

Colorado Department of State

Strategic Plan



JENA M. GRISWOLD
Secretary of State



STATE OF COLORADO
Department of State

1700 Broadway
Suite 200
Denver, CO 80290

Jena M. Griswold
Secretary of State

Jenny Flanagan
Deputy Secretary of State

Main Number (303) 894-2200
Administration (303) 860-6900
Fax (303) 869-4860
TD/TYY (303) 869-4867

July 1, 2019

Dear Coloradans,

I am honored to serve as your 39th Secretary of State. For many years, the Secretary of State's office has been a model for good government, election security, and public transparency. Under my leadership, the dedicated staff at the Secretary of State's office will further our core mission and values, including protecting our elections and increasing voter turnout, fighting secret political spending, and providing Colorado's small businesses and entrepreneurs with the tools they need to succeed.

As a result of our work with the legislature earlier this year, we passed campaign finance reform; increased lobbyist transparency; expanded automatic voter registration; and increased voting access for all eligible Coloradans. This pro-democracy package includes increased polling locations and drop boxes in the days leading up to election day, and guaranteed polling locations or drop boxes on public universities and tribal lands. It also includes significant campaign finance reforms that will help shine light on secret political spending and lobbying, and will prevent special interests, corporations, and the well-connected from sidestepping the law.

We are also continuing to work to make starting a business in Colorado even easier. At over 735,000, we have a record number of business entities registered in our state. The Business & Licensing Division is consistently working to improve its electronic filing system and produce innovations that support Colorado business owners.

I am proud to continue leading the way with the great work of this office.

Sincerely,

Jena M. Griswold
Secretary of State

TABLE OF CONTENTS

Administration	1
Business and Licensing	7
Elections	12
Information Technology	20



ADMINISTRATION DIVISION



Office of the
Secretary
of State

Administration

We serve the American Dream



Goals	Objectives FY 2019	Objectives FY 2020	Objectives FY 2021
Implement team building activities/professional development for the Department resulting in improved teamwork and communication	Identify team building activities and professional development that will enhance employee cultural competency Work to break down silos and enhance DevOps transition	Implement identified plan with 100% of the Information Technology (IT) Division Actively create a healthy and productive work environment	Expand plan to 100% of the Department following implementation in IT Division Better understand the perspectives of others, demonstrate empathy and mutual respect
Develop diversity and inclusion goals related to employee recruitment	Conduct research/gather information as it relates to unconscious bias and diversity and inclusion Conduct a needs assessment	Develop an initiative that includes learning and training related to unconscious bias Enhance Department's understanding of unconscious bias Enhance Department's understanding regarding diversity/inclusion	Begin implementation Department wide
Leverage multiple eLearning technologies to align capabilities to the Department's learning needs	Continue to work with partners to identify learning needs Research eLearning technology options to address needs Increase creation of video-based modules to make eLearning content easily accessible to learners	Develop high quality audio recording capabilities and processes to enhance video content Enhance existing courses with updated templates and features	Use microlearning to help divisions directly meet the learning needs of their customers
Optimize Policy processes and controls	Complete process mapping and documentation of to-be processes for rulemaking and CORA requests; implement improvements to CORA procedures and rules	Maintain on time performance for CORA and rulemaking; develop internal training and reference guides	Evaluate internal procedures and documentation
Improve the Department's ability to fulfill its duties by developing and communicating legislative strategies that support program operations	Collaborate with divisions to identify priority legislative initiatives and create blueprints to pass each initiative; identify and provide input on bills that affect Department programs	Evaluate active/previous policy endeavors to shape future agenda	Communicate Department recommendations in legislative oversight hearings and reports



GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Implement team building activities/professional development for the Department resulting in improved teamwork and communication

Objectives

- Identify team building activities and professional development that will enhance employee cultural competency
- Work to break down silos and enhance DevOps transition
- Implement identified plan with 100% of the Information Technology (IT) Division
- Expand plan to 100% of the Department following implementation in IT Division
- Actively create a healthy and productive work environment
- Better understand the perspectives of others, demonstrate empathy and mutual respect

Evaluation

- A long-term plan to improve teamwork and communication as part of the DevOps transition will be identified and documented
- The Department will track staff participation in activities focused on cross-functional teams and professional development related to cultural competency

Activity

- Develop long-term plan to incorporate IT Division and the entire Department
- Identify team building activities and professional development opportunities
- Implement identified activities and opportunities
- Research survey tools to assist with measurement and long-range planning
- Implement survey tool if needed/identify areas for improvement going forward
- Measure participation and the number of activities/professional development that incorporate cross-functional teams

Discussion

- The Department is in the early stages of a DevOps transformation. In addition to the technical requirements that are a necessary component of a DevOps transition, the Department must also focus on its culture to ensure success. The Department will prioritize team building activities and professional development with the goal of breaking down silos and encouraging cross-functional teams. With a DevOps model in place, staff must work together towards a common goal, requiring increased collaboration and cross-training in the IT Division and throughout the Department. The DevOps transition will take significant time and resources and will continue to morph over time. The initiatives outlined will begin in the IT Division and expand to other divisions.

