developed it into a state-of-the-art web application, allowing Colorado to become one of the few states with a complete online rule filing and publication system.

The online system allows rulemaking agencies to not only file notices and rules electronically with the Secretary of State, but to also request Attorney General Opinions and file rules electronically with the Office of Legislative Legal Services, ultimately saving the state staff time and resources. The tracking number approach introduced with electronic filing will allow interested parties to easily follow a rulemaking from proposal through implementation through the use of the eDocket, a filing log that collects all the documents relative to each rule filing. The subscription-based email notification system will send alerts to stakeholders not only when rulemaking is initiated, but also when rules are put into effect. In 05-06 staff spent much of their time bringing the rules up-to-date by inserting amendments, in the form of approximately 2000 files that had accumulated while the system was being developed, into the existing database. The *Code of Colorado Regulations*, the *Colorado Register*, the eDocket, and the Email Notification system will all be available to the public in the fall of 2006.

The rules program collaborated with the Attorney General's Office, the Office of Legislative Legal Services, and rule-makers from various state agencies to create this comprehensive, all-inclusive product. The partnerships formed to create the electronic rules are expected to endure, continuing on with the goal of making improvements and building additional features. Deadlines for docketing and transmission of rules for the print publication have continued to be met throughout this time of transition, and docket errors remain at zero.

#### **ACTION PLAN:**

While eRules/eFiling is fully functional, the Search function as well as the speed with which the user can access data both need improvement. Modification of the "History" feature is needed to enable the rules staff to insert case law references and other editorial content. The dependence on MS Word, while eliminating the cost of XML editing software, has created a new problem. Changes/upgrades to MS Word affect the functionality of that portion of the application that converts Word files to XML. Programming changes will be required with each new Word upgrade; therefore, the application will need continuing maintenance or, alternatively, it will be necessary to find a solution that modifies or eliminates the conversion process.

The program plans to seek changes to the governing statute that will base rulemaking on electronic publication rather than print publication thereby streamlining and expediting the rulemaking process. Additionally, it may be necessary to clarify passages that have been subject to varying interpretations.

HB 06-1041 extended the requirement for agencies to file proposed rules with the Department of Regulatory Agencies; therefore, the Department of State will be looking toward combining efforts with DORA in order to eliminate the additional filing that agencies must make with the Office of Policy, Research, and Regulatory Reform.

The Rules Program will: continue meeting with advisory groups; work to improve and enhance the electronic rules and e-filing system; standardize the form and appearance of the administrative rules; continue to provide training and update training materials as needed; act as a help desk for researchers and users of the electronic filing; and ensure that the administrative rules are published in print.

**CUSTOMER REQUIREMENTS:**

<b>Customer</b>	<b>Requirement</b>
Legislature	An electronic, centralized, comprehensive administrative rules code/register published monthly at the least cost to the state; a complete, secure state repository containing all agency rules, whether active, superseded, repealed or amended, together with all the opinions of the attorney general on such rules.
Rule-making agencies	Regular, reliable electronic (and paper) publication, on a consistent schedule, of all rules and rule-making notices filed; clear, unvarying filing and publication deadlines and instructions. Instruction on the use of the electronic filing system. Guidance on the format and style of rules documents and training regarding the rulemaking process.
Courts, businesses and individuals relying on and/or affected by administrative rules	An up-to-date, accurate electronic (and paper) rules code and register, indexed and annotated for convenient utilization; an accessible file of both current and past rules; a docket reflecting every rule filing.
Rules contractor (paper publisher)	Timely, complete transmission of all rules, opinions and notices to be published; a “sole official source” contract for paper publication.

## Strategic Plan / Program Narrative

### SECRETARY OF STATE / DEPARTMENT OF STATE

**PROGRAM TITLE:** Bingo-Raffles (Charitable Gaming)

**CHANGE REQUEST (s):** None

**ESTIMATED TOTAL FUNDING:**

Line Item	FY 2006-07 Total Appropriation		FY 2007-08 Total Request	
	Dollars	FTE	Dollars	FTE
Personal Services	\$ 486,348	8.6	\$ 486,348	8.6
Operating Expenses	\$ 17,364		\$ 17,364	
<b>Totals</b>	<b>\$ 503,712</b>	<b>8.6</b>	<b>\$ 503,712</b>	<b>8.6</b>

**FEDERAL AND STATE STATUTORY AND CONSTITUTIONAL AUTHORITY:** Article XVIII, Section 2, Colorado Constitution; Title 12, Article 9, C.R.S., “Bingo and Raffles Law”

**PROGRAM DESCRIPTION:**

The Bingo-Raffle Section licenses qualified nonprofit organizations to conduct charitable gaming activities. It also licenses gaming-related business enterprises: commercial bingo hall landlords, manufacturers of bingo-raffle equipment, bingo-raffle suppliers (distributors), and manufacturers’ and suppliers’ agents. This section receives, records, audits, and compiles the quarterly financial statements and reports of licensed suppliers and manufacturers and of the nonprofit bingo-raffle licensees. The Bingo-Raffle Section is responsible for the training and certification of games managers. It approves and regulates electronic bingo aid devices. It issues letter rulings on new gaming technologies and promulgates administrative rules in consultation with the Bingo-Raffle Advisory Board. It drafts and distributes application, licensing and reporting forms and information. It handles complaints, issues corrective and compliance actions and refers licensees to administrative hearings.

This section also conducts inspections, investigations, and audits to determine compliance with Bingo and Raffle statutes. Investigations are expanded when compliance reviews indicate that fraud, theft, or other criminal wrongdoing may have occurred. Expanded investigations are pursued until the evidence is sufficient to refer the case to law enforcement authorities or until the case is closed for insufficient evidence. Bingo-raffle investigators conduct the training for certification of games managers and to apprise licensees of current laws, rules and procedures for the conduct of bingo-raffle activities.

**PRIORITIZED OBJECTIVES AND PERFORMANCE MEASURES:**

**OBJECTIVE 1.1** Implement the new and amended provisions of the Bingo and Raffles Law contained in HB 06-1086, “Concerning the Regulation of Games of Chance by the Secretary of State,” which took effect on May 25, 2006.

	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY06-07 Estimate</b>	<b>FY07-08 Projected</b>
MEASURE 1.1.1 Rules researched, drafted, proposed, and promulgated for the implementation of HB06-1086	NA	NA	16	10
MEASURE 1.1.2 New forms/publications drafted and distributed (progressive games, rents and promotions, games managers, etc.)	4	5	5	5
MEASURE 1.1.3 New and renewal defined-term games manager certificates issued	1,500	1,500	1,500	1,500
MEASURE 1.1.4 Number of meetings conducted with licensee boards of directors per quarter.	NA	3	6	6

**OBJECTIVE 1.2** Improve the timeliness of quarterly games of chance financial reporting by bingo-raffle licensees

	<b>04-05 Actual</b>	<b>05-06 Actual</b>	<b>06-07 Estimated</b>	<b>07-08 Projected</b>
MEASURE 1.2.1 Number of delinquent notices sent within 30 days after the end of a quarter.	500	960	500	500
MEASURE 1.2.2 Number of fines assessed for reports 3 weeks or more overdue	250	300	250	200
MEASURE 1.2.3 Number of licenses issued within 45 days	1,200	1,200	1,200	1,200



**OBJECTIVE 2.1** Conduct investigations and inspections to ensure compliance with Bingo-Raffle law. Refer appropriate cases for court action and/or to outside law enforcement agencies

	<b>04-05 Actual</b>	<b>05-06 Actual</b>	<b>06-07 Estimated</b>	<b>07-08 Projected</b>
<b>MEASURE 2.1.1</b> Number of formal complaints investigated within 30 days of being reported.	60	50	48	48
<b>MEASURE 2.1.2</b> Number of inspections conducted.	480	375	480	480
<b>MEASURE 2.1.3 Investigations</b> referred to outside law enforcement agencies or to an ALJ	6	2	2	2
<b>MEASURE 2.1.4</b> Develop desk book for guidance in dealing with cases within described areas of responsibility	Update	Update	Update	Update
<b>MEASURE 2.1.5</b> Develop a quarterly newsletter for licensee information	Update	Update	Update	Update
<b>MEASURE 2.1.6</b> Develop online FAQs on the SOS website	Update	Update	Update	Update

**OBJECTIVE 2.2** Encourage and increase compliance with Bingo-Raffle law through a convenient and well publicized games manager training program

	<b>04-05 Actual</b>	<b>05-06 Actual</b>	<b>06-07 Estimate</b>	<b>07-08 Projected</b>
<b>MEASURE 2.2.1</b> Number of games manager classes offered annually	60	40	60	48
<b>MEASURE 2.2.2</b> Number of “on-demand” games manager training classes in areas where several requests have been made	12	2	2	4
<b>MEASURE 2.2.2</b> Games manager training calendar developed and maintained on SOS web page	Continuing	Continuing	Continuing	Continuing
<b>MEASURE 2.2.2</b> Multi-Media presentation using MS PowerPoint	Update	Update	Update	Update

**TRENDS AND BASELINE INFORMATION:**

Charitable gaming continues its decade long decline. During 2004 and 2005, the Secretary of State, in conjunction with her Bingo-Raffle Advisory Board and with input from licensees and the general public, formulated proposals for improvements to CRS title 12, article 9, the "Bingo and Raffles Law." The bills failed in each of those legislative sessions. During the 2006 legislative session, the proposed improvements were finally enacted in the form of HB 06-1086, "Concerning the Regulation of Games of Chance by the Secretary of State."

HB 06-1086 addressed three major concerns in the charitable gaming area:

- (1) The ongoing need for clear, complete, informed licensee accountability for gaming practices and proceeds;
- (2) Recent continuing declines in bingo and pull tab activities and revenues; and
- (3) Increasing the Secretary of State's powers to get licensee financial documents during an investigation.

To counter declines in bingo and pull tab activities and revenues, HB 06-1086 authorized the Secretary of State to set by rule most of the limits on jackpot prizes for regular games, occasions and progressive games. Limits will be placed on progressive jackpot bingo games. When not restricted, such prizes can grow to amounts that are large enough to create safety and law enforcement concerns in the communities where the games are being played.

During the 2002 legislative session, the provisions of HB 02-1321 were expected to reverse the downward trend in bingo-raffle activities and licensing, which continued, as predicted, into FY 02-03. Licensing had been reasonably steady through most of the 1990s at a rate of 1600-1700 licenses issued annually (approximately 50 landlord licenses, 70 supplier and supplier agent licenses, 50 manufacturer and manufacturer agent licenses, and the remaining 1450-1550 bingo-raffle licenses issued to qualified nonprofit organizations). At the end of the decade, the number of bingo-raffle licenses issued began to decline, and calendar year 2001 saw a drop to 1449 licenses, the lowest calendar year total since at least the mid-1980s. The drop continued during calendar year 2002 and continues today into calendar year 2006, although the rate of decline has decreased. The number of bingo-raffle licensees at the end of 2005 was 1173. Most of the drop is attributable to bingo-raffle licensees getting out of the bingo business. Volunteer organizations find it difficult to recruit volunteers to assist at bingo games. Raffle activities have remained relatively steady, while both licensing for bingo and revenues from bingo have been declining. If the bingo decline were to continue indefinitely, however, the remainder of the charitable gaming industry would inevitably suffer. The implementation of progressive jackpot bingo games was supposed to start a turn-around for charity gaming. The results to date indicate that in at least some areas of the state, the rate of decline is slowing. HB06-1086 allows the Secretary of State to modify the starting jackpots and provide more flexibility for licensees to operate the games while at the same time prevent "jackpot chasing".

The bingo-raffle workload has remained steady to slightly down in the area of licensing and quarterly reports. However, the investigators are delving deeper into the financial reports that are filed and are requesting more financial records from licensees. Quarterly financial reports are down as a result of the decline in the number of licensees. In calendar year 2004, 27% of the licensees accounted for 94% of gross receipts from charitable gaming and 95% of the Secretary of State's fee revenue. 784, or 55% of the total licensees accounted for slightly less than 1% of gross receipts and .0075 % of the Department's fee revenue. As in past years, after audit, approximately one-third of these reports must be amended, leading to re-filing and re-audit of over 1,000 corrected financial reports annually. Investigators continue to be assigned approximately 100 contact cases per investigator per year, with expanded investigations as conditions warrant. Bingo-raffle training continues to be conducted periodically at sites throughout the state.

Some previously described trends in the charitable gaming area have continued in the past year, as well. Licensee demand for individualized attention and assistance from the Department continues to grow, as does the role of citizen input in the regulation of games of chance. From this input can also be discerned an increasing division, and even a conflict, between the needs of the charities conducting bingo-raffle fundraisers and those of the for-profit businesses connected with the bingo-raffle industry. This trend is particularly evident in the functioning of the Bingo-Raffle Advisory Board and in the circumstances surrounding the recent weakening of the Colorado bingo market.

**ACTION PLAN:**

The Charitable Gaming Section will launch initiatives to improve the timeliness of games of chance financial reporting and to furnish additional games manager training for certificate renewal purposes. During FY 04-05 the licensing section started developing electronic reporting forms and a multi-media games manager-training program. Additionally, the section contracted for an online tutorial for the preparation of applications and quarterly financial reports that is available on the Secretary of State's website. The section revised the financial reporting format by simplifying the main form, eliminating a number of forms from the report and by making the forms available in electronic format on the web. The section will continue to work with the Advisory Board, and with bingo-raffle licensees generally, to promulgate rules and disseminate information that may help organizations conduct more profitable games and arrest the decline in total revenues seen over the past few years.

A review of Secretary of State historical data for the past two calendar years reveals a disturbing number of "red flags" based on the self-reporting of the licensees. As a result, the licensing section has changed its approach to how it audits licensees. Rather than conduct the large number of on-site visits to licensees' operations, investigators are spending more time analyzing the data submitted on quarterly reports and are initiating more thorough investigations if the initial reviews indicate that a licensee cannot account for revenues or that there are unauthorized expenditures.

**ADDITIONAL NARRATIVE JUSTIFICATION:**

Through the passage of law by their elected representatives, the people of Colorado have set up a system of licensing and oversight for the conduct of bingo games and raffles in this state. The statutory mechanism is intended to provide a means for non-profit, eleemosynary organizations to raise funds. It is their expectation that the Department of State is licensing according to law and overseeing the conduct of charitable gaming to ensure compliance and to investigate and report such conduct as may be subject to civil or criminal sanction.

