

**Secretary of State Office
Strategic Plan 2017-2021**



June 24, 2016

AGENCY STRATEGIC PLAN

Fiscal Years 2017-2021

By

Office of the Secretary of State

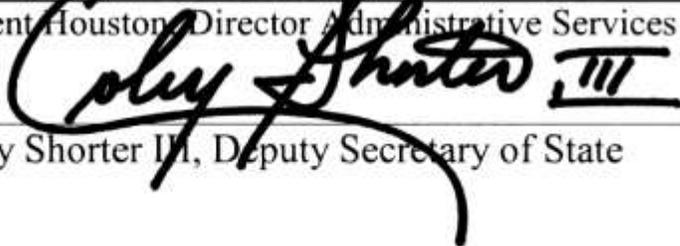
June 24, 2016

Signed:



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APPROVED:



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AGENCY MISSION

The mission of the Office of the Secretary of State is to provide a secure and accessible repository for public, business and commercial records and to receive, compile and provide public information. In addition, our mission is to ensure the proper conduct of elections, to maintain the official statewide list of registered voters, to authorize the creation and registration of business entities and to publish state government rules and notices and serve as liaison to the Governor on Texas Mexico border issues. We serve as Chief International Protocol office for the State. We assist our staff with personal and professional development; promote a diverse workforce and the effective use of resources.

AGENCY PHILOSOPHY

The Office of the Secretary of State will provide accurate, reliable and timely services. We will always act in accordance with the highest standards of ethics, accountability, efficiency and openness. We approach our activities with a keen sense of purpose and responsibility.

AGENCY GOALS & ACTION PLANS

The Office of the Secretary of State will provide accurate, reliable, and timely services. We will always act in accordance with the highest standards of ethics, accountability, efficiency, and openness. We approach our activities with a keen sense of purpose and responsibility.

GOAL I: INFORMATION MANAGEMENT

Provide and process information efficiently, Enforce Laws /Rules. Provide accurate, reliable, and timely access to information. Maximize the efficiency of document processing. Take actions to ensure compliance with laws and rules.

ACTIONS REQUIRED TO ACHIEVE GOAL

- The Business & Public Filing Division of the Secretary of State's Office processes documents and provides accurate and reliable information on a timely basis. Division ensures compliance with agency and state laws and rules in a fair and consistent manner.
- The percentage of documents and public information request handled within three days is a measure of the efficiency and timeliness of the Division in responding to request to file business, commercial and public documents for and provide public information to the legal and business communities and to the public.

GOALS AND ACTION ITEMS SUPPORT STATEWIDE OBJECTIVES

Accountable to tax and fee payers of Texas

- The Secretary of State's Office is committed to the efficient processing of information to the public and the enforcement of rules and laws of the agency in a fair and consistent manner. Agency recognizes that it is critical to ensure that the tax and fee payers of Texas are provided their resources in a timely manner.
- Provide clear, accurate information to the public in a timely manner.

Efficient such that maximum results are produced with a minimum waste of taxpayer funds, including through the elimination of redundant and non-core functions.

- Annually maximize the efficiency of document processing by filing within three business days. To provide accurate, reliable, and timely access to public information by responding to requests within three business days.
- SOS will review and streamline internal procedures to eliminate unnecessary tasks.
- SOS will review staffing resources and levels to assess workload needs.

Effective in successfully fulfilling core functions, measuring success in achieving performance measures and implementing plans to continuously improve.

- The division ability to be responsive to the needs of its service population shows in the percentage of documents and public information requests handled within three days. It is

a measure of the efficiency and timeliness of the goal in responding to requests to file business, commercial and public documents for and provide public information to the legal and business communities and to the public.

Providing excellent customer service

- To support this objective SOS will continue to provide accurate, reliable and timely access to information to the public.
- Communicate the division's ability to provide exceptional customer service through professional development.
- Enhance use of the website and technology as a tool to have information accessible to the public

Transparent such that agency actions can be understood by any Texan

- The agency maintains website with a wealth of information. (www.sos.texas.gov). On that website, Business and Public Filings maintain information on Business startup, available forms, online filing information. Texas Register information and information on Notary Public and statutory filings.
- Communicate clearly with the public so that the process is accessible and clear.