Performance Measure

	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20	PROJECTED FY20-21
Number of organized team building activities focused on cross-functional teams (IT Division)	1	1	2	5
Number of professional development activities related to culture competency (IT Division)	1	1	3	4

*This is a new goal with limited data available. The data will expand over time to include all four divisions.

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Develop diversity and inclusion goals related to employee recruitment

Objectives

- Conduct a needs assessment
- Enhance understanding related to diversity and inclusion
- Enhance understanding of unconscious bias
- Develop an initiative that includes learning and training related to unconscious bias
- Begin implementation Department wide
- Better understand the perspectives of others, demonstrate empathy and mutual respect

Evaluation

- Develop and implement a program that identifies and addresses unconscious bias in recruiting
- Measure participation in the program activities and results in hiring process

Activity

- Conduct a needs assessment
- Research best practices based on results of the needs assessment
- Identify and develop action plan
- Conduct training/discussion groups as determined in the action plan
- Identify performance measures and begin tracking
- Refine as needed

Discussion

- This goal is in the early stages of development. The Department is currently gathering information in order to conduct the needs assessment. Over time, the Department will incorporate additional performance measures.

Performance Measure

	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20	PROJECTED FY20-21
Professional development for staff related to unconscious bias	0*	0*	2	3
Professional development for staff related to diversity/inclusion	0	1	2	3

*Informal discussions during hiring process.

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Leverage multiple eLearning technologies to align capabilities to the Department's learning needs

Objectives

- Continue to work with partners to identify learning needs
- Research eLearning technology options to address needs
- Increase creation of video-based modules to make eLearning content easily accessible to learners
- Develop high quality audio recording capabilities and processes to enhance video content
- Use microlearning to help divisions directly meet the learning needs of their customers
- Enhance existing courses with updated templates and features.

Evaluation

- Measure number of eLearning videos created
- Measure number of existing courses enhanced with updated templates and features

Activity

- Interview program managers to identify learning needs and opportunities for enhancements
- Research eLearning technology options using tutorials, demonstrations and trial versions
- Setup improved audio recording capabilities for voice-over and narration

Discussion

- In Fiscal Year 2017 the Department began creating shorter video-based eLearning tutorials in addition to longer, traditional eLearning courses. These video tutorials help our external customers quickly learn how to complete a filing or other action. Customers can refer to the videos at the point of need. We want to increase the quantity and quality of these videos to address the Department's learning needs. We will also research the latest eLearning technology options to enhance our new and existing courses.

Performance Measure

	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20	PROJECTED FY20-21
Number of eLearning videos created	3	22	25	28
Number of existing courses enhanced with updated templates and features	-	1	4	7

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Optimize Policy processes and controls

Objectives

- Complete process mapping and documentation of to-be processes for rulemaking and CORA requests; implement improvements to CORA procedures and rules
- Maintain on time performance for CORA and rulemaking; develop internal training and reference guides
- Evaluate internal procedures and documentation

Evaluation

- The Division will continue to track fulfillment of CORA requests to ensure all requests are filled on a timely basis within the Department's technical capacity

Activity

- Identify software and tools to improve management of responsive records for large CORA requests
- Implement additional internal procedures and rulemaking to improve CORA handling
- Complete process mapping and documentation of to-be processes and procedures for rulemaking and CORA

Discussion

- In FY 17-18, the Department received 393 CORA requests. The Division filled 100 percent of the requests within the statutory deadlines.
- The Division has accomplished its goals related to avoiding internal delays in rulemaking, and is evaluating the need for additional procedures or documentation related to rulemaking

Performance Measure

	ACTUAL FY15-16	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19
Percentage of CORA requests filled completely within statutory deadline/initial response provided within statutory deadline.	97.1%/99.6%	98.4%/99%	98%/100%	100%

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Improve the Department's ability to fulfill its duties by developing and communicating legislative strategies that support program operations

Objectives

- Collaborate with divisions to identify priority legislative initiatives and create blueprints to pass each initiative; identify and provide input on bills that affect Department programs
- Evaluate active/previous policy endeavors to shape future agenda
- Communicate Department recommendations in legislative oversight hearings and reports

Evaluation

- The Division will meet with Department leadership and divisions to assess past legislative initiatives and identify future needs and concerns

Activity

- Hold scheduled meetings with divisions/ programs and Department leadership in advance of the session to determine and develop priority legislative initiatives
- Define strategies to pass priority initiatives, and create all necessary supporting materials and communications
- Track, communicate, and respond to bills that affect program areas as needed
- Timely submit all required reporting to the legislature