**CUSTOMER REQUIREMENTS:**

<b>Customer</b>	<b>Requirement</b>
License applicants (all types)	Complete, conveniently available application forms, instructions, and information; prompt licensing action; guidance on any necessary application corrections; assistance freely obtainable by telephone, mail, in person and via internet and e-mail; online forms available on the Internet that can be completed on line.
Complainants	Prompt, professional complaint responses; understanding of the law governing bingo-raffle activities; investigation of each complaint made, and action on all those revealed to be well-founded
Players	Fair, well regulated games that offer an equal chance to win the advertised prize for every card, sheet or ticket sold; honest, accurate prize descriptions and prompt, full prize awards for each game conducted; prompt, responsive complaint handling and resolution; accurate accounting for all gaming dollars spent
Non-profits conducting games of chance	Training in the proper conduct of bingo-raffle activities and understanding of the requirements of the law governing such conduct; clear instructions and up-to-date forms for financial reporting on games of chance; a healthy profit margin for the charitable, fraternal, religious, or educational purposes and uses of the non-profit licensee; input into rulemaking for bingo and raffles; fair and unbiased administration of the law and rules governing bingo-raffle activities (a "level playing field" for all nonprofits engaging in fundraising by means of such activities)
The press, the legislature and the interested public	Accessible, accurate financial and general information on games of chance in Colorado; clear accounting for all gaming dollars; prompt responses to inquiries; both support and regulation for the charitable gaming industry; fair and equitable fee assessments sufficient to cover the costs of administration of the bingo-raffle law

**STRATEGIC PLAN / PROGRAM NARRATIVE**

**SECRETARY OF STATE / DEPT OF STATE**

**PROGRAM TITLE:** Charitable Solicitations

**CHANGE REQUEST(S):** None

**ESTIMATED TOTAL FUNDING:**

Line Item	FY 2006-07 Total Appropriation		FY 2007-08 Total Request	
	Dollars	FTE	Dollars	FTE
Personal Services	\$ 100,227	2.0	\$ 100,227	2.0
Operating Expenses	\$ 16,516		\$ 16,516	
<b>Totals</b>	<b>\$ 116,743</b>	<b>2.0</b>	<b>\$ 116,743</b>	<b>2.0</b>

**Federal/State Statutory and Other Authority:** Title 6, article 16, C.R.S., “Colorado Charitable Solicitations Act”

**PROGRAM DESCRIPTION**

The charities registration program exists to promote accountability and transparency among charitable organizations that solicit contributions in Colorado and to shed light on professional fundraising campaigns, especially with respect to what percentage of a donation goes to the charity compared to the percentage that goes to the professional fundraiser. It is the only all-electronic charities registration program in the country. The program is responsible for the electronic filing and posting via the Internet of all such charitable solicitations records as are received by the Secretary of State’s office in accord with the requirements of the Charitable Solicitations Act. The program furnishes web-based forms and instructions for report filing, provides customer support, issues overdue notices for registration renewals and solicitation campaign financial reports, and refers campaigns for which no reports are filed, as well as complaints concerning theft, fraud, mismanagement, deceptive trade practices, etc., to the various district attorneys throughout the state and the Colorado Attorney General.

The Secretary of State is responsible for issuing registration numbers to each registrant and has the authority to deny, suspend, or revoke the registration of any charitable organization, professional fund-raising consultant, or paid solicitor. The Secretary of State is required to publicize the statutory requirements and otherwise assist charitable organizations, professional fundraising consultants, and paid solicitors and compile and publish an annual report summarizing the information provided by those subject to the law. It is anticipated that the number of registrations will rise from its June 30, 2005 level of 3,517 charitable organizations to

an estimated 4,000-4,300 as information regarding this program and filing requirement is more widely disseminated and administrative tools are developed to identify and contact unregistered charitable organizations and fundraising professionals. The most significant tool currently available for this purpose is the Internal Revenue Service’s Business Master File (BMF), which the Secretary of State’s office intends to incorporate into its outreach efforts. Any tax-exempt charitable organization that is listed in the BMF and appears to be subject to the state registration requirements will receive notification from the Secretary of State of the potential need to register.

**Prioritized Objectives and Performance Measures**

OBJECTIVE 1.1 Fully implement the provisions of the revised and re-enacted Charitable Solicitations Act enacted June 5, 2001 and effective May 9, 2002.					
	<b>02-03 Actual</b>	<b>03-04 Actual</b>	<b>04-05 Actual</b>	<b>05-06 Estimate</b>	<b>06-07 Projected</b>
MEASURE 1.1.1 Revise and test as necessary the electronic charitable solicitation campaign filing system.	Continuing	Continuing	Continuing	Continuing	Continuing
MEASURE 1.1.2 Examine and approve or reject online filings by charitable organizations.	1803	3475	3630	4356	5247
MEASURE 1.1.3 Examine and approve or reject online applications by paid solicitors and professional fundraising consultants for registration numbers.	69	86	127	150	180
MEASURE 1.1.4 Examine and approve or reject online solicitation notices.	179	222	306	360	432
MEASURE 1.1.5 Examine and approve or reject campaign financial reports filed online.	22	168	238	286	343
MEASURE 1.1.6 Increase number of charitable organizations registered by 20% in FY 06-07 using IRS Business Master File and other means to identify unregistered Colorado tax-exempt organizations.	2021	2763	3517	4220	5064
MEASURE 1.1.7 Compile and publish an annual report summarizing filed charitable solicitation information.	Report Design Approved	First Report Published	Second Report Published	Publish Report	Publish report

OBJECTIVE 1.2 Develop and promulgate the new rules required by, or recommended pursuant to, the revised and re-enacted Colorado Charitable Solicitations.

	<b>02-03 Actual</b>	<b>03-04 Actual</b>	<b>04-05 Actual</b>	<b>05-06 Estimate</b>	<b>06-07 Projected</b>
MEASURE 1.2.1 Incorporate into the rules clear, concise guidelines for meeting the requirements for registration.	Permanent Rules Adopted	Permanent Rules Adopted	N/A	Adopt New Rules	N/A
MEASURE 1.2.2 Number of rulemaking meetings and hearings noticed/held	1	0	0	1	0
MEASURE 1.2.3 Number of new rules adopted, as determined from promulgated rules added to the Colorado Code of Regulations.	2	0	0	4	0

OBJECTIVE 2.1 Participate with National Association of State Charity Officials (NASCO) and GuideStar in development of electronic data collection project (NASCONet) to improve public access to state charity registration information from multiple states and assist state charity officials in their regulatory efforts.

	<b>02-03 Actual</b>	<b>03-04 Actual</b>	<b>04-05 Actual</b>	<b>05-06 Estimate</b>	<b>06-07 Projected</b>
Measure 2.1.1 Serve as resource in efforts of NASCO and GuideStar to develop a national web site with the help of a federal Technical Opportunities Program (TOP) grant from the U.S. Department of Commerce.	N/A	N/A	Authorized by new legislation	Begun	Continuing
Measure 2.1.2 Recommend Colorado Department of State participation in developing a NASCONet charities database of state registration information and state enforcement actions	N/A	N/A	Department Approved	Participating	Participating

OBJECTIVE 2.2 Continue leadership in state government e-filing by participating in expansion of U.S. Internal Revenue Service's State Retrieval System (SRS) to state charity offices and development of an XML schema that would encourage software developers to offer new multi-state e-filing products to charitable organizations. These combined efforts will help expand electronic filing nationwide for charitable organizations that must register annually in several states.

	<b>02-03 Actual</b>	<b>03-04 Actual</b>	<b>04-05 Actual</b>	<b>05-06 Estimate</b>	<b>06-07 Projected</b>
Measure 2.2.1 Maintain involvement with multi-state e-filing pilot project and Form 990 e-filing project.	Continuing	Continuing	Continuing	Continuing	Continuing
Measure 2.2.1 Build upon experience with pilot project and participate in expansion of IRS State Retrieval System and development of XML schema.	N/A	N/A	N/A	Begun	Continuing

**TRENDS AND OTHER BASELINE INFORMATION:**

**Workload assumptions:** Filing numbers had been relatively stable from FY 1995 through May 8, 2002, under a comparatively small, paper-based program. From 320 to 350 solicitations campaign notices and a corresponding number of campaign financial reports were filed annually during that time. Charities registrations have increased steadily from 2,021 in FY 02-03 to 2,763 in FY 03-04, 3,571 in FY 04-05, and it is estimated 4,220 charities will be registered in the Secretary of State's database by the end of FY 05-06.

Based on trends observed in the early months of the program and ongoing outreach efforts, the number of registrations and renewals the charities program can expect to receive in FY 06-07 should be approximately 5,247. It is believed that the total number of charities subject to the registration requirement is in the vicinity of 7,000 – 7,500. The number of charitable organizations likely subject to the statute's registration requirements was an internal estimate based upon an analysis of domestic nonprofit filings on file with the Secretary of State, the number of 501(c)(3) organizations with Colorado addresses that have IRS Form 990's on file with the Guidestar web site, and the number of exempt organizations with Colorado addresses listed on the IRS web site. In April, 2005, an informal assessment by the National Center for Charitable Statistics (NCCS) suggested that the compliance rate in Colorado was close to 75% of charities subject to the registration requirement. Efforts will be made in FY 05-06 to understand and reconcile the difference between the more positive assessment of NCCS and that made internally using the IRS Business Master File.

While online registration has significantly reduced the amount of time spent processing paper registrations, setting up new files, photocopying notices and other correspondence, filing supplementary documents provided by registrants, processing payments and the like, the charitable solicitations program still demands that staff approve each individual filing, process complaints, send inquiry letters to unregistered charities, and send certain delinquency notices via regular mail. While the process has been far more efficient than under the old paper-based system, the much larger number of filings has caused staff to devote significant time to the registration process. Since FY 04-05, the charitable solicitations section has established criteria for requesting and examining contracts upon which solicitation notices are based for compliance with state law. This has required significant staff time in order to effect changes in contracts that reflect the Colorado statutory requirements. Staff time is divided among the following types of duties: fielding phone calls and email messages relating to the filing of the final financial reports, sending final notices by U.S. Postal Service to delinquent filers of such reports, auditing and archiving paper files, educating consumers and fundraisers about the new system, processing complaints, referring files and complaints as appropriate to state and federal agencies for further action, maintaining and analyzing the database, identifying problems and recommending enhancements to the web application, coordinating enforcement and public education efforts with the Attorney General, working with other state charity offices to improve registration functions and improve public education and enforcement techniques, serving on the Board of Directors of the National Association of State Charity Officials (NASCO), sharing information on the e-filing experience with other state and federal offices considering make such a transition, and more.

The Secretary of State's office has the authority to pursue administrative remedies for delinquent filers or applicants who act or fail to act in such a manner as to violate provisions of the statute. An



automated system for sending delinquency notices that became effective in November, 2003 has improved considerably the percentage of organizations that file their annual renewals in a timely manner and has helped reduce delinquent filings of solicitation campaign financial reports. Nonetheless, several charitable organizations and fewer commercial fundraisers lapse into noncompliance and require significant staff assistance to bring their filings back up to date. Constraints imposed by the division's legal services budget has hampered attempts to develop an effective enforcement program, so the registration program is still based largely upon public education and voluntary compliance by charities and their professional fundraisers.

The need for public education will require a sustained effort on the part of this office in order to reach as many organizations subject to the new law as possible and to increase public awareness of the new statutory provisions to a level that will help make the new program a success from the point of view of Colorado consumers.

**Existing conditions and trends:**

- **Conditions:** The charitable solicitations section is now handling a greatly expanded constituency with an entirely electronic (web-based) registration system. Rather than storing paper documents in filing cabinets or even eliminating paper files through high speed scanning, the new system facilitates electronic storage of information input directly by charitable organizations, professional fundraising consultants, commercial coventurers, and paid solicitors.
- **Trends:** Since the initial flurry of registration activity in the last weeks of FY 01-02, there has been a steady increase in the number of registered charitable organizations, paid solicitors, and professional fundraising consultants in the charitable database. Outreach efforts and media coverage have led directly to periodic spikes in registration activity, so generating more publicity about the program will continue to be crucial to any attempts to increase the number of organizations registered in the database. Periodic discussions with the Attorney General focusing on ways to increase public awareness of and encourage voluntary compliance with the Charitable Solicitations Act help support the office's outreach activities. Similar meetings with local Better Business Bureaus and leading nonprofit membership organizations continue to generate vital educational opportunities. There has been little increase in the number of inquiries and complaints received from consumers. As more consumers become aware of the charities program, however, we expect the number of complaints to increase, as will the demand for resources that would enable investigators to make the necessary inquiries into problems brought to our attention. On the national level, interest in reform of the nonprofit sector continues to grow in the states and in the U.S. Congress, as does interest in promoting e-filing of annual information returns with the Internal Revenue Service and registration documents with the various state charity offices. The Colorado Secretary of State has been a leader in e-government and has made important contributions to the development of e-filing tools for charities on the national level. This includes participation in the E-File Form 990 program launched by NCCS and the state retrieval system being introduced by the Internal Revenue Service in 2006. This office remains the only state charity office in the nation that requires e-filing by charities and commercial fundraisers. It is one of only two in the country that accepts such filings electronically.

- Action plan:** A government-private sector partnership in the form of a federal Technical Opportunities Grant (TOP) awarded by the U.S. Department of Commerce to GuideStar and the National Association of State Charity Officials (NASCO) soon has resulted in a web-based repository of digitized charities registration information for the public and a restricted regulators site that has already provided new data analysis and information-sharing tools to state charity offices that elect to participate in the project. This “NASCONet” web site continues to be improved upon and expanded. Ownership will transfer from Guidestar to NASCO in 2006. At the same time, partners under the TOP grant are developing an XML schema for software developers that should greatly speed the development and acceptance of professional e-filing products for charities. Finally, all parties to the grant are working closely with the Internal Revenue Service (IRS) to help all interested state charity offices participate in the IRS state retrieval system in order to facilitate e-filing on the state and federal level for charities. Legislation passed in 2005 authorized the Secretary of State to make a modest shift in resources in order to participate in NASCONet and the IRS state retrieval system. As in past years, new efforts will be undertaken to expand compliance and awareness of the Charitable Solicitations Act. The charitable solicitations section has established effective partnerships in the government, nonprofit, and information science communities in order to educate the public and those who are regulated, and it continues to make every effort to provide a web-based filing system that is as clear, accurate, and reliable as possible. It continues to expand its cooperation with the Attorney General’s office toward the end of improving data collection, educating consumers, investigating complaints, and enforcing the provisions of the Charitable Solicitations Act.

- Customer Requirements**

<b>Customer</b>	<b>Requirement</b>
Charities and fundraisers registering solicitation campaigns	Clear, comprehensible online forms and instructions for required filings; understanding of the requirements of the Colorado Charitable Solicitation Act; notices of delinquent campaign reporting; easily accessible records of a minimum of two years of campaign notice and report filings.
Donors/public inquiries	Access to all current public registration and reporting information online, as well as supplemental information that will include answers to frequently asked questions and links to helpful resources related to charitable solicitations. Access to online annual summary information of charitable solicitations campaigns. Ability to quickly reach charitable solicitations program staff by telephone and in person with questions, suggestions, concerns, and complaints.
Charity officials nationwide	Efficient method for exchanging information with appropriate authorities of this state, any other state, and the United States with respect to charitable organizations, professional fundraising consultants, commercial coventurers, and paid solicitors. Information, tools, and resources to encourage e-filing of registration materials, increase quality of data, and leverage scarce resources to enhance their oversight function.