OTHER CONSIDERATIONS

INFORMATION MANAGEMENT

Comparison of Business Statistics - Texas to Other States as of 12/31/2015

Type of Filing/ Information	Texas	Delaware	Florida
No. of Employees – Business & Commercial	81	102	100
New Business Corp. Filed ¹	23,503	38,288	102,881
New Limited Partnerships Filed	5,676	10,288	824
New LLCs	135,250	128,042	214,724
UCC Filings	415,561	116,351	n/a ³
Total Filings	579,990	292,969	318,429
Filings per Employee	7,160	2,872	3,184

1. Includes both for-profit corporations and professional corporations.
2. The Department of State of Florida no longer files UCC financing statements. The UCC filing process has been privatized.

IV. Service Population Demographics

	2010	2012	2014	2016
Notaries Public	405,598	403,141	414,957	426,805
Attorneys	86,453	90,552	92,210 ³	97,679
Active for-Profit Corporations	391,460	368,678	366,835	364,988
Professional Corporations	16,808	17,382	17,755	17,667
Professional Associations	19,989	20,135	19,920	19,236
Non-Profit Corporations	105,469	114,721	123,600	132,997
Foreign For-Profit Corporations	55,384	58,143	61,241	64,139
Limited Partnerships	128,690	127,825	132,439	132,334
Foreign Limited Partnerships	9,688	9,930	9,201	9,312
Limited Liability Companies	364,251	463,634	610,182	763,462
Foreign Limited Liability Companies	36,305	43,173	53,046	62,352
Limited Liability Partnerships	4,029	3,845	3,719	3,871
Foreign Limited Liability Partnerships	480	455	447	385
All registered voters	13,023,358	13,065,425	13,601,324	NA
County and local election authorities	76,152	80,883*	89,038	NA
Voting age citizens	18,789,238	18,279,737	18,915,297	NA
General public	25,236,900	26,142,000	26,448,193	NA
Colonia residents	369,007	369,007	369,482	369,482

*County and local elections authorities update as of October 11, 2012.

²Based on information available as of July 3, 2012.

Notary data as of June 20, 2016.

³Based on information on active members provided by State Bar on June 20, 2016

Business Entity data based on Master File Statistical Reports generated as of July 1, 2014 and June 1, 2016

The Agency serves all geographic regions of the state. Historically, most of the Agency's statutory duties have been carried out through the mail service so all regions of the state have essentially the same level of service. more transactions are accomplished electronically, service to the more remote regions will equal the service available to a local Austin user.

Technological

A. Impact of Technology on Current Agency Operations

3. Infrastructure

Software development is done in both the Microsoft .NET and Enterprise Java software development environments.

The agency is heavily involved in the DIR Data Center Consolidation effort. This initiative has and will continue to dramatically shape the IT infrastructure of the agency

4. Operational Functions

Since bringing up the SOSDirect Web site in 2001, the Agency has continued adding to the list of services that are now being offered to customers of the Business and Commercial Filings section via the Internet.

There are twenty-eight different types of business entity filings available online including formation filings, change filings, terminations, reinstatements, name change amendments and periodic reports. Customers also may file both initial UCC financing statements and amendment filings over the web. Customers may also do searches and place orders for copies and certificates using SOSDirect and have access to them delivered via email. Images of documents are viewable from the web giving customers the ability to print their own plain copies.

Service Companies that formerly purchased data from the agency that was delivered on tape, download those daily transactions and other bulk order products using SOSDirect. Other state agencies have similar access to data at no charge. As requests for bulk order data increased, products in new formats were added for the benefit of those wishing to generate lists for various business uses.

In compliance with the Help America Vote Act (HAVA), the official database of Texas registered voter information now resides with the agency. The Texas Election Administration Management (TEAM) System allows improved access to election related information.

All the business organization forms include instructions and are in pdf fillable format. Frequently asked questions that relate to these forms are on the Agency's home page on the web.

A number of large filers use XML and SOSDirect to submit business and UCC filings to the Agency. Not only does electronic filing reduce the agency workload; it enhances customer service by improving turnaround and accuracy. In Fiscal Year 2015, approximately 82% of all UCC filings were filed electronically; 99.9% of UCC copy and certificate requests were handled through SOSDirect. In FY 2015, 50.58% of all business organization documents and 93.27% of the business organization copy and certification requests were processed through SOSDirect. Approximately 69% of the new Texas businesses formed by filing with the Secretary of State are filed using SOSDirect.