Discussion

- The Department continues to collaborate with active stakeholder groups to identify ways its programs can better serve constituents and, where needed, propose legislative solutions. These include informal working groups such as the Business Advisory Council and the Remote Notarization Working Group, as well as formally constituted bodies such as the Bingo Raffle Advisory Board, the Bipartisan Election Advisory Commission, and the Electronic Recording Technology Board.
- In FY 17–18, 100 percent of the Department's priority bills were both introduced and passed by the legislature

Performance Measure

	ACTUAL FY15-16	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19
Proportion of priority bills introduced into the legislature	-	85%	100%	100%
Meetings with divisions to define and evaluate legislative initiatives	-	5 (average)	3	3
Submit all required reports to the legislature, on time and complete	100%	100%	100%	100%
Contact appropriate committee members and stakeholders with appropriate supporting materials prior to committee hearing	100%	100%	100%	100%

BUSINESS AND LICENSING DIVISION



Office of the
Secretary
of State

Business and Licensing

We serve the American Dream



Goals	Objectives FY 2019	Objectives FY 2020	Objectives FY 2021
Build outreach opportunities and relationships with stakeholders	<ul style="list-style-type: none"> Develop customer-centric efficiencies using data driven approach Expand customer educational opportunities with an emphasis on eLearning Collaborate with other state agencies on common initiatives 	<ul style="list-style-type: none"> Expand Division data analysis service for internal and external stakeholders Promote usage of eLearning courses Collaborate with other state agencies on common initiatives 	<ul style="list-style-type: none"> Continue to expand Division data analysis services Update eLearning courses with latest eLearning technology Collaborate with other state agencies on common initiatives
Increase customer satisfaction through improved system usability and efficiency	<ul style="list-style-type: none"> Initiate the business filing system application re-write Achieve 70% e-filing adoption rate for all Bingo Raffle online filers Develop eLearning for public users of the Colorado Register and Code of Colorado Regulations Establish oversight protocols to ensure reject rates remain at acceptable thresholds 	<ul style="list-style-type: none"> Integrate DevOps into business system re-write Achieve 75% e-filing adoption rate for all Bingo Raffle online filers Initiate usage of a standard template for agency rule drafters Achieve acceptable reject rates across application processes through a combination of education and process standardization 	<ul style="list-style-type: none"> Continue business system re-write Establish mandatory online filing for Bingo Raffle Implement standard template for agency rule drafters
Enhance Division performance through employee development and process improvement	<ul style="list-style-type: none"> Inventory cross-training items for tier-2 operating tasks Catalog and consolidate existing Division policy and procedure documents Build Business and Data analysis skills Educate division on DevOps and expand knowledge as needed 	<ul style="list-style-type: none"> Complete 50% of the identified tier-2 tasks across Division Catalog and consolidate tier-2 policy and procedure documents into SharePoint Utilize data analysis skills to update Division dashboards and performance metrics Identify roles and responsibilities that support DevOps and train to execute 	<ul style="list-style-type: none"> Complete 75% of the identified tier-2 tasks across Division Implement maintenance procedure for SharePoint Catalog Execute on DevOps roles and responsibilities
Build credibility and public trust through accurate and transparent program administration	<ul style="list-style-type: none"> Implement image clean-up process Expand leadership position in national and state level professional associations 	<ul style="list-style-type: none"> Complete 20% of image scanning Maintain leadership positions in national and state level professional associations 	<ul style="list-style-type: none"> Achieve 40% of image scanning Maintain leadership positions in national and state level professional associations



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

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

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Enhance Division performance through employee development and process improvement

Objectives

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

Evaluation

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

Activity

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

Discussion

- As we evolve from paper-based and in-person interactions to online and virtual ones, it is important to position ourselves for customer service success. This includes building upon individual skills and expanding current capabilities through focused cross-training. We took a full inventory of tasks and skills and are applying a training regimen to create redundancy and capacity across all Division programs. Given the success of our first year efforts we challenged ourselves by increasing FY17-18 estimates to greater than 85%.
- We have implemented a semi-annual review protocol of Division top tasks. As the Division continues to move to an online environment, the review protocol will inform our cross-training efforts as well as Smart Act content.
- Key Division tasks are evaluated regularly and adjusted based on changes in legislation, Division reorganization or other factors. Currently, we have 55 critical Division tasks.
- We finished the fiscal year at 95% which is above our stated objective as a result of a continued commitment to documentation, cross-training and collaboration amongst program managers and their teams.
- We are now in a maintenance mode where we actively manage the redundancy list to maintain full redundancy as tasks change and staffing levels fluctuate.
- We anticipate replacing this performance measure next fiscal year.

Performance Measure

	ACTUAL FY14-15	ACTUAL FY15-16	ACTUAL FY16-17	ACTUAL FY17-18
Number of critical Division tasks	58	55	58	55
Number of tasks with redundancy (no less than 2 employees trained and fully documented)/percentage	25/43%	33/60%	48/83%	53/95%

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Increase customer satisfaction through improved system usability and efficiency.