## Strategic Plan / Program Narrative

### SECRETARY OF STATE / DEPARTMENT OF STATE

**PROGRAM TITLE:**           **Notaries Public**

**CHANGE REQUEST(S):**   **None**

**ESTIMATED TOTAL FUNDING:**

Line Item	FY 2006-07 Total Appropriation		FY 2007-08 Total Request	
	Dollars	FTE	Dollars	FTE
Personal Services	\$ 193,268	4.2	\$ 193,268	4.2
Operating Expenses	\$ 15,578		\$ 15,578	
<b>Totals</b>	<b>\$ 208,846</b>	<b>4.2</b>	<b>\$ 208,846</b>	<b>4.2</b>

**FEDERAL AND STATE STATUTORY AND CONSTITUTIONAL AUTHORITY:** Title 12, Article 55, Part 1, C.R.S., “Notaries Public Act”

**PROGRAM DESCRIPTION:**

The Notary Section: distributes new and renewal applications; commissions notaries public pursuant to new regulations adopted as a result of HB06S-1023; commissions electronic notaries; issues notarial authentications for international and interjurisdictional uses; handles all notary complaints that are addressed to the Secretary of State; provides notary information and education, and maintains and updates records of all current Colorado notaries.

**PRIORITIZED OBJECTIVES AND PERFORMANCE MEASURES:**

**Objective 1.1** Meet increasing public demand for regular and expedited commissions and commission changes while maintaining promptness and accuracy of service.

	<b>03-04 Actual</b>	<b>04-05 Actual</b>	<b>05-06 Actual</b>	<b>06-07 Estimated</b>	<b>07-08 Projected</b>
<b>MEASURE 1.1.1</b> Number of commissions issued	26,500	27,092	25,030	27,000	27,000
<b>MEASURE 1.1.2</b> Expedited commissions in 15 minutes or less	100%	100%	100%	100%	100%
<b>MEASURE 1.1.3</b> Regular commissions mailed and rejected applications returned for correction within 10 business days of receipt in Notary Section	85%	85%	92%	95%	95%
<b>MEASURE 1.1.4</b> Commission error rate, as reflected in percentage of commission certificates returned for correction	.5%	.5%	.5%	.2%	.2%
<b>MEASURE 1.1.5</b> Number of changes recorded	3304	4482	4736	4500	4500
<b>MEASURE 1.1.6</b> Changes recorded and updated commission certificates issued within 10 business days of receipt	95%	65%	75%	80%	80%
<b>MEASURE 1.1.7</b> Mail out renewal notices by postcard	0%	0%	100%	100%	100%
<b>MEASURE 1.1.8</b> Provide notary training classes in-house	0	0	13	12	12
<b>MEASURE 1.1.9</b> Provide notary training classes off-site, including at least one CLE class to the CBA	Unk	Unk	20	24	24
<b>MEASURE 1.1.10</b> Provide notary training via Web with commercial providers	N/A	N/A	N/A	Implemented	Ongoing

**Objective 1.2** Research and develop new technological guidelines and practices, both to implement HB 02-1119, the electronic notary signature bill, HB 04-1300, the electronic notary filing bill and HB 05-1136, the pictorial notary bill, and to streamline Notary Section functions.

	<b>04-05 Actual</b>	<b>05-06 Actual</b>	<b>06-07 Estimate</b>	<b>07-08 Projected</b>
<b>MEASURE 1.2.1</b> Research, draft, propose, and promulgate rules for electronic notarizations, pursuant to the requirements of HB 02-1119	Rules adopted and published	Completed	Amend rules	Amend rules if required
<b>MEASURE 1.2.2</b> Improve customer service and reduce individual e-mail and telephone inquiries and requests by completing and updating the Notary Section web site	Site evaluated and updated as needed; e-mail inquiries/form requests av. <10 wk	Site evaluated and updated with additional resources for notaries	Site evaluated and updated with additional resources for notaries	Site evaluated and updated with additional resources for notaries
<b>MEASURE 1.2.3</b> Convert notary files and records to paperless format and maintain, index, search, and update them electronically	Conversion plan developed	Project implemented	100% of old filings imaged	Project Complete
<b>MEASURE 1.2.4</b> Develop and implement a notary application that may be delivered electronically, pursuant to the requirements of HB 04-1300.	N/A	Application in development	Application developed and implemented	Project completed
<b>MEASURE 1.2.5</b> Research, draft, propose, and promulgate rules for pictorial notaries, pursuant to the requirements of HB 05-1136 and subject to approval by the general assembly.	N/A	N/A	Rules researched, drafted, hearing held	Rules effective after legislative approval

**Objective 1.3** Meet increasing customer demand for notarial certifications and authentications without reduction in accuracy or promptness of service.

	<b>04-05 Actual</b>	<b>05-06 Actual</b>	<b>06-07 Estimate</b>	<b>07-08 Projected</b>
<b>MEASURE 1.3.1</b> Authentication error rate, as reflected in percentage of certificates returned for correction	<1/10 of 1%	<1/10 of 1%	<1/10 of 1%	<1/10 of 1%
<b>MEASURE 1.3.2</b> Number of certifications/ authentications issued within one business day of receipt	18,745	19,792	20,000	20,000
<b>MEASURE 1.3.3</b> Expedited authentications/certifications in 15 minutes or less (additional certificates, same order, 5 minutes or less)	3,633	5,014	5,000	5,000

**Objective 2.1** Increase the efficiency, speed and convenience of notary application packet distribution without requiring additional FTE.

	<b>04-05 Actual</b>	<b>05-06 Actual</b>	<b>06-07 Estimate</b>	<b>07-08 Projected</b>
<b>MEASURE 2.1.1</b> Mail renewal notice postcards automatically to each current notary one month prior to expiration of notary's term	100%	100%	100%	100%
<b>MEASURE 2.1.2</b> Implement electronic distribution system for application packets via internet	N/A	Begun	Complete	Complete
<b>MEASURE 2.1.3</b> Implement fax distribution system for application packets via automated linked telephone/fax	N/A	Begun	Complete	Complete

**TRENDS AND OTHER BASELINE INFORMATION:**

The overall demand for notaries and notary services continues to grow in Colorado. The slight drop for actual applications in 05-06 appears to be the result of an office backlog during the months of May and June of 2006. The rate of growth appears to have flattened in the past three years.

The total number of notaries in Colorado as of July, 2006 is approximately 107,000 with approximately 25,000 to 27,000 new and renewal applications each year. The advent of new statutes and rules regarding electronic notaries may cause a rise in staff workload but it is not anticipated that electronic notaries will exceed more than a few hundred for the next three to four years. To date, we have not seen any evidence of an increased usage of the electronic notary signature in the real estate recording industry. That is the one industry for which the electronic notary signature was developed. Although other states have been slow in creating administrative processes for authorizing electronic signatures, the real estate industry has been slow to adapt to an all-electronic closing and recording process that lends itself to the use of an electronic notary signature.

HB 05-1136 requires the secretary of state to adopt rules to establish a system for electronically transmitting notarized, authenticated photographs of individuals. The rules should be adopted as soon as administratively feasible, but, as specified in the bill, would not take effect until approved by the general assembly. With the passage of HB 06S-1023, the pictorial notary may play a role in safely transmitting encrypted identification documents to agencies that provide "public benefits".

It is apparent that streamlining of processes and additional utilization of developing technologies will be needed in the Notary Section if the Department's customer service goals are to be met without personnel increases. The conversion of historical notary

images (those applications received within the past four years) has reduced the processing time of renewal applications and document authentications. The imaging of all notary applications is currently being accomplished. This latest project will eliminate much of the paper storage requirements of the section. The department's IT staff and the State Internet Portal Authority are near to completion on electronic notary filing via the web. This project will allow a notary applicant to complete a notary application online and pay online. It will allow current notaries to check commission expiration dates, file changes of address and/or names, loss of seals and journals, etc. Although the notary will have to print out the completed application and sign it before a notary, the basic data entry tasks are accomplished by the notary rather than the administrative staff within the office. The processing of payment will also be done electronically. This should reduce the mail workload, postage costs, etc.

**ACTION PLAN:**

As a result of previous legislation, specifically HB 04-1300, the section has reduced the staffing level by 0.5 FTE. This reduction came before the implementation of the electronic filing program via the web. The section looks forward to the implementation of the plan by SIPA. This is the last link to a reduced paper flow and a more efficient operating environment.

The division expects to submit legislation repealing the existing notary law and adopting a modified version of the Model Notary Act during the 2007 legislative session.

**ACCOMPLISHMENTS:**

The conversion of all paper files to a digital format is the major accomplishment of the past fiscal year. With the help of DPA's Document Solutions Group, the division was able to image and index approximately 105,000 notary files comprising some 135,000 pages. DSG responded with a competitive bid to other bids received from private industry and completed the job in a timely manner with a very small error rate. This project reduces the time that was previously spent manually searching paper files to compare notary signatures and applications. It speeds up both the notary commissioning process as well as the authentication process.

All new and revised forms and information, to include the electronic notary forms, have been drafted and posted to the updated Notary Section web site as of August 3, 2006. In August of 2004, the Section replaced the renewal packet mailings with reminder postcards, which reduced the filing workload of the front desk staff as well as postage costs. The application materials on the web site have been enhanced to provide instructions on completing the form and include a copy of the Notaries Public Act along with the application, thereby supplying electronically, all of the materials that the Section had previously provided by mail. New reference and training materials have been added

to the web site, including a Notary Handbook, Frequently Asked Questions, Notarization Format Examples, and Common Mistakes to Avoid, with the goals of reducing errors by notaries, encouraging self-training, and reducing phone inquiries. At present the site continues to receive customer support and approval. The Section expects continued acceptance of the revised forms, electronic notary forms, and helpful new information.

The notary training classes provided by the section head and the director are well received. Requests for classes, including annual CLE presentations to the bar association are increasing. The section head and director presented thirteen in-house training sessions and twenty out of office training sessions during FY 05-06. The in-house sessions are held in the Secretary of State’s conference room once a month throughout the year. These classes are generally filled to the capacity of the room. Out of office presentations have been made to law offices, banks, legal support staff groups, court reporters, school districts, insurance companies and the military. These classes have been conducted from Grand Junction to Ft. Morgan and Ft. Collins to Ft. Carson. The demand for these classes is quite surprising, given that Colorado does not have a requirement for mandatory notary education.

Notary complaints result in one of three outcomes: dismissal of the complaint for lack of jurisdiction or failure to state a complaint upon which relief may be granted; settlement with the notary resulting in a suspension and agreement to attend notary training; a hearing before the deputy Secretary of State resulting in revocation or suspension of the notary’s commission.

**CUSTOMER REQUIREMENTS:**

<b>Customer</b>	<b>Requirement</b>
Adoptive parents and others engaging in international transactions	Multiple correct, complete notary authentications, acceptable in the country from which the adoption is made or with which business is done; guidance and assistance in obtaining correct notarizations that can be used in foreign jurisdictions; immediate error-free service
Notary applicants	Quick, convenient access to application instructions, forms and materials; prompt commissioning upon application (or request for application correction) along with the availability of adequate and timely training
Complainants on notary matters	Response in a reasonable time, preferably from both notary and Notary Section; understanding of both the complaint process and the basic requirements of the notary law
Notaries subject to complaints	Understanding of the nature of the complaint; an opportunity to respond and be heard
All above types of customers, as well as notaries generally	Basic understanding of notary duties, responsibilities, and functions under the Colorado notary law



## Strategic Plan / Program Narrative

### SECRETARY OF STATE / DEPARTMENT OF STATE

**PROGRAM TITLE:** Uniform Electronic Transactions Act

**CHANGE REQUEST(S):** None

**ESTIMATED TOTAL FUNDING:**

Line Item	FY 2006-07   Appropriation		FY 2007-08 Total Request	
	Dollars	FTE	Dollars	FTE
Personal Services	\$ 96,439	1.3	\$ 96,439	1.3
Operating Expenses	\$ 15,578		\$ 15,578	
<b>Totals</b>	<b>\$ 112,017</b>	<b>1.3</b>	<b>\$112,017</b>	<b>1.3</b>

**FEDERAL AND STATE STATUTORY AND CONSTITUTIONAL AUTHORITY:** Sections 24-71.3-118 and 24-71.3-119, C.R.S., Senate Bill 03-230.

**PROGRAM DESCRIPTION:**

The Uniform Electronic Transactions Act was adopted during the 2002 Legislative Session and was amended in the 2003 Legislative Session to include an appropriation effective January 1, 2004. The Act requires the Secretary of State to develop and adopt rules for state agencies, which rules prescribe the use of electronic signatures, and the manner and format in which electronic records must be created, generated, sent, communicated, received and stored.

**PRIORITIZED OBJECTIVES AND PERFORMANCE MEASURES:**

OBJECTIVE 1.1 Hire, train and retain highly qualified personnel.					
	FY 03-04 Actual	FY 04-05 Actual	FY 05-06 Actual	FY 06-07 Estimated	FY 07-08 Projected
MEASURE 1.1.1 Percentage of required staff hired.	33	100	100	100	100

OBJECTIVE 1.2 Research laws and rules adopted by other jurisdictions.					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimate</b>	<b>FY 07-08 Projected</b>
MEASURE 1.2.1 Percentage of other states surveyed in which rulemaking under UETA centralized for all of state	5	20	70	100	100
MEASURE 1.2.2 Percentage of Federal agencies surveyed for electronic transactions rules or guidelines		2	15	50	80

OBJECTIVE 1.3 Research electronic systems used by other jurisdictions to ensure adequate preservation, disposition, integrity, security, confidentiality and auditability of electronic records.					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimate</b>	<b>FY 07-08 Projected</b>
MEASURE 1.3.1 Percentage of project completed.	2	15	25	50 but ongoing	Ongoing

OBJECTIVE 1.4 Provide information and education to state and local government agencies concerning UETA (the Act) and the UETA program.					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimated</b>	<b>FY 07-08 Projected</b>
MEASURE 1.4.1 Number of presentations or demonstrations given to interested constituencies	2	5	20	30	25
MEASURE 1.4.2 Form a Task Force of representatives from state and local gov't agencies and private sector - percentage completed	0	80	100	100	100
MEASURE 1.4.3 Create UETA web site with information for gov't agencies - percentage completed	0	50	90 but ongoing	90 but ongoing	100 Ongoing
MEASURE 1.4.4 Percentage of agencies assisted in assessing or designing electronic transaction implementations	5	20	60	80 but ongoing	100 but ongoing

OBJECTIVE 1.5 Develop proposed rules, receive public comment and adopt final rules.					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimated</b>	<b>FY 07-08 Projected</b>
MEASURE 1.5.1 Percentage of CO agencies surveyed for needs	2	70	90	100	100
MEASURE 1.5.2 Percentage of project completed.	0	0	50	90 but ongoing	100 but ongoing

**TRENDS AND OTHER BASELINE INFORMATION:**

UETA has been adopted by at least forty-five states and the District of Columbia. As more jurisdictions allow for electronic citizen-to-government, business-to-government and government-to-government transactions, the need for a consistent set of rules and systems is imperative. Further, the creation of the Statewide Internet Portal Authority, the selection of the portal integrator, and the hiring of a State Chief Information Security Officer added new players to state government, all of whom have an interest in electronic transactions and the rules that will govern them. Thus, the UETA program has adjusted to consult and collaborate with these new participants in order to assure that rules to be adopted will be practical, achievable and appropriate.

**ACTION PLAN:**

- Participate with the government, citizen and the business communities in developing a framework for citizens and business to efficiently interact with government in a digital environment.
- Research legal, business and technology issues and options in implementing an electronic government process.
- Research laws, rules and implementations in other states and at the federal level
- Attend local and national conferences and meetings; learn from interactions with counterparts in other governments at local, state, and federal levels, as well as from members of the private sector and vendors.
- Research and develop a test bed of hardware and software technologies for continuing research into the issues of authentication, identity protection, computer security, electronic and digital signatures, encryption, and document archiving.
- Survey state and local Colorado government agencies concerning current and future electronic process implementations and needs.
- Educate and assist all interested government agencies, including Colorado counties and municipalities.

**ACCOMPLISHMENTS:**

The unit has researched legal and business topics that include federal laws and regulations, Colorado laws and the laws and rules of other states with respect to the development and use of electronic records and signatures in government transactions. The unit has also researched state and federal laws that may affect how government electronic transactions can or should be conducted, such as privacy requirements and state open records law.

The unit has researched risk assessment approaches and standards for authentication and electronic signatures developed by federal government agencies and standards bodies, non-profit industry organizations and legal organizations. The unit has also explored the current state of electronic signatures and security issues in the private sector.

The unit has had detailed conversations or meetings with counterparts in other states and with federal agency personnel and has attended topical conferences.

The unit has researched electronic authentication and electronic signature technologies and implementations, including both software applications and hardware devices. The unit has purchased laptop computers for use as test-bed equipment and has obtained a variety of such electronic authentication and signature products, which it uses for research and demonstration purposes. The unit has contacted or reviewed over 50 vendors and products and established relationships with major digital certificate vendors.

The unit has worked to become a resource for state and local governments and to communicate this role by a variety of outreach and education initiatives, including:

- Developing a UETA web site
- Establishing a UETA Task Force
- Giving Power Point presentations to government groups and conferences
- Demonstrating authentication and electronic signature technologies
- Publishing an article in Stateline
- Meeting with key people and groups in Colorado with a stake in electronic government transactions
- Attending monthly meetings of the SIPA Board and the eRecording Advisory Fund Panel
- Contacting the Executive Directors of all departments in the state
- Responding to inquiries from agencies about electronic signatures and UETA

The unit is actively working with several agencies concerning the design of their electronic signature implementations and revisions to their agency rules to permit electronic transactions and signatures.

**CUSTOMER REQUIREMENTS:**

<b>Customer</b>	<b>Requirement</b>
State and local government agencies	Rules and systems that promote electronic transactions consistent with the business needs of the agencies and their customers. Education, training, and help to incorporate electronic transactions into business processes to serve customers better.
Citizens, members of the business community, their attorneys and other professionals, and other government agencies	Consistent, well researched rules and systems that allow for efficient citizen-to-government (CTG), business-to-government (BTG) and government-to-government (GTG) electronic transactions.

## Strategic Plan / Program Narrative

### SECRETARY OF STATE / DEPARTMENT OF STATE

**PROGRAM TITLE:**     **Business Organizations / Secured Transactions, Effective Financing Statements & Misc. Liens / Legal Process/Authentications**

**CHANGE REQUEST(S):**

**ESTIMATED TOTAL FUNDING:**

Line Item	FY 2006-07 Total Appropriation		FY 07-08 Total Request	
	Dollars	FTE	Dollars	FTE
Personal Services	\$1,472,771	36.4	\$1,472,771	34.4
Master List Distribution Contract – Decision Item	\$80,000			
Operating Expenses	\$158,535		\$158,535	
<b>Totals</b>	<b>\$1,711,306</b>	<b>36.4</b>	<b>\$1,631,306</b>	<b>34.4</b>

**FEDERAL AND STATE STATUTORY AND CONSTITUTIONAL AUTHORITY:** §§ 7-30-101 through 7-137-301, inclusive, C.R.S.; §§ 12-2-101, et seq., C.R.S; 7 U.S.C. Sec. 1631; § 4-9-101 et seq., § 4-9.5-101 et seq., C.R.S.; § 38-20-201 et seq., C.R.S.; §§ 4-9-102(5) and 4-9-109(a)(2), C.R.S.; § 29-4-712(6)(b), C.R.S.; § 38-25-101 et seq., C.R.S.; § 38-24.5-101 et seq., C.R.S.; § 38-27-101 et seq., C.R.S.; §14-10-122(1.5); § 16-18.5-104(5)(b), C.R.S.; § 35-48-101, C.R.S.; § 5-1-203, C.R.S.; and § 12-61-107, C.R.S.

**PROGRAM DESCRIPTIONS:**

Through its Business Organizations Program, the Business Division registers business names, business organizations, trade names and trademarks pursuant to applicable Colorado statutes. It creates, indexes and maintains records regarding these registrations and makes them, and related certificates, accessible to the public. The major goal of this program is to provide faster, more accurate, more efficient, less expensive, remotely accessible near-“24/7” self-service to both persons requiring registrations and to those requiring access to registered information, while limiting the need for additional personnel. Achieving this goal involves maximizing the use of applicable technology; hiring, training and retaining highly qualified employees; and educating our user community as we evolve into a paperless, self-service office.

Through its Secured Transactions/EFS/Liens Program, the Business Division files, indexes, and makes available to the public Uniform Commercial Code Article 9 Financing Statements and related certificates. The Division provides similar services regarding Effective Financing Statements pursuant to the federal Food Security Act of 1985, and then generates and distributes “master lists” of Effective Financing Statements to buyers of farm products. Further, this Program creates, indexes and maintains records

regarding a number of additional miscellaneous liens and makes them accessible to the public.

The Legal Process Program consists of maintaining records relating to service of legal process on the Secretary of State as agent for certain persons and responding to other legal process, miscellaneous notices and demands, such as subpoenas, served on the Secretary of State in connection with records maintained by the Division. The Authentications Program responds to requests for issuance of apostilles with respect to copies of records maintained by the Division for use in member countries under the Hague Convention.

As a part of these Programs, the Business Division provides relevant public assistance and education.

**PRIORITIZED OBJECTIVES AND PERFORMANCE MEASURES:**

OBJECTIVE 1.1 Increase the speed, accuracy and efficiency of business division documents registration by implementing and expanding Web-enabled electronic filing.					
	FY 03-04 Actual	FY 04-05 Actual	FY 05-06 Actual	FY 06-07 Estimate	FY 07-08 Projected
MEASURE 1.1.1 Number of months all business organization documents are processed within statutory deadlines.	9	8	12	12	12
MEASURE 1.1.2 Number of months all UCC documents are processed within statutory deadlines.	8	11	12	12	12
Measure 1.1.3 Average number of days required to process business documents	7	17	4	4	4
MEASURE 1.1.4 Average number of days required to process UCC documents.	5	4	2	2	2
MEASURE 1.1.5 Percentage of eligible business documents filed electronically.	34	72	96.7	98.9	99
MEASURE 1.1.6 Percentage of eligible UCC documents filed electronically.	53	59	65	70	75
MEASURE 1.1.7 Percentage of business documents filed on expedited basis vs. ordinary course of business	7	6	4	1	1

OBJECTIVE 1.2 Increase the speed, accuracy and efficiency of processing business division documents by implementing bar-coding technology and high-speed, high-capacity scanners.					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimate</b>	<b>FY 07-08 Projected</b>
MEASURE 1.2.1 Average number of days in Scanning Cycle for Business Documents.	14	3	2	2	2
Measure 1.2.2 Average number of days in Scanning Cycle for UCC	7.5	5	2	2	2

OBJECTIVE 1.3 Increase the accessibility to information and services by planning and implementing Web-enabled document certification and certificate issuance system and providing forms online.					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimate</b>	<b>FY 07-08 Projected</b>
MEASURE 1.3.1 Percentage document certification complete.	25	25	25	25	25
MEASURE 1.3.2 Number of Certificates of Good Standing issued via Web site	170,000	251,431	276,668	285,000	300,000
MEASURE 1.3.3 Percentage of forms distributed online	85	95	99	99	99

OBJECTIVE 2.1 Increase public education regarding changes in business organization and UCC laws and filing procedures.					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimate</b>	<b>FY 07-08 Projected</b>
MEASURE 2.1.1 Number of educational presentations made.	24	36	2	5	12
MEASURE 2.1.2 Percentage reduction in number of business organization documents rejected for non-compliance with applicable law.	1	27	40	45	60
MEASURE 2.1.3 Average number of page views on Business Division Web site (monthly).	59,455	358,858	11,822,781	12,296,900	14,000,000

OBJECTIVE 2.2: Hire, train and retain highly qualified personnel.					
	<b>FY 03-04 Actual</b>	<b>FY 04-05 Actual</b>	<b>FY 05-06 Actual</b>	<b>FY 06-07 Estimate</b>	<b>FY 07-08 Projected</b>
MEASURE 2.2.1 Average number of vacant positions	2	4	7	4	2
MEASURE 2.2.2 Number of employee training hours delivered	250	250	250	300	300

OBJECTIVE 3.1: Increase the number of electronic filings (measured by month).					
	FY 03-04 Actual	FY 04-05 Actual	FY 05-06 Actual	FY 06-07 Estimate	FY 07-08 Projected
MEASURE 3.1.1 Number of UCC filings submitted electronically.	58,598	73,018	69,553	68,000	75,000
MEASURE 3.1.2 Number of UCC filings submitted by paper.	51,415	50,472	36,752	35,000	25,000
MEASURE 3.1.3 Number of Business filings submitted electronically.	105,976*	295,429	400,202	450,000	500,000
MEASURE 3.1.4 Number of Business filings submitted by paper.	227,942	120,819	43,126	20,000	10,000

\*ANNUAL REPORTS ONLY

**TRENDS AND OTHER BASELINE INFORMATION:**

There is a clear trend toward expansion and complexity of business organization laws in Colorado. It is assumed that this trend will continue. This will place an increasing burden on the Business Division to participate in the drafting, enactment, interpretation and revision of these laws in order to assure that administrative concerns are addressed, to revise administrative procedures appropriately for new and changed laws, to train the Business Division’s employees and to educate the Division’s constituents.

Additionally, there has been a trend toward increased business activity in the State and therefore in the volume of filings. Over the three year period from July, 2001 to May, 2004, the total number of business records maintained by the Business Division grew from 326,424 to 396,661, a 21.5% increase; while the number of personnel has decreased as a result of legislative mandates. This record growth has slowed somewhat. From September, 2005 to August, 2006 the total number of business records grew from 666,555 to 739,397, a 10.9% increase. In January of 2002 the number of business entity annual reports doubled as a result of statutory changes. Effective May 30, 2006, all trade names are filed with the Business Division. Prior to this statutory change, the Division filed trade names for business entities only. Trade names for general partnerships and sole proprietorships were filed with the Department of Revenue. This change has resulted in an increase in trade name filings. During the five month period of January 1, 2006 through May 28, 2006 there were 5,225 new trade names filed with our office. After the statute change, new trade names filed from May 30, 2006 through August 31, 2006 numbered 13,045. The trend towards greater complexity and an increase in filings will continue and it will be necessary to implement the most efficient and effective technology in order for the personnel of the Division to keep pace with this increasing workload.

There were 110,744 financing statements filed during FY 02-03, 110,000 for FY 03-04, and 123,490 for FY 04-05. With the improvement in the economy, the total statements



filed for FY 05-06 decreased to 106,305 filings. The number of filings communicated electronically has been steadily increasing each year. With the increase in electronic filings, paper filings are gradually declining and are now being processed by one FTE.

Our customers have increasing expectations regarding the services we provide and their access to them. The Business Division must necessarily implement new methods by which it can provide such services. The primary means to accomplish this is through electronic filing of documents and remote access to the Division's data, forms, information and services on a "self-service", near-24/7 basis. During FY 04-05 the Business Division made available for e-filing 34 transactions. This project is ongoing with currently 52 transactions now available online. Other means include new and improved forms and instructions, expanded publications, including new and expanded content on the Division's Web site, and educational outreach programs. Such enhanced Web site content includes additional "frequently asked questions" and a glossary of terms.

After several years of hiring difficulties, the Division has been able to fill most of the vacant positions with permanent employees. The Division has suffered a high rate of employee turnover in the past but expects that trend to turn around as the Division upgrades positions and especially if the national economy should deteriorate. The Division must continue to find ways to attract qualified employees by providing enhanced career opportunities, greater responsibility, and better training. Additionally, the Division must find innovative, less labor-intensive ways to deliver services to its customers through means of "self-service" delivery systems. This can be accomplished by digitizing the remaining non-digital data and images maintained by the Division, and making all data and images and related certifications, information, forms and instructions available to the public on the Division's Web site and by automated telephone messages and "fax back" services.

**ACTION PLAN:**

The Division will continue to promote the advantage of the electronic filing program in order to increase the usage of electronic filing and other Web-based services. This plan requires more public outreach on the part of the Division's senior staff.

The Division will continue to develop and present multi-media presentations to local bankers', lawyers' and similar constituencies. The Division had sponsored a monthly training session for users and had received approval for CLE credit for lawyers from the Colorado Supreme Court. The Division plans to continue this service. The Division will continue its publication of articles in cooperation with these same groups for insertion into their professional newsletters and journals. Abbreviated articles have been placed on the Division's Web site. The Division will continue to collaborate with national industry groups for dissemination of timely, pertinent information. The Division is investigating the offering of payment of applicable fees via Automated Clearing House ("ACH") electronic funds transfer which fee payment method is preferred by some customers. It is also considering changes to its systems to enable Uniform Commercial Code records and

other records, such as business organization annual reports, to be communicated to the filing officer in xml format.

The Division will fill vacant positions with highly qualified permanent employees, and thoroughly train and motivate all employees.

The Division will participate with the business community in clarifying applicable statutes in order to eliminate inconsistent provisions that impede efficient administration of those statutes. It will revise all forms and publications promptly following changes in the law to keep them legally effective and to reduce the number of documents rejected for non-compliance. Pursuant to changes in trademark statutes effective May 29, 2007, this program is being rewritten and will be available for e-filing on that date. The current secured transactions program is being rewritten for the following year.

The Division will implement electronic filing procedures that will result in the filing of error-free documents with minimal demands on personnel and move the Programs toward a "paperless" electronic environment. It will process paper filings more expeditiously using modern workflow practices that incorporate bar coding and high-capacity, high-speed scanners utilizing improved "error checking" software.