Objectives

- By end of FY 19-20, increase e-filing adoption rate for Quarterly Reporting filers in the Bingo Raffle program to 75%.

Evaluation

- In the third quarter of FY 15 the Bingo-Raffle Program introduced electronic filing for the statutorily-mandated quarterly reports. Because the demographics of the Bingo-Raffle community skew older, it was anticipated that moving a high percentage of the approximately 1100 report filers to the online process would occur over several years. Through natural adoption, electronic filing is currently used by 64.5% of the filers. The Program is interested in getting more nonprofits to file electronically, and has set a goal of 70% electronic filing adoption by the end of FY 18-19, with a future goal of making online filing mandatory.

Activity

- Gather analytics around adoption rates
- Obtain feedback from live classes and public on ease of use and filing issues
- Survey filers to identify barriers to mandatory online filing
- Targeted outreach and education to online filers

Discussion

- The Division continues to provide online filing services in support of program customers. The Bingo Raffle program specifically is the last Division program to move in this direction. The program currently offers both paper and online Quarterly Reporting options. Ultimately, the program would like to make online Quarterly Reporting mandatory and increasing adoption rates will make this transition easier.
- We began data analysis of paper quarterly report filing trends to identify roadblocks to online adoption.

Performance Measure

		ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20
Total number of Bingo-Raffle filings	-	1095	1100	1100
Number of Quarterly Reports filed online/percentage	-	688/62.5%	770/70%	825/75%

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Increase customer satisfaction through improved system usability and efficiency.

Objectives

- By FY 18-19, reduce the number of rejected notary public commission applications to 9%

Evaluation

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

Activity

- Work with web design team to identify improvement opportunities related to usability
- Conduct internal process compliance review to ensure accurate reject categorization and communication to applicant
- Analyze reject reasons with new system data to determine trends and educational opportunities – enhance curriculum and update FAQ/training hand-outs
- Release Notary e-learning certification training that includes detailed instructions on the application process

Discussion

- After implementing a fully online filing system in December of 2013, we continue to focus on increasing the number of applicants who are successful upon their initial submission. As with any new system there was a user learning curve that resulted in temporary increases in application reject rates. With reject data and user feedback we have identified improvements to user training and system interfaces to clarify application requirements and facilitate compliance.
- We modified the online system to improve the application attachment process. In addition, an e-learning certification training program was implemented that includes instructions on the application process. As a result, the reject rate at the end of FY 17 was 6.7%.
- The Revised Uniform Law of Notarial Acts (RULONA) went into effect on July 1, 2018. This law increases the requirements to become a notary. We anticipate the applications to drop off. Renewing notaries are required to meet the same standards as new notaries which has resulted in a significant increase in the reject rate.
- We want to achieve the original goal of 9%. To do this we will evaluate the reject trends and determine opportunities to improve education, the evaluation process or application improvements.

Performance Measure

	ACTUAL FY12-13	ACTUAL FY13-14	ACTUAL FY14-15	ACTUAL FY15-16	ACTUAL FY16-17	ESTIMATED FY17-18	PROJECTED FY18-19
Number of notary applications filed	25,008	24,780	25,094	26,255	11,982	25,505	20,000
Number of notary applications rejected/percentage	3,392/13.6%	3,099/12.5%	3,205/12.8%	2,649/10.1%	1,558/6.7%	1520/6.0%	1520/6.0%

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Increase customer satisfaction through improved system usability and efficiency.

Objectives

- By end of FY20-21, reduce the number of rejected bingo-raffle license applications to 10%

Evaluation

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

Activity

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

Discussion

- The program met its original goal in FY15-16, achieving a 9.6% rejection rate
- The program released a new online system in FY16-17. Due to the newness of the system, there was a greater increase in reject rates than anticipated.
- As the licensees continue to become more familiar with the system and through additional education from our office we expect the reject rate to decline
- In FY17-18 we saw an increase in reject rates from 22.7% to 24%. During this same time, we saw an increase in the number of ineligible groups filing online (about a 3.3% increase from FY 16-17). Current licensees were filing new applications rather than renewals. We will determine if there are common factors leading to these occurrences which in turn will inform educational opportunities for that community.
- The majority of Bingo Raffle licensing applications occur between November and February each year. Due to this seasonality the improvement cycle tends to be longer.