As an integral part of the Division's shift to a Web-enabled self-service model, it will re-direct resources toward increased quality assurance and records auditing to insure the accuracy of the data maintained by it and further to set the stage for deployment of additional Web-based services (such as online, low-cost or free, access to certified copies of documents and certificates of fact). In order to accomplish this goal, the Division will insure that all business organization records are complete and that recently digitized images are correctly indexed to related records. As resources are made available through constituent acceptance and adoption of the self-service model, they will be re-directed to customer support, help desk functions and creation and maintenance of Web content.

The Business Division will identify and implement other means of providing remotely available "self-service" to its user community and redirect the efforts of our personnel from processing paper toward providing effective, friendly customer assistance and education, both of which are increasingly technical – and hence complex and often difficult - in nature given the reliance by the Division on technological solutions. Online "tutorials" have been designed and made available to the public on the Division's Web site to aid customers with more self-help educational opportunities prior to, or in lieu of, contacting Division employees.

### **Accomplishments:**

During the past several years the Division has reclassified certain employee positions to reflect the increased responsibilities and duties imposed on those positions. This has assisted the Division in attracting and retaining qualified personnel and the Division will continue to pursue this initiative. Workstations were reconfigured to improve operational

efficiency, including a process of document data entry utilizing an electronic image of the paper document being processed.

The Division has participated actively with the business and legal communities in enacting, reviewing and revising the laws administered by the Division, such as the Colorado Uniform Partnership Act, the Colorado Limited Liability Company Act, the Colorado Revised Nonprofit Corporation Act, the innovative Colorado Corporations and Associations Act, and Revised Article 9 of the UCC and the Central Filing of Effective Financing Statements Act. Other legislative undertakings include work on business organization statute clarification, trade name laws and a totally revamped trademark act.

The Division has also expanded the information available to the public via the Internet, on a near-24/7 basis, including making electronic images of business filings accessible from the Division’s Web site. The Division currently provides an electronic filing program for UCC documents via the Internet. The number of UCC documents filed electronically is increasing each month. Electronic filings have been averaging 69.99% of the total number of UCC filings for the past eight months. Electronic filing is expected to continue to increase.

By providing “real-time” mistake-proof online filing of business organization documents, the Division has greatly reduced the demand for “expedited filing” of documents on a “while you wait” basis, which is by its very nature inordinately labor-intensive.

Finally, the Department has maintained the expanded hours the Secretary of State's Office is open to the public and increased the information and electronic filing options available to the public on a “self-service” basis on the public view stations in the Office’s public area.

**CUSTOMER REQUIREMENTS:**

<b>Customer</b>	<b>Requirement</b>
Members of the business community, their attorneys and other professionals, service companies and other government agencies	Timely, reliable information, including certificates, regarding the records maintained by the Division; assistance with completing and filing documents, and related fees; education regarding changes in the law and the procedures employed by the Division; increased means by which customers can remotely access the information available from the Division on a “self-service”, 24 hours a day, 7 days a week, basis; new statutes and improvements to existing law to enable Colorado entities to remain competitive with businesses subject to the laws of other jurisdictions.

<b>Customer</b>	<b>Requirement</b>
Banks, Lawyers Other Lenders	Adequate understanding of statutory changes regarding filing requirements, filing office procedures, fees, etc.
Banks, Lawyers Other Lenders	Fast, accurate filing of UCC documents with immediate notification that the document has been filed.
Constituents Exporting Records to Hague Member Countries	Helpful assistance in connection with certification of records and issuance of related apostilles.

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Administration</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
5	<b>Position Detail</b>										
6	Secretary of State	69,165	1.0	61,917	1.0			68,500	1.0	68,500	1.0
7	Deputy Secretary of State	101,209	1.0	102,462	1.0			102,000	1.0	102,000	1.0
8	Controller II			90,270	1.0			88,248	1.0	88,248	1.0
9	Budget Analyst III	76,273	1.0	-	-					-	
10	Accountant II			14,488	0.3			59,112	1.0	59,112	1.0
11	Management			105,666	1.0			104,664	1.0	104,664	1.0
12	General Professional VII	98,722	1.0	98,648	1.0			100,063	1.0	100,063	1.0
13	General Professional VI	302,717	3.6	157,562	2.0			220,182	3.0	228,810	4.0
14	General Professional V			261,432	4.0			292,088	4.0	292,088	3.0
15	General Professional IV	144,019	2.0	220,664	3.4			376,476	5.5	380,160	5.5
16	General Professional III	261,855	5.2	264,975	5.1			217,210	4.3	217,210	4.3
17	General Professional II	140,261	3.2	145,949	4.1			149,918	3.3	149,918	3.3
18	General Professional I	58,687	1.7					38,150	1.0	38,150	1.0
19	Compliance Investigator II	65,562	1.0	66,876	1.0			68,676	1.0	68,676	1.0
20	Compliance Investigator I	172,914	3.0	210,524	4.0			224,527	4.0	224,527	4.0
21	Auditor II	57,626	1.0	17,121	0.2						
22	Auditor I									46,468	1.0
23	Audit Intern			6,145	0.2			43,437	1.0		
24	Records Administrator	66,217	1.0	-	-						
25	Arts Technician	29,014	1.0								
26	Arts Professional I			42,997	1.1			64,164	1.5	64,164	1.5
27	State Services Professional Trainee IV			71,940	2.5			318,164	11.5	142,820	5.5
28	State Services Professional Trainee II	68,219	2.0	-	-						
29	State Professional Services Trainee I			5,999	0.2						
30	Customer Support Coordinator			7,200	0.2						
31	Office Manager I	99,031	2.2	42,938	1.0			43,884	1.0	43,884	1.0
32	Program Assistant II										
33	Program Assistant I	292,316	7.5	119,258	3.0			121,200	3.0	121,200	3.0
34	Accounting Technician III	71,339	1.7	31,004	0.7						
35	Accounting Technician II							40,591	1.0	74,292	2.0
36	Accounting Technician I			28,214	0.8			33,768	1.0		
37	Technician IV			121,743	3.2			122,832	3.0	122,832	3.0
38	Technician III			266,365	7.3			220,664	7.0	220,664	7.0
39	Technician II			303,884	9.6			243,689	7.0	243,689	9.0
40	Technician I									124,800	4.0
41	Administrative Assistant III	374,164	11.0	350,155	10.3			347,498	10.0	347,498	10.0
42	Administrative Assistant II	881,035	30.2	141,692	4.8			147,563	5.5	147,563	5.5
43											
44											
45	<b>Continuation Salary Subtotal</b>	<b>3,430,346</b>	<b>81.2</b>	<b>3,358,087</b>	<b>73.9</b>			<b>3,857,267</b>	<b>84.5</b>	<b>3,821,999</b>	<b>84.5</b>
46											

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Adminstration</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
47	<b>Other Personal Services</b>										
48	PERA on Continuation Subtotal	329,183		327,285				391,442		387,933	
49	Medicare on Continuation Subtotal	44,357		45,570				55,930		55,419	
50	Temporary Salaries	25,769		98,684				65,237			
51	Contractual Services	151,341		38,905							
52	Legal Services			55,052							
53	Overtime Pay			768							
54	Termination/Retirement Payouts	7,308		31,851				60,000			
55	Tuition and Registration										
56	Unemployment Insurance	9,523		3,590				3,500			
57	Other Personal Services	1,750		1,907				1,063			
58	<b>Personal Services Subtotal</b>	<b>3,999,577</b>	<b>81.2</b>	<b>3,961,698</b>	<b>73.9</b>	<b>4,434,439</b>	<b>84.5</b>	<b>4,434,439</b>	<b>84.5</b>	<b>4,265,351</b>	<b>84.5</b>
59	General Fund	-		-				-		-	
60	Cash Funds	3,999,577		3,939,370		4,359,439	83.5	4,359,439	83.5	4,193,691	83.5
61	Cash Funds Exempt	-		22,328		75,000	1.0	75,000	1.0	71,660	1.0
62	Federal Funds	-		-				-		-	
63											
64	<b>Pots Expenditures</b>										
65	Shift Differential										
66	Health/Life/Dental	186,712		208,996		270,577		270,577		387,079	
67	Short Term Disability	4,977		4,785		6,159		6,159		6,784	
68	Ammortization Equalization Disbursement			7,760		40,878		40,878		57,814	
69	Salary Survey/Performance Pay (non-add)									[230,260]	
70	SES (non-add)										
71											
72	<b>Base Personal Services Total</b>	<b>4,191,266</b>	<b>81.2</b>	<b>4,183,239</b>	<b>73.9</b>	<b>4,752,053</b>	<b>84.5</b>	<b>4,752,053</b>	<b>84.5</b>	<b>4,717,028</b>	<b>84.5</b>
73	General Fund	-		-				-			
74	Cash Funds	-		4,158,596	73.6	4,677,053	83.5	4,677,053	83.5	4,645,368	83.5
75	Cash Funds Exempt	-		24,642	0.3	75,000	1.0	75,000	1.0	71,660	(T) 1.0
76	Federal Funds	-		-				-		-	
77											
78	<b>Difference</b>							(26,115)		67,115	
79											
80	<b>Decision Items/Budget Reduction Items</b> (list using priority numbers for reference)										
81	General Fund										
82	Cash Funds										
83	Cash Funds Exempt										
84	Federal Funds										
85											
86	<b>Personal Services Detail Total</b>	<b>4,191,266</b>	<b>81.2</b>	<b>4,183,239</b>	<b>73.9</b>	<b>4,752,053</b>	<b>84.5</b>	<b>4,725,938</b>	<b>84.5</b>	<b>4,784,143</b>	<b>84.5</b>
87	General Fund									-	

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Adminstration</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
88	Cash Funds			4,157,592	73.6	4,677,053	83.5	4,650,938	83.5	4,712,483	83.5
89	Cash Funds Exempt			24,642	0.3	75,000	1.0	75,000	1.0	71,660	(T) 1.0
90	Federal Funds									-	
91											
92	<b>Calc of Personal Services Request</b>										
93	Previous Year Long Bill Appropriation									4,434,439	84.5
94	Previous Year Supplementals										
95	Previous Year Special Bills (by bill #)										
96	HB 06-1086 Bingo Raffle									(13,474)	(0.5)
97	SB 06-188 - E-Filing									(52,229)	(2.0)
98	HB 04-1448 Tradenames									(36,270)	(1.0)
99	Salary Survey - classified										
100	Performance Based Pay										
101	Senior Executive Services (SES)										
102	Medicare Incremental Increase										
103	Base Adjustment										
104	Other Adjustments (decision items, other)										
105	<b>Personal Services Request Total</b>									4,332,466	81.0
106	General Fund									-	
107	Cash Funds									4,260,806	80.0
108	Cash Funds Exempt									71,660	(T) 1.0
109	Federal Funds									-	
110											
111	<b>** [ ] Included as a non add - Informational purposes</b>										
112											
113	<b>Personal Services Reconciliation</b>										
114	<b>Authorization</b>										
115	Long Bill Appropriation	4,058,423	87.1	4,134,650	84.2			4,434,439	84.4		
116	Special Bills (by bill #)										
117	HB 06-1232 Supplemental Adjustment			(23,890)							
118	SB 06-188 - E-Filing							(26,115)	(1.0)		
119	HB 04-1300 E- Notary	5,332		(13,230)	(0.5)						
120	HB 04-1331 Supplemental Appropriation	51,417									
121	HB 04-1448 Tradenames			13,705	0.2						
122	SB 04-231 Electronic Filing	(34,700)		(114,700)	(3.6)						
123	Roll Forwards										
124	Additional Federal Funds										
125	Reversions	(345,914)		(355,276)				-			
126	General Fund	-		-				-			
127	Cash Funds	-		-				-			
128	Cash Funds Exempt	-		-				-			
129	Federal Funds	-		-				-			
130	<b>Authorization Subtotal</b>	3,734,558	87.1	3,641,259	80.3			4,408,324	83.4	4,332,466	81.0

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Adminstration</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
131	General Fund	-		-				-			
132	Cash Funds	3,734,558		3,641,259				4,408,324		4,260,806	80.0
133	Cash Funds Exempt	-		-				-		71,660	(T) 1.0
134	Federal Funds	-		-				-			
135	<b>Allocated Pots (should match summary tables)</b>										
136	Salary Survey	112,906		184,181							
137	Performance Pay	58,817									
138	Shift Differential										
139	Health/Life/Dental	275,836		334,945				270,577		[387,079]**	
140	Amortization Equalization Disbursements			14,151				40,878		[57,814]**	
141	Short-Term Disability	9,149		8,703				6,159		[6,784]**	



	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Adminstration</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
142	<b>Allocated Pots Subtotal</b>	456,708		541,980				317,614		451,677	
143	General Fund	-		-				-		-	
144	Cash Funds	456,708		541,980				317,614		451,677	
145	Cash Funds Exempt	-		-				-		-	
146	Federal Funds	-		-				-		-	
147											
148	<b>Personal Services Reconciliation Total</b>	4,191,266	87.1	4,183,239	73.9			4,725,938	83.4	4,332,466	81.0
149	General Fund	-		-				-		-	
150	Cash Funds	4,191,266		4,158,597	73.6			4,725,938		4,332,466	80.0
151	Cash Funds Exempt	-		24,642	0.3			-		71,660	(T) 1.0
152	Federal Funds	-		-				-		-	
153											
154	<b>Reconciliation Difference</b>	0	6	0	-			(26,115)	(1)		
155											
156	<b>** [ ] Included as a non add - Informational purposes</b>										
157											
162	<b>Operating Expenses/Capital Outlay</b>										
163											
164	2210 - Other Mtn and Repair										
165	2220 - Bldg Mtn and Repair	649		3,380				5,000		5,000	
166	2230 - Equipment Maintenance	1,246		666				2,500		2,500	
167	2231 - ADP Equipment Maintenance										
168	2232 - Software Maintenance	256									
169	2250 - Rentals										
170	2251 - Rent Motor Pool										
171	2252 - Rent Motor Pool Mileage										
172	2253 - Rent Equipment	441									
173	2254 - Rental of Motor Vehicles	490		742				1,000		1,000	
174	2255 - Rent Building	145		1,294				1,294		1,294	
175	2258 - Parking Fees	2,750		740				800		800	
176	2259 - Parking Reimbursement	219		287				300		300	
177	2510 - In-State Travel	5,350		7,571				10,000		20,000	
178	2511 - In-State Travel Common Carrier										
179	2512 - IS Travel Per Diem	1,604		2,415				4,500		15,000	
180	2513 - IS Personal Vehicle Reimbursement	15,318		15,815				28,000		36,000	
181	2515 - State/Own vehicle	1,662		2,732				5,000		6,000	
182	2520 - N/E Travel			148				3,000		3,000	
183	2522 - N/E Per Diem			46				2,000		2,000	
184	2523 - Personal Vehicle Board Members	543		562				1,500		1,500	
185	2530 - Out of State Travel	9,169		13,426				20,000		25,000	
186	2531 - Out of State Common Carrier	8,196		7,613				9,000		9,000	
187	2532 - Out of State Per Diem	1,877		1,372				2,500		5,000	