Performance Measure

	ACTUAL FY14-15	ACTUAL FY15-16	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20
Number of licensed bingo entities	1,215	1,172	1,158	1095	1,060	1035
Number of bingo-raffle licenses rejected/percentage	81/6.7%	112/9.6%	263/22.7%	263/24%	201/19%	156/15%



Office of the
Secretary
of State

Elections

We serve the American Dream



Goals	Objectives FY 2019	Objectives FY 2020	Objectives FY 2021
Improve SOS and County Partnership	SCORE 3.0 development begins Fully implement automatic voter registration Publish Elections Costs Best Practices Guide for Counties	Develop List Maintenance WebSCORE platform Assist CDOR in SCORE lookup statutory requirement Host county summit to discuss cost reduction ideas	Roll out additional platforms Improvements and upgrades Improve multifactor authentication SCORE user process
Improve Election Security	Improve multifactor authentication SCORE user process Implement RLA for statewide races Reassess ACE data to determine areas for expansion Conduct first EPIC Table Top Training Continue work to enable 100% ADA audit compliance Get all counties signed up for EI-ISAC	Reevaluate and identify new security options Take RLA software on the road to illustrate its effectiveness Add ACE categories and review host program Conduct follow up regional trainings Create plan for 2020 election Review and improve county AUP compliance	Improve multifactor authentication SCORE user process Improve RLAs for 2020 election Fully implement updated system Conduct 2021 EPIC for all counties Audit all VSPCs for 2020 Presidential Election Work with counties to establish 100% compliance
Update Voting System Technology	Expand certified voting system rollout to final counties Assist counties to convince commissioners to purchase system	Fully implement in lead up to 2020 election Rollout of all additional certified equipment	Improve and maintain Update and improve
Expand Elections Public Outreach	Develop alternate language voter guides Create ePayment options for CPF fines Develop SCORE eLearning curriculum Expand Secure Ballot Return for other voter services	Perfect these guides Make ePayment available for all elections payments Develop and expand boot camp/odd-year training season model Expand for other uses	Expand to other areas, as necessary Improve and maintain Include new module trainings in SCORE eLearning curriculum Rollout for 2020 Presidential Election
Identify and Respond to Service Trends	Use data to improve CPF responsiveness Revise CPF penalty payment process Develop CPF training tracking system	Consider lobbyist update Implement revised payment process Develop efficient training model	Make improvements for 2020 Presidential Election Review and monitor for improvement opportunities Continue modifications and expand offerings



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

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Solidify and Improve SOS and County Partnership

Objectives

- Formalize schedule for SCORE 3.0 and begin development
- Integrate SCORE with new CDOR DRIVES program
- Implement 107 and 108 application development and train counties
- Formally acquire CCCA website
- Public elections costs best practices guide for the counties
- Improve county support for 2018 General Election

Evaluation

- The Department will use the information to determine priority for trainings and improve internal resources to meet county demands

Activity

- Tracking of every call and email received by the support team for technical and functional support. Create reports in CRM to track call content for the purpose of targeted training.
- SCORE 3.0 module rollout
- County election official training opportunities for both the newly certified and those with current certified

Discussion

- Provide high level of technical and functional support to all election officials and staff required to use the Statewide Colorado Registration and Election (SCORE) system to maintain voter registration records and manage elections in addition to targeting training opportunities to reduce call volume
- Consultative visits with every Colorado county
- Collaboration with the Colorado County Clerks' Association (CCCA)

Performance Measure

	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20
Number of county support calls fielded by SCORE team	9,162	12,648	10,000	12,500
Number of county support emails fielded by SCORE team	5,431	6,592	5,500	7,400
Number of consultative visits to Colorado counties by Secretary Williams	36	32	40	32
Number of consultative visits to Colorado counties by SOS Staff	181	165	175	180
County officials currently certified by SOS	371	323	320	400

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Improve Election Integrity and Operations

Objectives

- Expand rollout of end-point protection for county SCORE users
- Develop policies for post-election risk-limiting-audit for 2017 implementation
- Update election disaster mitigation plan
- Expand and enhance ACE voter turnout data
- Develop and improve ePollbook SCORE VSPC module
- SCORE AUP/ADA audits of all 64 counties prior to major elections
- Create centralized database for state and local felon data
- Collect and maintain county list maintenance data to track compliance

Evaluation

- Reduce the number of non-compliant and non-participatory counties

Activity

- Develop, deploy, and maintain a series of interactive charts, maps, and tables on the Secretary of State website using publicly available elections data
- Develop, roll out, and improve a VSPC module of the SCORE system to allow for new registrations and update of existing voter registrations
- Maintain SCORE accuracy via ERIC, NCOA, and routine list maintenance
- First statewide signature verification for candidate petitions and municipal elections

Discussion

- The principle behind this work is that the Department improve the transparency in Colorado elections in several ways. First, the Department is packaging publicly available data in an easily digestible format and then creating a single way for county officials to acquire the information necessary to register someone to vote or update the voter's registration.

Performance Measure

	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20
ACE Compliance data points collected	12	12	12	14
ACE Voter Registration data points reported	36	36	36	38
ACE Voter Turnout and Ballot Method data points reported	21	21	24	24
ACE Web views by the public	36,574	36,924	38,000	40,000
Voters registered for the first time using the VSPC module	29,135	1,268	14,000	10,000
Voters who updated their registration, including residential and mailing addresses with VSPC module	87,528	8,727	42,000	25,000
Voters who were Issued a ballot using the VSPC module	200,697	25,449	100,000	80,000
Voters who updated keyline or affiliation using VSPC module	12,577	867	9,000	4,000

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Update Voting System Technology

Objectives

- Transition each Colorado county to a new voting system to ensure compliance with federal and state law, as well as administrative rules of the Secretary of State's office

Evaluation

- Universal acceptance and use of a new voting system compliant with federal and state law, as well as the rules of the Colorado Secretary of State's office

Activity

- Certify one or more voting systems for statewide use under Colorado law
- Implement new Colorado Voting System statewide in selected counties for 2018 Primary and General Elections, and those that follow

Performance Measure

	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20
Number of Colorado counties using the Dominion Voting system – Certified by the SOS	54	59	62	61
Number of Colorado counties using other new systems certified by the SOS	0	1	2	3

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Expand Elections Public Outreach

Objectives

- Update and improve VRD training
- Expand ePayment for CPF fines, VRDs, petition entity licenses, and data requests
- Work with Inspire Colorado to celebrate more Eliza Pickrell Routt Award winning counties
- Roll out CPF and TRACER eLearning offerings
- Expand usage of online voter registration
- Enhance automatic voter registration

Evaluation

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

Activity

- Monitor the number of transactions monthly to establish usage parameters. Add email notification, voter registration wording changes for new, update and withdrawal, add the ability for voters to update their record using the last 4 digits SSN, make data entry format consistent on both Classic and Mobile (e.g. birth data field), create Voter Registration Drive access
- Use the new credit card contract to facilitate ePayment link on TRACER for payment of CPF fines
- Oversee the submission of site specific data from each NVRA agency

Discussion

- This goal here is to undertake several activities to improve the voter registration, CPF filer, VRD, and UOCAVA experience for constituents and provide more and better information

Performance Measure

	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20
OLVR new registrants	130,898	21,235	80,000	65,000
OLVR updates	328,910	97,033	200,000	150,000
Email notification of OLVR transaction	352,449	108,695	225,000	180,000
Percentage of fines paid by ePayment	0%	0%	45%	80%
Number of UOCAVA ballots accessed online	15,757	34,815	15,000	40,000
Number of total UOCAVA voters issued a ballot in November Election	30,985	53,715	34,000	55,000
Number of Voter Registration Drives using OLVR to register new voters	82	56	75	80
Number of mailings (ERIC)	103,774	0	115,000	0
Number of schools receiving the Eliza Pickrell Routt Award for registering 85% of senior class	4	10	20	25

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Improve access to commonly-asked election information on website

Objectives

- Prioritize easily accessible information related to elections
- Continue to update and organize information for frequently asked questions
- Evaluate and refine the way we delivery the information to the public

Evaluation

- The legal and policy team will continue to improve the material available to the public and work on more effective means of disseminating the information

Activity

- Identify what information voters are looking for and determine the best means to convey the information, such as visual aids

Discussion

- We receive a number of calls/emails for election-related information; how can we convey necessary information to the public/ voters so they don't need to make a call/email

Performance Measure

	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20
Calls concerning elections	5,312	7,339	7,500	6,500
Emails to the Public Elections Inbox	5,317	6,730	6,000	5,000

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Create more online training courses for Election Official Certification credit

Objectives

- Provide more opportunities for learning that do not require travel (by counties or SOS staff)
- Provide a wider range of topics that benefit county clerks and their staff members
- Diversify the training program so classes can be taught in both online and in-person formats

Evaluation

- The Elections Division will continue its mission to provide quality training that is accessible to all county users. Providing more online courses will decrease travel costs and time for the Division and the counties.

Activity

- Identify courses (already written for in-person delivery) that can be adapted for online training
- Review the course content for updates
- Adapt the course content and learning activities for online delivery
- Ask subject matter experts and Advisory Board to review courses
- Post courses in Learner Community
- Advertise courses to county users

Discussion

- The Elections Division began creating and posting online classes for the Election Official Certification Program in 2010. These classes are reviewed and revised at least once per calendar year to keep up with rule and law changes. The Division has created and posted several new courses for the public and election judges (ie: Election Terms, Voter Intent, SCORE classes, etc.), but has not added new classes to the Certification Program since 2013.

Performance Measure

	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20
Online courses for Election Official Certification credit	13	13	13	15

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Colorado’s first-in-the-nation risk-limiting audit (RLA) was a tremendous success. In the future, we will develop and fine tune the process to reduce erroneous “discrepancies” reported by county audit boards during the RLA, which in turn should enable CDOS to issue comprehensive public reports analyzing all “discrepancies” immediately after completion of audit and before canvass deadline.