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Adminstration</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
188	2533 - OS Personal Vehicle Reimbursement			19							
189	2550 - Out of Country Travel	898									
190	2551 - Out of Country Common Carrier	619									
191	2552 - Out of Country - Per Diem	338									
192	2610 - Advertising	58,889		3,883				50,000		5,000	
193	2611 - Public Relations	950		59,478				75,000		25,000	
194	2630 - Telephone - internal			41				50		100	
195	2631 - Telephone - external	2,107		2,573				3,000		3,000	
196	2641 - Other ADP Billings			15,422				17,000		20,000	
197	2660 - Insurance			235				235		235	
198	2680 - Printing & Reproduction	47,172		89,179				95,000		95,000	
199	2681 - Photocopy	14									
200	2690 - Legal Services										
201	2810 - Freight	906		4,364				5,000		5,000	
202	2820- Other Purchased Services	16,199		12,783				17,000		17,000	
203	2830 - Office Moving			3,240				3,240		3,240	
204	2831 - Storage	25									
205	3110 - Other Supplies and Materials	1,431		2,063				5,000		8,000	
206	3112 - Automotive Supplies			80				200		200	
207	3115 - DP Supplies/Services	247									
208	3116 - Purchase/License Software	80		508				5,000		8,000	
209	3117 - Education Supplies	378									
210	3118 - Food & Food Service supplies	1,102		326				2,570		5,000	
211	3120 - Books/Subscriptions	17,862		5,401				2,079		3,500	
212	3121 - Office Supplies	12,556		18,318				20,000		20,000	
213	3123 - Postage	186,994		215,617				220,000		245,000	
214	3124 - Printing / Copy Supplies	430									
215	3126 - Repairs & Maintenance	252		163				163		7,000	
216	3128 - Non Capitalized Equipment	27,409		6,691				6,691		8,000	
217	3131 - Non Capitalized Building Materials									2,917	
218	3132 - Non Cap Office Furniture/Office System			16,604				16,604		18,000	
219	3140 - Non Capitalized IT - PC's										
220	3143 - Non Capitalized IT - Other	2,298									
221	3940 - Electricity	344									
222	3950 - Gasoline			110				110		300	
223	4100 - Other Operating Expense	16									
224	4140 - Dues & Memberships	11,451		8,257				12,000		16,000	
225	4170 - Miscellaneous Fees and Fines	20		50				50		500	
226	4180 - Official Functions	2,278		2,783				5,000		6,000	
227	4220 - Registration Fees	5,602		22,661				23,000		25,000	
228	5420 - Purchase of Services - Counties	10									
229	<b>Operating Expenses Total</b>	448,792		549,659			680,386	680,386		680,386	

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Adminstration</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
230	General Fund	-		-				-		-	
231	Cash Funds	448,792		549,659		680,386		680,386		680,386	
232	Cash Funds Exempt	-		-				-		-	
233	Federal Funds	-		-				-		-	
234											
235	<b>Reconciliation</b>										
236	Long Bill Appropriation	564,740		588,183				680,386			
237	Special Bills (by Bill #)										
238	HB 06-1232 Supplemental (DPA)			135							
239	SB 06-188 - E Filing							(300.00)			
240	SB 04-231 - Operating	(500)									
241	Reversion/ (Overexpenditure)	(115,448)		(38,659)							
242											
243	<b>Total</b>	448,792		549,659				680,086			
244	General Fund										
245	Cash Funds	448,792		549,659				680,086			
246	Cash Funds Exempt										
247	Federal Funds										
248											
249	<b>Workers Compensation</b>										
250	Long Bill Appropriation	3,779		8,121		7,630		7,630		8,779	
251	HB 06-1232 Supplemental (DPA)			(404)							
252	Reversion/(Overexpenditure)										
253	<b>Total</b>	3,779		7,717				7,630		8,779	
254	General Fund										
255	Cash Funds	3,779		6,786		7,098		7,098		8,112	
256	Cash Funds Exempt			931		532		532		667	
257	Federal Funds										
258											
259	<b>Legal Services</b>										
260	Long Bill Appropriation	106,208		111,617		116,903		116,903		116,903	
261	HB 04-1331 - Supplemental	155,439									
262	Decision Item - Legal Services									60,000	
263	Reversion/ (Overexpenditure)	(18,977)		(3,267)							
264	<b>Total</b>	242,670		108,350				116,903		176,903	
265	General Fund										
266	Cash Funds	242,670		108,350		116,903		116,903		176,903	
267	Cash Funds Exempt										
268	Federal Funds										
269											
270	<b>Adminstrative Law Judges</b>										
271	Long Bill Appropriation	62,783		69,506		117,488		117,488		140,556	

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Administration</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
272	HB 06-1232 Supplemental (DPA)			40,470							
273	Reversion/ (Overexpenditure)										
274	<b>Total</b>	62,783		109,976		117,488		117,488		140,556	
275	General Fund										
276	Cash Funds	62,783		109,976		117,488		117,488		140,556	
277	Cash Funds Exempt										
278	Federal Funds										
279											
280	<b>Purchase from GGCC</b>										
281	Long Bill Appropriation	24,068		1,166		829		829		437	
282	HB 06-1232 Supplemental (DPA)			(349)							
283	SB 05-127 - Supplemental Appropriation	(22,852)									
284	Reversion/ (Overexpenditure)			1							
285	<b>Total</b>	1,216		818		829		829		437	
286	General Fund										
287	Cash Funds	1,216		818		829		829		437	
288	Cash Funds Exempt										
289	Federal Funds										
290											
291	<b>Multiuse Network Payments</b>										
292	Long Bill Appropriation	71,724		55,911		52,746		52,746		52,746	
293	HB 06-1232 Supplemental (DPA)			(2,775)							
294	SB 05-127 - Supplemental Appropriation	(8,680)									
295	Reversion/ (Overexpenditure)										
296	Non Prioritized Decision Item - DPA									1,704,953	
297	<b>Total</b>	63,044		53,136		52,746		52,746		1,757,699	
298	General Fund										
299	Cash Funds	63,044		53,136		52,746		52,746		1,757,699	
300	Cash Funds Exempt										
301	Federal Funds										
302											
303	<b>Indirect Cost Assessment</b>										
304	Long Bill Appropriation	112,520		114,890		122,083		122,083		165,717	
305	Reversion/ (Overexpenditure)			(30)							
306	<b>Total</b>	112,520		114,860		122,083		122,083		165,717	
307	General Fund										
308	Cash Funds	112,520		114,860		122,083		122,083		116,675	
309	Cash Funds Exempt									38,448	
310	Federal Funds									10,594	
311											
312	<b>Risk Management</b>										
313	Long Bill Appropriation	18,148		22,186		13,712		13,712		18,244	

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Administration</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
314	HB 06-1232 Supplemental (DPA)			(15,286)							
315	SB 05-127 - Supplemental Appropriation	(4,567)									
316	Reversion/ (Overexpenditure)	(167)									
317	<b>Total</b>	13,414		6,900		13,712		13,712		18,244	
318	General Fund										
319	Cash Funds	13,414		6,459		12,620		12,620		17,287	
320	Cash Funds Exempt			441		1,092		1,092		957	
321	Federal Funds										
322											
323	<b>Vehicle Leased Payments</b>										
324	Long Bill Appropriation	1,100		1,680		4,044		4,044		4,044	
325	HB 06-1232 Supplemental (DPA)			(488)							
326	SB 05-127 - Supplemental Appropriation	580									
327	Reversion/ (Overexpenditure)	(386)		(1,167)							
328	<b>Total</b>	1,294		25		4,044		4,044		4,044	
329	General Fund										
330	Cash Funds	1,294		25		4,044		4,044		4,044	
331	Cash Funds Exempt										
332	Federal Funds										
333											
334	<b>Leased Space</b>										
335	Long Bill Appropriation	765,397		792,447		627,774		627,774		621,469	
336	Decision Item - Disaster Recovery										
337	Reversion/ (Overexpenditure)			(10,414)							
338	<b>Total</b>	765,397		782,033		627,774		627,774		621,469	
339	General Fund										
340	Cash Funds	765,397		782,033		627,774		627,774		621,469	
341	Cash Funds Exempt										
342	Federal Funds										

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Adminstration</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
343											
344	<b>Discretionary Fund</b>										
345	Long Bill Appropriation	5,000		5,000		5,000		5,000		5,000	
346	Decision Item - Disaster Recovery										
347	Reversion/ (Overexpenditure)										
348	<b>Total</b>	5,000		5,000		5,000		5,000		5,000	
349	General Fund										
350	Cash Funds	5,000		5,000		5,000		5,000		5,000	
351	Cash Funds Exempt										
352	Federal Funds										
353											
354	<b>Decision Items/Budget Reduction Items</b> (list using priority numbers for reference)										
355	<b>Decision Item: 1 Of 1 Legal Services</b>									<b>60,000</b>	
356	General Fund										
357	Cash Funds									60,000	
358	Cash Funds Exempt										
359	Federal Funds										
360											
361	<b>Long Bill Group/Division Total</b>										
362	<b>Grand Total - without Pots</b>	<b>5,719,485</b>	<b>81.2</b>	<b>4,511,357</b>	<b>73.9</b>	<b>6,183,034</b>	<b>84.5</b>	<b>6,182,734</b>	<b>84.5</b>	<b>7,971,700</b>	<b>81.0</b>
363	General Fund	-		-				-		-	
364	Cash Funds	5,719,485		4,489,029		6,106,410		6,106,110		7,849,374	
365	Cash Funds Exempt	-		22,328		76,624		76,624		111,732	
366	Federal Funds	-		-				-		10,594	
367											
368	<b>Grand Total - with Pots</b>	<b>5,911,174</b>	<b>87.1</b>	<b>5,921,713</b>	<b>73.9</b>	<b>6,500,648</b>		<b>6,474,233</b>	<b>83.4</b>	<b>8,356,262</b>	<b>81.0</b>
369	General Fund	-		-				-		-	
370	Cash Funds	5,911,174		5,895,699		6,424,024		6,397,609		8,233,936	
371	Cash Funds Exempt	-		26,014		76,624		76,624		111,732	
372	Federal Funds	-		-				-		10,594	

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Information Technology</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
5	<b>Position Detail</b>										
6	IT Professional VII	-		107,178	1.0			105,588	1.0	105,588	1.0
7	IT Professional VI	211,133	2.0	107,178	1.0			105,588	1.0	105,588	1.0
8	IT Professional V	267,803	3.0	271,492	3.0			276,264	3.0	276,264	3.0
9	IT Professional IV	150,375	2.0	146,618	2.0			225,300	3.0	225,300	3.0
10	IT Professional III	553,499	8.3	649,621	10.1			554,874	9.0	554,874	9.0
11	IT Professional II	125,316	2.0	126,901	2.2			333,589	7.0	333,589	7.0
12	IT Professional I	49,599	1.0								
13	General Professional III							14,408	0.5	14,408	0.5
14	Budget Analyst II										
15	IT Technician II							46,205	1.0	46,205	1.0
16	IT Technician I	99,582	2.0	85,837	2.0			107,821	3.0	107,821	3.0
17	Admin Assistant II							29,170	1.0	29,170	1.0
18	Computer Operator II										
19	Computer Operator I	76,839	2.0	70,752	2.0			46,444	1.5	46,444	1.5
20											
21	<b>Continuation Salary Subtotal</b>	<b>1,534,145</b>	<b>22.3</b>	<b>1,565,577</b>	<b>23.3</b>			<b>1,845,251</b>	<b>31.0</b>	<b>1,845,251</b>	<b>31.0</b>
22											
23	<b>Other Personal Services</b>										
24	PERA on Continuation Subtotal	150,609		157,311				187,293		187,293	
25	Medicare on Continuation Subtotal	18,383		19,276				26,756		26,756	
26	Temporary Salaries										
27	Contractual Services	309,044		1,055,975				1,853,553		1,873,553	
28	Overtime Pay										
29	Termination/Retirement Payouts			18,117				20,000			
30	Tuition and Registration										
31	Unemployment Insurance										
32	Other Personal Services	1,320		6,017				2,000		2,000	
33	IT Personal Services Roll Forward	274,312									
34	<b>Personal Services Subtotal</b>	<b>2,287,813</b>	<b>22.3</b>	<b>2,822,273</b>	<b>23.3</b>	<b>3,934,853</b>	<b>31.0</b>	<b>3,934,853</b>	<b>31.0</b>	<b>3,934,853</b>	<b>31.0</b>
35	General Fund	-		-				-		-	
36	Cash Funds	2,287,813		2,822,273		3,934,853		3,934,853		3,934,853	
37	Cash Funds Exempt	-		-				-		-	
38	Federal Funds	-		-				-		-	
39											
40	<b>Pots Expenditures</b>										
41	Shift Differential										
42	Health/Life/Dental	58,947		64,973				[116,494]		[116,494]	
43	Short Term Disability	2,154		2,274				[2,005]		[2,005]	
44	Salary Survey/Performance Pay (non-add)									[16,067]	
45											
46	<b>Base Personal Services Total</b>	<b>2,348,914</b>	<b>22.3</b>	<b>2,889,520</b>	<b>23.3</b>			<b>3,934,853</b>	<b>31.0</b>	<b>3,934,853</b>	<b>31.0</b>
47	General Fund	-		-				-		-	
48	Cash Funds	2,348,914		2,889,520				3,934,853		3,934,853	
49	Cash Funds Exempt	-		-				-		-	
50	Federal Funds	-		-				-		-	
51											

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Information Technology</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
52	<b>Difference</b>							714,775		251,957	
53											
54	<b>Decision Items/Budget Reduction Items</b> (list using priority numbers for reference)										
55	General Fund										
56	Cash Funds										
57	Cash Funds Exempt										
58	Federal Funds										
59											
60	<b>Personal Services Detail Total</b>	2,348,914	22.3	2,889,520	23.3			4,649,628	31.0	4,186,810	31.0
61	General Fund									-	
62	Cash Funds	2,348,914		2,889,520				4,649,628		4,186,810	
63	Cash Funds Exempt									-	
64	Federal Funds									-	
65											
66	<b>Calc of Personal Services Request</b>										
67	Previous Year Long Bill Appropriation							-		3,934,853	32.0
68	Previous Year Supplementals										
69	Previous Year Special Bills (by bill #)										
70	HB 06-1086 Bingo Raffle									28,575	0.5
71	HB 06-1086 Bingo Raffle (Contractual Services)									170,600	
72	SB 06-188 E-Filng									41,850	0.5
73	SB 06-188 E-Filng (Contractual Services)										
74	Salary Survey - classified										
75	Anniversary - classified										
76	Senior Executive Services (SES)										
77	Medicare Incremental Increase										
78	Base Adjustment										
79	Other Adjustments (decision items, other)										
80	Disaster Recovery - FTE									10,932	
81											
82	<b>Personal Services Request Total</b>									4,186,810	33.0
83	General Fund									-	
84	Cash Funds									4,186,810	
85	Cash Funds Exempt									-	
86	Federal Funds									-	
87	<b>** Non-add already included in position detail</b>										
88	<b>Personal Services Reconciliation</b>										
89	<b>Authorization</b>										
90	Long Bill Appropriation	1,963,962	24.0	3,225,695	29.5	3,934,853	31.0	3,934,853	31.0		
91	Special Bills (by bill #)										
92	HB 06-1086 Bingo Raffle							28,575	0.5		
93	HB 06-1086 Bingo Raffle (Contractual Services)							194,133			
94	HB 06-1149 Lobbyist							36,400			
95	SB 06-188 E-Filng							41,850	0.5		
96	SB 06-188 E-Filng (Contractual Services)							413,817			
97	HB 04-1300 E-Notary	42,414									