Objectives

- Increase transparency of RLAs
- Increase accountability of county audit boards in conducting audits
- Increase public understanding of risk-limiting audit methodology
- Increase public confidence in outcomes of elections

Evaluation

- The state of Colorado conducted its first ever state-wide RLA in the 2017 Coordinated Election. Following the 2018 Primary Election, CDOS analyzed the results and determined:
- The state of Colorado conducted its first ever state-wide RLA in the 2017 Coordinated Election. Following the 2018 Primary Election, CDOS thoroughly analyzed the results of the Primary Election audit results and determined:
 - All counties successfully met the risk limit and passed the RLA, thus validating election outcomes.
 - Statewide, there were a minimum of two target contests per county selected to “drive” the audit. Because counties audited all races on each ballot selected, there were 104,025 total contests audited. And only 327 resulted in discrepancies, meaning the audit judges reported a mark different from the mark recorded by the voting system. Following a thorough analysis of all discrepancies, the team determined that there were two reasons that the mark reported by the audit judges differed from the mark recorded by the voting system
 - training and ballot tracking process issues.
 - 217 (66%) of the discrepancies were training and system functionality, which resulted in judges recording the voter mark incorrectly as a result of county user error in the RLA software
 - 22 (7%) of the discrepancies were ballot tracking process issues, resulting in the counties retrieving the incorrect ballot and auditing a paper ballot different than the one randomly selected by Secretary of State
 - 88 (27%) of the discrepancies were the result of a combination of software user error and incorrect ballot retrieval

Activity (FY 18-19)

- Improve RLA software user interface (currently under development) and increase county audit board training to reduce RLA software user errors from current levels to zero
- Develop and implement best practices to ensure CDOS has custody of all requisite data artifacts immediately after RLA concludes
- Publicly release and post comprehensive RLA report before canvass deadline
- Complete a comprehensive after-action review and publish a report of all discrepancies

Discussion

- We receive a number of calls/emails for election-related information; how can we convey necessary information to the public/voters so they don’t need to make a call/email
- While we have validated the RLA effectiveness, as the software application is nascent, county training and repetition will yield greater performance and accuracy in the future.
- Issuance of the report before the canvass deadline is essential to provide sufficient transparency of the RLA results and procedures

Performance Measure

	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20
Elections in which RLA Used	0	2	1	2
Total Contests Audited	N/A	104,025	150,000	160,000
Total Audited Contests with Zero Discrepancies	N/A	103,698	149,800	159,900



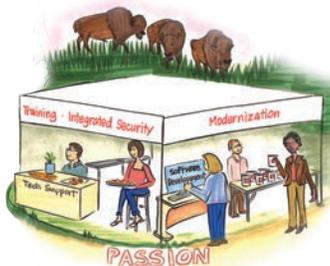
Office of the Secretary of State

Information Technology

We serve the American Dream



Goals	Objectives FY 2019	Objectives FY 2020	Objectives FY 2021
IT Service Level Agreements (SLAs)	Update services in and for each IT unit (as needed) Achieve agreement on baseline SLA expectations Model	Regular publication of performance measures aligned with SLA	Regular publication of performance measures aligned with SLA
Enhance our Technology Advantage	Backlog focus in and for each IT unit Identify and baseline key value streams for the organization Baseline percentage of basic functions delivered through automation	Review MEFs incorporation into value stream analysis Increase percentage of basic functions delivered through automation Reduce unplanned work to < 10%	Review MEFs incorporation into value stream analysis Increase percentage of basic functions delivered through automation Maintain low percentage of unplanned work
Enhance our Security Advantage	Establish biannual review of control audit findings and remediations Review and improve critical infrastructure readiness: both B&L and Elections	Improve audit readiness; training, process, security; Review and improve critical infrastructure readiness: both B&L and Elections	Improve audit readiness; training, process, security; Review and improve critical infrastructure readiness: both B&L and Elections
Enhance our Resource Management Advantage	Increase core skills across all IT Establish core processes with other Divisions to engage IT Continue individual development paths	Increase core skills across all IT Maintain and enhance core processes with other Divisions to engage IT under DevOps model Continue individual development paths with focus on automation	Increase core skills across all IT Maintain and enhance core processes with other Divisions to engage IT under DevOps model Continue individual development paths with focus on automation
Move Towards DevOps Model	Define and Refine DevOps Metrics and Measurements	Regular reporting of Metrics and Measurements as agreed	Regular reporting of Metrics and Measurements as agreed Conduct peer or outside entity review of our DevOps adoption



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

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

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Implement IT Service Level Agreements (SLAs)

Objectives

- To provide timely responses to service requests received from the CDOS business units

Evaluation

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

Activity

- Rebase SLA expectations between the business units and IT
- Continuously improve communications with business units regarding support and expectations with a catalog of prioritized projects and services
- Publish catalog of prioritized business projects, information technology projects, and work in progress in and for each IT unit

Discussion

- Rework SLA expectations and service catalog as we revise our organizational structure and processes

Performance Measure

	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20
Percent of major change activities communicated to business units	100%	100%	100%	100%
Respond to service requests in the time outlined in the SLA	100%	100%	100%	100%
Percent of web service outages communicated to office within SLA expectations	84%	92%	95%	100%

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Enhance our Technology Advantage