	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Information Technology</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
98	HB 04-1331 Long Bill Supplemental	106,287									
99	Roll Forwards										
100	HB 04-1422 - Long Bill	274,312									
101	Reversions	(38,061)		(336,175)				-			
102	Cash Funds	(38,061)		(336,175)				-			
103	Cash Funds Exempt	-		-				-			
104	Federal Funds	-		-				-			
105	<b>Authorization Subtotal</b>	2,348,914	24.0	2,889,520	29.5			4,649,628	32.0	4,186,810	33.0
106	General Fund	-		-				-			
107	Cash Funds	2,348,914		2,889,520				4,649,628		4,186,810	
108	Cash Funds Exempt	-		-				-			
109	Federal Funds	-		-				-			
110	<b>Allocated Pots (should match summary tables)</b>										
111	Salary Survey										
112	Performance Pay									[16,067]	
113	Shift Differential										
114	Health/Life/Dental	[58,947]						[116,494]		[116,494]	
115	Short-Term Disability	[2,154]						[2,005]		[2,005]	
116	Amortization Equalization Payments									[13,839]	
117	<b>Allocated Pots Subtotal</b>	-		-				-			
118	General Fund	-		-				-			
119	Cash Funds	-		-				-			
120	Cash Funds Exempt	-		-				-			
121	Federal Funds	-		-				-			
122											
123	<b>Personal Services Reconciliation Total</b>	2,348,914	24.0	2,889,520	29.5			4,649,628	32.0	4,186,810	33.0
124	General Fund	-		-				-		-	
125	Cash Funds	2,348,914		2,889,520				4,649,628		4,186,810	
126	Cash Funds Exempt	-		-				-		-	
127	Federal Funds	-		-				-		-	
128											
129	<b>**[ ] Included for informational purposes</b>										
130											
131	<b>Reconciliation Difference</b>	-	1.7	-	6			714,775	1.0		
132											
137	<b>Operating Expenses/Capital Outlay</b>										
138	1910 Temporary Services										
139	2150 Other Cleaning Services	15						25		25	
140	2160 Custodial Services	16						25		25	
141	2210 Other Maintenance / Repair Services	1,582		1				2,500		2,500	
142	2220 Bldg Mtc and Repair	3,228						3,228		3,228	
143	2230 Equipment Maintenance	38,864		18,782				85,479		85,479	
144	2231 ADP Equipment Maintenance	10,549		23,365				31,685		31,685	
145	2232 Software Maintenance	1,582		12,711				84,178		84,178	
146	2250 Rentals	6,432						6,432		6,432	
147	2251 Rent Motor Pool										
148	2252 Rent Motor pool mileage										

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Information Technology</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
149	2253 Rent Equipment	1,352						1,250		1,250	
150	2254 Rental of Motor Vehicles										
151	2255 Rent Buildings			323				88,421		88,421	
152	2258 Parking fees	1,152		150				150		150	
153	2259 Parking fees Reimbursement										
154	2266 Rental of IT Software										
155	2510 In-State Travel	779		1,392				3,569		3,569	
156	2511 In-State Travel Common Carrier										
157	2512 In-State Ptravel Pdiem			147				147		147	
158	2513 Reimb. Pvt vehicle	566		1,095				2,210		2,210	
159	2515 State/own vehicle			50				50		50	
160	2520 N/E Travel										
161	2522 N/E Per diem										
162	2523 Personal Vehicle Board members										
163	2530 Out-of-State Travel	2,865		3,254				6,847		6,847	
164	2531 Out of state comm carrier	1,163		1,619				3,314		3,314	
165	2532 Out of state Per Diem	416		101				101		101	
166	2533 Out of state Pers Vehicle Reim.			14				14		14	
167	2540 Out of state travel - NE										
168	2541 non emply comm. Carrier	747						800		800	
169	2542 Out of state - NE Per Diem										
170	2550 OC Travel	914						1,012		1,012	
171	2551 OC Common Carrier Fares	619						508		508	
172	2552 OC Personal Travel Reimbursement	78						75		75	
173	2610 Advertising			1,800				1,820		1,820	
174	2611 Public Relations										
175	2612 Other Marketing Expenses	120						100		100	
176	2630 Telephone - internal	11,104		8,122				39,000		39,000	
177	2631 Telephone - external	45,358		42,167				99,842		99,842	
178	2641 Other ADP Billings										
179	2660 Insurance										
180	2680 Printing & Reproduction	3,515		463				3,659		3,659	
181	2681 Photocopy Re										
182	2690 Legal Services										
183	2810 Freight	2,945		2,190				4,587		4,587	
184	2820 Other Purchased Services	175,586		4,170				15,487		15,487	
185	2830 Office Moving	49,295		1,958				1,512		1,512	
186	2831 Storage	2,718		2,408				8,471		8,471	
187	3110 Other Supplies and Materials	220		660				5,500		5,500	
188	3112 Automotive Supplies										
189	3115 DP Supplies/Services	81,713		55,611				95,478		95,478	
190	3116 Purch/License Software	2,350		24,042				65,941		65,941	
191	3117 Educational Supplies										
192	3118 Food & Foser Supplies										
193	3120 Books/Subscriptions	520		51				1,500		1,500	
194	3121 Office Supplies	2,238		12,159				29,444		29,594	
195	3122 Photo Supplies										

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Information Technology</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
196	3123 Postage	890		516				965		965	
197	3124 Printing / Copy supplies										
198	3126 Rep & Maintenance										
199	3128 Non Capitalized Equipment	30,426		17,193				86,552		86,552	
200	3132 Non Capitalized Office Furn/Office Syst			1,325				2,698		2,698	
201	3140 Non Capitalized IT PC's	7,209		38,893				49,824		49,824	
202	3141 Non Capitalized IT Services										
203	3142 Non Capitalized IT Network			5,310				23,888		23,888	
204	3143 Non Capitalized Other IT	13,452		32,322				65,992		65,992	
205	3147 Non Capitalized IT - Purchased Network SW			2,008				21,776		21,776	
206	3216 Leased Software										
207	3940 Electricity	23,545		40,841				74,152		74,152	
208	4100 Other Operating Expenses	585						1,446		5,766	
209	4111 Prizes & Awards										
210	4117 Reportable										
211	4140 Dues and Memberships	150		650				1,500		1,500	
212	4150 Interest Expense	38		201				201		201	
213	4151 Interest/Late Payments	7						15		15	
214	4170 Miscellaneous Fees and Fines	14						24		24	
215	4180 Official Function	282		364				587		587	
216	4200 Purchase Discounts										
217	4220 Registration Fees	16,580		5,039				21,158		21,158	
218	6140 Leasehold Improv - Dir Purchase			2,178,324				101,180		101,180	
219	6210 ADP Equipment										
220	6212 IT Servers - Direct Purchase			36,208				99,687		99,687	
221	6215 IT Network - Dir Purchase			48,827				88,743		88,743	
222	6280 Other Equipment							65,871		65,871	
223											
224	<i>Reconciliation difference</i>	(2)									
225											
226	<b>Operating Expenses Total</b>	543,777		2,626,827		1,400,621		1,400,621		1,405,091	
227	General Fund	-		-				-		-	
228	Cash Funds	543,777		2,626,827		1,389,779		1,389,779		1,405,091	
229	Cash Funds Exempt	-		-		10,842		10,842		-	
230	Federal Funds	-		-				-		-	
231											
232	<b>Reconciliation</b>										
233	Long Bill Appropriation	572,257		2,681,492				1,400,621		1,400,621	
234	Special Bills										
235	HB 06-1086 Bingo Raffle							2,652		150	
236	SB 06-188 E-Filng							1,503			
237	Decision Item #3 - Disaster Recovery									4,320	
238	Supplemental - Data Center (Sept 2004)	10,000									
239	Reversion/ (Overexpenditure)	(38,480)		(54,665)							
240	<b>Total</b>	543,777		2,626,827				1,404,776		1,405,091	
241	General Fund										
242	Cash Funds	543,777		2,626,827				1,393,934		1,394,249	

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Information Technology</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
243	Cash Funds Exempt							10,842		10,842	
244	Federal Funds										
245											
246	<b>Hardware / Software Maintenance</b>										
247	1920 Personal Services / Professional	22,653						28,000		28,000	
248	2230 Equipment maintenance	15,060						23,000		23,000	
249	2231 IT Hardware maintenance	34,665		109,461				250,000		250,000	
250	2232 Software maintenance	691,932		524,141				530,000		530,000	
251	2810 Freight										
252	2820 Other Purchased Services			499				700		700	
253	3116 Purchased Software	5,250						6,000		6,000	
254	3143 Non Capitalized IT - Other			20,300				23,000		23,000	
255	3147 Non Capitalized IT - Purchased Network Softwa	9,500						12,000		12,000	
256	6213 IT Software Direct Purchase							3,420		3,420	
257	<i>Reconciliation difference</i>	(1)									
258	<b>Total - Hardware / Software Maintenance</b>	779,059		654,401		876,120		876,120		876,120	
259	General Fund										
260	Cash Funds	779,059		654,401		876,120		876,120		876,120	
261	Cash Funds Exempt										
262	Federal Funds										
263											
264	<b>Reconciliation</b>										
265	Long Bill Appropriation	876,120		967,228				876,120		876,120	
266	HB 06-1086 Bingo Raffle									7,988	
267	SB 06-188 E-Filing							23,458		30,560	
268	Decision Item #3 - Disaster Recovery									5,396	
269	Reversion/ (Overexpenditure)	(97,061)		(312,827)				-			
270	<b>Total</b>	779,059		654,401				899,578		920,064	
271											
272	<b>Asset Management</b>										
273	2230 Maintenance Repair / Services							1,000		1,000	
274	2231 IT Hardware Repair / Services							1,000		1,000	
275	2232 IT Software MNTC / Upgrade Svcs	14,481						15,000		15,000	
276	2810 Freight							300		300	
277	3128 Noncap Equipment										
278	3140 Non Cap IT PC	20,700		7,550				12,000		12,000	
279	3141 Non Capitalized IT - Servers			21,009				18,000		18,000	
280	3143 Non Cap IT other	77,880		139,342				120,000		120,000	
281	3146 Non Capitalized IT- Purchased Server SW			3,435				3,200		3,200	
282	6210 IT Capital Direct Purchase										
283	6212 IT Servers - Direct Purchase			423,872				200,000		200,000	
284	6213 IT Software - Direct Purchase							34,918		34,918	
285	6214 IT Other - Direct Purchase	31,198		205,632				40,000		40,000	
286	<b>Total</b>	144,259		800,839		445,418		445,418		445,418	
287	General Fund										
288	Cash Funds	144,259		800,839		445,418		445,418		445,418	
289	Cash Funds Exempt										

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Information Technology</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
290	Federal Funds										
291											
292	<b>Reconciliation</b>										
293	Long Bill Appropriation	445,418		802,618				445,418		445,418	
294	HB 06-1086 Bingo Raffle							40,197			
295	SB 06-188 E-Filing							210,878			
296	Reversion/ (Overexpenditure)	(301,159)		(1,779)							
297	<b>Total</b>	144,259		800,839				696,493		445,418	
298											
299	<b>Data Center Replacement</b>										
300	1920 Personal Services / Professional	34,128									
301	2210 Other maintenance repair services	33,316		131							
302	2220 Bldg maintenance repair svcs			10,324							
303	2230 Equipment maintenance	16,824									
304	2231 IT Hardware maintenance	18,183		20,190							
305	2232 Software maintenance	83,006									
306	2311 Construction Contractor Svcs										
307	2631 Comm Services from outside sources	77,459									
308	2810 Freight	292		342							
309	2820 Other Purchased Services	18,716		223,449							
310	3115 Data Processing supplies	12,791									
311	3121 Office Supplies			20							
312	3132 Non Capitalized Office Furn/Office Sys.			35,130							
313	3140 Non Cap IT PC	26,840									
314	3143 Non Cap IT other	258,843									
315	6212 IT Servers - Direct Purchase	761,098									
316	6213 IT Software - Direct Purchase	21,896		13,753							
317	6214 IT Other - Direct Purchase	567,421									
318	6216 IT Server SW - Direct Purchase			45,311							
319	<i>Reconciliation difference</i>		(1)								
320	<b>Total</b>	1,930,812		348,650							
321	General Fund										
322	Cash Funds	1,930,812		348,650							
323	Cash Funds Exempt										
324	Federal Funds										
325											
326	<b>Reconciliation</b>										
327	Long Bill Appropriation										
328	<i>Supplemental</i>	2,610,098									
329	Reversion/ (Overexpenditure)	(679,286)									
330	<b>Total</b>	1,930,812									
331											
332	<b>Decision Items/Budget Reduction Items</b> (list using priority numbers for reference)										
333	<i>Decision Item Priority #1 - Master List Contract</i>										
334	General Fund										
335	Cash Funds										

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail</b>										
2	<b>Information Technology</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
336	Cash Funds Exempt										
337	Federal Funds										
338											
339	<b>Long Bill Group/Division Total</b>										
340	<b>Grand Total - without Pots</b>	<b>5,685,720</b>	<b>22.3</b>	<b>7,252,990</b>	<b>23.3</b>	<b>6,657,012</b>	<b>31.0</b>	<b>7,646,320</b>	<b>32.0</b>	<b>6,913,439</b>	<b>33.0</b>
341	General Fund	-		-				-		-	
342	Cash Funds	5,685,720		7,252,990		6,646,170		7,635,478		6,902,597	
343	Cash Funds Exempt	-		-		10,842		10,842		10,842	
344	Federal Funds	-		-				-		-	
345											
346	<b>Grand Total - with Pots</b>	<b>5,746,821</b>	<b>24.0</b>	<b>7,320,238</b>	<b>29.5</b>	<b>6,657,012</b>	<b>31.0</b>	<b>7,646,320</b>	<b>32.0</b>	<b>6,913,439</b>	<b>33.0</b>
347	General Fund	-		-				-		-	
348	Cash Funds	5,746,821		7,320,238		6,646,170		7,635,478		6,902,597	
349	Cash Funds Exempt	-		-		10,842		10,842		10,842	
350	Federal Funds	-		-				-		-	
351											
352											