Objectives

- To execute on prioritized departmental projects for each business units and continue work in process

Evaluation

- Evaluate and refine implementation of technology solutions within individual business units and programs by the end of 2018

Activity

- Increased visibility of WIPs and unplanned work in weekly reports and through DevOps implementation
- Continue evaluation of open source options to replace costly closed source products
- Continue to improve SharePoint environments
- Continue to integrate diagnostic tools into web applications
- Need to develop/improve tracking of current compatible software releases/licenses
- Continue consolidation of test management tools
- Execute on prioritized departmental projects
- Increase visibility of work in progress and unplanned work

Discussion

- Tracking of completed business projects and I.T. projects has improved. Currently working to identify work categorized as “unplanned work” to improve our ability to plan and execute on projects. Development of charter and requirements for future-state project approval and tracking framework is underway. Research and small-scale pilot work on new technologies (e.g., containerization, front-end web technologies, data management) is underway.

Performance Measure

	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20
Reduce the number of tracking systems	9	7	6	6
Number of business unit SharePoint environments established	6	14	15	18
Percent of devices being tracked against current compatible software releases/licenses	88%	80%	85%	90%

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Enhance our Security Advantage

Objectives

- Continue outreach to federal, state, and local entities to build and enhance partnerships in the area of cybersecurity
- Develop methods for ensuring adherence to security standards and continue to improve reporting practices to the business units
- Continue to grow Colorado's leadership profile in security awareness and practices with thought leaders in the public and private sector

Evaluation

- Increased number of formal audits of systems and controls performed annually
- Responding to vulnerabilities within published timeframes according to severity and exposure

Activity

- Prioritize vulnerability and risk findings for action based on criticality and industry best practices
- U.S. Department of Homeland Security HIRT assessment did not discover significant issues
- Evaluate and respond to changing security requirements
- Create and execute on plan to increase password complexity requirements and implement multi-factor authentication across the agency
- Participate and lead in national efforts to improve information sharing and incident response processes under DHS' "Critical Infrastructure" designation
- Develop checklist for critical election cycle preparations

Discussion

- Improving security posture with increased password complexity and rollout of two-factor authentication across agency. Have made good progress with instilling security awareness as a norm in our organization. Culture change is needed around data management practices. We are improving Change Management practices and need to continue improving. We are working with stakeholders on changes required with regards to critical infrastructure.

Performance Measure

	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20
Number of control audits	2	5	8	8
Number of change management board reviews conducted	25	50	50	50
Percentage of critical vulnerabilities closed within time expectations	100%	100%	100%	100%

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Enhance our Resource Management Advantage

Objectives

- Build training plan for work flow direction of people and processes

Evaluation

- Increased number of documented procedures for standard activities

Activity

- Establish core processes with other Divisions to engage IT
- New education platform (Pluralsight) has been very well-received
- Continue development of procedures for common IT processes, so that others can have a reference for performing the tasks
- Provide redundancy training so that every position has a secondary who can perform the duties of that position
- Refine policies/procedures and draft SOPs for undocumented policies
- Workflow mapping for help desk tasks put to good use with training of two new resources
- Continue execution of improvement projects
- Continuing improvement of diagnostic tools
- Continue emphasizing professional development and core skills

Discussion

- Backup support has been identified for each application, however ongoing cross training is necessary to maintain skilled support

Performance Measure

	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20
Number of control audits	310	320	350	350
Number of change management board reviews conducted	86%	90%	92%	95%
Percentage of critical vulnerabilities closed within time expectations	10	12	15	15

GOALS, OBJECTIVE AND PERFORMANCE MEASURES

GOAL | Move toward DevOps Model

Objectives

- Unifying development and operations and monitoring the process throughout the entire life cycle

Evaluation

- Executing on plan for DevOps implementation

Activity

- Fill key Organizational Resources: CTO and PM for DevOps
- Define and refine DevOps metrics and measurements
- Identify current Works in Progress (WIP)
- Identify areas of Unplanned Work and create improvement plans to move this work into standard project framework
- Identify a pilot DevOps project and team
- Provide regular reporting of metrics and measurements
- Implement a formal project authorization plan
- Continue to implement revised organizational structure
- Build training plan for DevOps implementation

Discussion

- Teams tracking time in work areas (business projects, IT projects, operational changes, and unplanned work); continuous delivery automation projects are simplifying configuration changes; still need to create a formal project authorization framework; Secure DevOps training opportunities being brought forward by staff and not just in a top-down manner

Performance Measure

	ACTUAL FY16-17	ACTUAL FY17-18	ESTIMATED FY18-19	PROJECTED FY19-20
Percentage of progress toward documenting DevOps plan	-	50%	75%	85%
Percentage of IT managers trained in DevOps	-	83%	83%	100%
Percentage of critical vulnerabilities closed within time expectations	-	50%	75%	85%
Percentage of line-of-business leadership trained in DevOps	-	50%	75%	75%