	A	B	C	D	E	F	G	H	I	J	K
1	<b>Schedule 3</b>										
2	<b>Special Purpose</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
5											
6	<b>Help America Vote Act</b>										
7	Federal Funds	5,497,564		3,032,976							
8	Long Bill Appropriation	9,120,572	8.6	14,908,166	15.0	8,750,000	11.0	21,538,607	8.0	3,810,214	9.5
9	Reversions	(3,623,008)		(11,875,190)							
10	Total Reconciliation	5,497,564		3,032,976							
11	Cash Funds Exempt	5,497,564		2,924,037		8,750,000		21,407,211		3,710,214	
12	Federal Funds			108,939				131,396		100,000	
13											
14	<b>Local Election Reimbursement</b>	867,393		867,393				-			
15	Cash Funds	867,393		867,393				-			
16	Local Election Reimbursement Reconciliation										
17	Long Bill Appropriation	915,389		915,389		915,389		915,389		915,389	
18	SB 06-170 - Local Election Reimbursement							814,534		814,534	
19	Reversions	(47,996)		(47,996)							
20	Total Reconciliation	867,393		867,393							
21	Cash Funds	867,393		867,393		915,389		1,729,923		1,729,923	
22											
23	<b>Electronic Filing Grants to Counties</b>										
24	Cash Funds	189,034		1,477,613							
25	Electronic Filing Grants to Counties Reconciliation	189,034		1,477,613							
26	Long Bill Appropriation	1,500,000		1,500,000		1,500,000		628,055			
27	Reversions	(1,310,966)		(22,387)							
28	Total Reconciliation	189,034		1,477,613							
29	Cash Funds	189,034		1,477,613		1,500,000		628,055		-	
30											
31	<b>Master List Contract</b>	58,365		58,365							
32	Cash Funds	58,365		58,365							
33	Master List Reconciliation										
34	Long Bill Appropriation	80,000		80,000		80,000		80,000			
35	Reversions	(21,635)		(21,635)							
36	Total Reconciliation	58,365		58,365							
37	Cash Funds	58,365		58,365		80,000		80,000			
38											
39	<b>Initiative and Referendum</b>										
40	Cash Funds	33,063		83,417							
41	Initiative and Referendum Reconciliation	33,063		83,417							
42	Long Bill Appropriation	500,000		50,000		200,000		200,000		50,000	
43	Supplemental	-		-							
44	HB 06-1385 Supplemental			59,628							
45	Reversions	(466,937)		(26,211)							
46	Total Reconciliation	33,063		83,417							
47	Cash Funds	33,063		83,417		200,000		200,000		50,000	

	A	B	C	D	E	F	G	H	I	J	K
1	<b>Schedule 3</b>										
2	<b>Special Purpose</b>										
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
48											
49	<b>Total Long Bill Group - Special Purpose</b>										
50	Long Bill Appropriation	12,115,961	0.0	17,453,555	15.0	11,445,389		23,362,051		4,775,603	
51	Special Bills							814,534		814,534	
52	Supplementals	-		-							
53	Decision Items										
54	Rollforward										
55	Reversions										
56	<b>Total Special Purpose</b>	12,115,961		17,453,555		11,445,389		24,176,585		5,590,137	
57											
58	<b>Long Bill Group/Division Total</b>										
59	<b>Grand Total</b>	<b>12,115,961</b>	<b>8.6</b>	<b>5,519,763</b>	<b>9.2</b>	<b>11,445,389</b>	<b>11.0</b>	<b>24,176,585</b>	<b>8.0</b>	<b>5,590,137</b>	<b>9.5</b>
60	Cash Funds	2,995,389		2,486,787		2,695,389		2,637,978		1,779,923	
61	Cash Funds Exempt	9,120,572		2,924,037		8,750,000		21,407,211		3,710,214	
62	Federal Funds			108,939		-		131,396		100,000	
63											



	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail - HAVA</b>										
2											
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
5	<b>Position Detail</b>										
6											
7	General Professional VI	93,787	1.2	65,146	0.67						
8	General Professional V	26,040	0.4	67,613	0.92			57,936	0.7	86,904	1.0
9	General Professional IV	120,914	2.0	180,037	2.63			121,636	1.8	97,668	2.5
10	General Professional III	55,349	1.2	41,036	0.79			160,279	3.0	241,404	4.5
11	General Professional I			22,453	0.67						
12	IT Professional IV	72,984	1.0	74,147	1.00			76,152	1.0	76,152	1.0
13	Budge Analyst II	67,476	1.0	11,572	0.17						
14	Arts Professional I			4893	0.13			20,100	0.5	20,100	0.5
15	Customer Support Coordinator I			78,013	1.92						
16	Administrative Assistant II	58,198	1.8	11,023	0.33			34,740	1.0	34,740	1.0
17	<b>Continuation Salary Subtotal</b>	494,748	8.6	555,933	9.23			412,907	8.0	556,968	9.5
18											
19	<b>Other Personal Services</b>										
20	PERA on Continuation Subtotal	53,912		54,946				41,910		56,532	
21	Medicare on Continuation Subtotal	7,702		7,888				5,987		8,076	
22	Temporary Salaries	6,267		2,338				25,000		-	
23	Contractual Services (primarily VRS)	2,430,490		664,329				4,539,389		2,165,409	
24	Other Personal Services - AED			1,183				3,097		8,478	
25	<b>Personal Services Subtotal</b>	2,993,119	8.6	1,286,617				5,028,290		2,795,463	9.5
26	Cash Funds	-									
27	Cash Funds Exempt	2,993,119		1,286,617				5,028,290	8.0	2,795,463	9.5
28	Federal Funds	-									
29											
30	<b>Pots Expenditures</b>										
31	Shift Differential										
32	Health/Life/Dental	23,800		27,049				37,202		48,409	
33	Short Term Disability	812		786				521		661	
34	Salary Survey/Performance Pay (non-add)	13,232		9,323				7,740		27,710	
35											
36	<b>Base Personal Services Total</b>	3,017,731	8.6	1,314,452	9.23			5,066,013	8.0	2,844,533	9.5
37	Cash Funds	-									
38	Cash Funds Exempt	3,017,731		1,314,452				5,066,013		2,844,533	9.5
39	Federal Funds	-									
40											
41	<b>Difference</b>							374,842		2,607,669	2
42											
43	<b>Personal Services Detail Total</b>	3,017,731	8.6	1,314,452	9.23			5,066,013	8.0	5,452,202	9.5
44	Cash Funds	-									
45	Cash Funds Exempt	3,017,731	9.4	1,314,452				5,066,013		5,452,202	9.5
46	Federal Funds										
47											

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail - HAVA</b>										
2											
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
48	<b>Calc of Personal Services Request</b>										
49	Previous Year Long Bill Appropriation	8,925,697	18.0	14,908,166	15.00			5,403,132	11.0	5,403,132	11.0
50	Previous Year Supplementals										
51	Previous Year Special Bills (by bill #)										
52	Salary Survey - classified										
53	Senior Executive Services (SES)										
54	Medicare Incremental Increase										
55	Base Adjustment									2,844,533	9.5
56	Other Adjustments (decision items, other)										
57	<b>Personal Services Request Total</b>							5,403,132	11.0	2,844,533	9.5
58	Cash Funds										
59	Cash Funds Exempt							5,403,132	11.0	2,844,533	9.5
60	Federal Funds										
61											
62	<b>Personal Services Reconciliation</b>										
63	<b>Authorization</b>										
64	Long Bill Appropriation	8,925,697	18.0	14,908,166	15.00			5,403,132	11.0		
65	Special Bills (by bill #)-04-1422										
66	Cash Funds	-									
67	Cash Funds Exempt	-						5,403,132	11.0		
68											
69	<b>Authorization Subtotal</b>	8,925,697	18.0	14,908,166	15.00			5,403,132	11.0		
70	Cash Funds	-									
71	Cash Funds Exempt	8,925,697	18.0	14,908,166	15.00			5,403,132	11.0		
72	Federal Funds	-									
73	<b>Allocated Pots (should match summary tables)</b>										
74	Salary Survey										
75	Performance Pay										
76	Health/Life/Dental							63,908			
77	Short-Term Disability							150			
78	<b>Allocated Pots Subtotal</b>	-						64,058			
79	Cash Funds	-									
80	Cash Funds Exempt	-						64,058			
81	Federal Funds	-									
82											
83	<b>Personal Services Reconciliation Total</b>	8,925,697	18.0	14,908,166	15.00			5,467,190	11.0	2,844,533	
84	Cash Funds	-									
85	Cash Funds Exempt	8,925,697	18.0	14,908,166	15.00			5,467,190	11.0	2,844,533	
86	Federal Funds	-									
87											
88	<b>Reconciliation Difference</b>	5,907,966	9	13,593,714	6			401,177	3		
89											
94	<b>Operating Expenses/Capital Outlay</b>										

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail - HAVA</b>										
2											
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
95	2231 Hardware Maintenance (VRS)										
96	2232 Software Maintenance			14,900				6,300		5,400	
97	2250 Misc Rentals	2		42							
98	2253 Rental of Equipment (Voting)							63,000			
99	2254 Rental of Motor Vehicles	550						600		600	
100	2255 Rental of Buildings	75,443		49,676				49,676		49,676	
101	2259 Parking Fee Reimbursement	506		63							
102	2510 In-State Travel	5,274		4,389				4,600		4,600	
103	2512 In-State Pers Travel Per Diem	2,826		2,495				2,500		2,500	
104	2513 In-State Pers Vehicle Reimb	1,987		2,038				2,000		2,000	
105	2515 State-owned vehicle charge	1,468		2,212				2,400		2,400	
106	2520 In-state Travel/Non-Employee	7,470		458				4,000		4,000	
107	2521 IS/Non-Emp-Common Carrier	200		0				600		600	
108	2522 IS/Non-Empl-Pers Per Diem	1,092		77				1,000		1,000	
109	2523 IS/Non-Empl-Pers Veh Reimb	1,968		293				2,000		2,000	
110	2530 Out-of-State travel	4,357		4,561				4,000		4,000	
111	2531 OS Common Carrier Fares	2,870		5,147				3,000		3,000	
112	2532 OS Pers Travel Per Diem	741		848				800		800	
113	2533 OS Pers Vehicle Reimb	614		85				100		100	
114	2540 OS Travel/Non-Empl	2,005		2,895				2,000		2,000	
115	2541 OS/Non-Empl - Common Carrier	2,781		1,337				1,400		1,400	
116	2542 OS/Non-Empl - Pers Per Diem	479		314				400		400	
117	2543 OS/Non-Empl - Pers Veh Reimb	371		20				100		100	
118	2610 Advertising	51,368									
119	2611 Public Relations	81,295		29,500							
120	2612 Other Marketing Expenses	150									
121	2631 Communication-outside sources	186		687				687		687	
122	2632 MNT Payments - VRS							141,865		286,200	
123	2680 Printing/Reproduction Svcs	29,780		6,148				4,000		4,000	
124	2681 Photocopy Reimbursement	416									
125	2690 Legal Services	215		4,131				5,000		5,000	
126	2810 Freight	2,011		350				350		350	
127	2820 Other Purchased Services	2,338		485				400		400	
128	3110 Other Supplies & Materials	9,885									
129	3115 Data Processing Supplies	259		275				275		275	
130	3117 Educational Supplies	61									
131	3116 Non-Cap SW for PCs (VRS)							474,320			
132	3118 Food and Food Serv Supplies	233									
133	3120 Books/Periodicals/Subs	477		353				400		400	
134	3121 Office Supplies	3,454		1,914				2,000		2,000	
135	3123 Postage	2,354		1,584				1,600		1,600	
136	3128 Non-Capitalized Equipment	13,878		1,418							
137	3140 Non-Cap IT - PCs for counties							375,000		375,000	

	A	B	C	D	E	F	G	H	I	J	K
1	<b>SCHEDULE 3 - Program Detail - HAVA</b>										
2											
3		<b>Actual FY 2004-05</b>		<b>Actual FY 2005-06</b>		<b>Approp. FY 2006-07</b>		<b>Estimate FY 2006-07</b>		<b>Request FY 2007-08</b>	
4	<b>ITEM</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>	<b>Total Funds</b>	<b>FTE</b>
138	3141 Non-Cap IT - servers (VRS)										
139	3142 Non-Cap IT Network (VRS)										
140	3143 Noncapitalized IT - Other	11,521						6,473			
141	3146 Non-Cap IT Server SW							134,069			
142	3950 Gasoline	127									
143	4140 Dues and Memberships	2,545		315				315		315	
144	4180 Official Functions	2,895		789				1,500		1,500	
145	4181 Training Workshops (HAVA)	6,713		13,493				6,000		6,000	
146	4220 Registration Fees	3,275		1,867				1,500		1,500	
147	5120 Grants/Dist.- Counties	320,981		1,449,002				13,194,701		100,000	
148	5520 Dis. Counties-Voting Equip Repl	2,106,865		77,873							
149	5781 Grants to Non-Profit Orgs			9,732				10,000		10,000	
150	6212 IT Servers (VRS)							854,195			
151	6214 IT Other- Direct Purchase (VRS)	5,892						75,636			
152	6215 IT Equip for VRS							401,143			
153	6216 IT Server SW (VRS)	47,250						540,592			
154											
155	<b>Operating Expenses Total</b>	2,819,428		1,691,766				16,382,497		881,803	
156	Cash Funds	-									
157	Cash Funds Exempt	2,623,754		1,582,827				16,251,101		781,803	
158	Federal Funds	195,673		108,939				131,396		100,000	
159											
160	<b>Other</b>										
161	Statewide Indirect Cost Assessment			736				8,473		10,594	
162	Agency Indirect Cost Recoveries			24,650				80,000		71,660	
163	Workers Compensation			931				532		667	
164	Risk Management			441				1,092		957	
165	<b>Other Total</b>			26,758				<b>90,097</b>		<b>83,878</b>	
166	Cash Funds Exempt			26,758				90,097		83,878	
167	Federal Funds	-									
168											
169	<b><u>Long Bill Group/Division Total</u></b>										
170	<b>Grand Total - without Pots</b>	<b>5,812,547</b>	<b>9</b>	<b>3,005,141</b>	<b>-</b>	<b>-</b>	<b>-</b>	<b>21,500,884</b>	<b>8</b>	<b>3,761,144</b>	<b>9.5</b>
171	Cash Funds										
172	Cash Funds Exempt	5,616,873		2,896,202						3,661,144	9.5
173	Federal Funds	195,673		108,939						100,000	
174											
175	<b>Grand Total - with Pots</b>	<b>5,837,159</b>	<b>9</b>	<b>3,032,976</b>	<b>9.23</b>			<b>21,538,607</b>	<b>8</b>	<b>3,810,214</b>	<b>9.5</b>
176	Cash Funds	-									
177	Cash Funds Exempt	5,641,486		2,924,037				21,407,211		3,710,214	9.5
178	Federal Funds	195,673		108,939				131,396		100,000	