In addition to the notary public search feature added to the Agency's web site in February 2005, web search capability is provided for credit service organizations, health spas, debt collectors, veterans organizations and solicitors, public safety organizations and solicitors, telephone solicitation registrations, business opportunities, athlete agents, automobile clubs and service of process.

In 2014 the Agency's web site implemented tools that allow individuals to submit notary applications, request duplicate commissions, and update their mailing addresses. The eNotary project to file notary public applications electronically attracts an increasing number of filings. Currently ten bonding companies are participating resulting in an average of 82% of all notary public applications being filed electronically. In addition 87% of all commissions are sent to notaries by email saving both postage and printing costs.

Notary Public training tools include an Internet training video that helps resolve and reduce complaints about notaries.

Business Filing Tracker was added to the Agency's web site in December 2014 as an online tool for the public to check the status of business entity documents submitted for filing within the past 30 days.

There are several areas in which the agency continues to have a more proactive role in identifying persons who should file with this office and alerting the public to potential problem areas:

- Posted a list of all health spas, credit service organizations, debt collectors and other registrations on the SOS web site so that it is easier for the public to identify those persons who are non-compliant.
- SOS is tasked with the registration and regulation of athlete agents and continues to investigate and discipline agents who have violated the Athlete Agent Act and work with college and university compliance departments. Since 2010, approximately \$46,000 in fines has been collected for violations of the Act.

- SOS continues to be proactive in identifying and contacting foreign entities that are not registered with the SOS.
- Revised FAQs to provide better information to consumers about filing complaints against health spas, debt collectors, and credit service organizations.
- Revised Notary FAQs and Educational Information to provide better information to notaries about the notary's role and responsibilities.
- Revised FAQs related to business entity filings to enhance the information available to legal and business communities.

The Reports Unit within the Business and Commercial Filings Section generates and processes reports that the SOS may request under the Texas Business Organizations Code. Generation of additional reports provides a mechanism for updating data on the SOS database which enables the SOS to inactivate entities that are no longer operational and is an additional source of revenue.

State agency rules and meeting notices are readily accessible via a searchable database and email notification service. Lexis-Nexis receives electronic updates of Texas Register issues and the Texas Administrative Code. Another commercial vendor purchases daily open meeting agenda files. Preparation of cumulative Texas Register Indexes is automated, making use of the same ArborText electronic publishing software employed to produce the Texas Register issues each week. A re-write of the Texas Register/Administrative Code database to improve Internet access to rules and simplify filing for state agencies was completed in 2014.

Other existing services include the following: (1) full text of the Texas Register and the Texas Administrative Code, which is updated daily to provide all rules currently in effect; (2) weekly email notice that the latest issue of the Texas Register is posted and available on the Internet; (3) RSS feed for weekly Texas Register issues; (4) Archive editions of the Texas Register and a daily backup listing of agency meeting agendas are posted on the University of North Texas Library Internet site. The newsprint subscription service was privatized in an agreement with Lexis-Nexis' Matthew Bender.

In 2012, the Secretary of State moved to electronic receipts for certified mail when forwarding service of process. As a result, we have achieved a savings in postage costs of over \$2.00 per mailing.

B. Impact of Anticipated Technological Advances

1. Infrastructure

With growing awareness of the increased threat to information security, the agency has devoted considerable effort and resources to address this risk. The

agency's information security staff conducts regular risk assessments and penetration tests against the agency information resources. The agency also maintains compliance with the purchase card industry data security standards.

2. Operational Function:

Since replacing the legacy systems that supported UCC, Corporations and Financial sections with the Business Entity and Secured Transaction (BEST) system and the web interface (SOSDirect), the agency has continued to reap the benefits in terms of efficiency. More than 80% of all UCC filings and 99% of UCC orders are submitted and processed via the web and XML Web Services. Similar upward trends in numbers of web orders and filings are seen for business entity filings.

Several of the databases utilized by the Registrations Unit within the Business and Commercial Filings Section have converted from Microsoft Access to Oracle allowing for the generation of reports, streamlining of procedures, and providing a more reliable platform for searching and maintaining records. Conversion of other Registrations Unit Access databases is an ongoing project.

C. Degree of Agency Automation

All major functions of the agency are automated. The agency has an adequate number of workstations for all personnel.

VI. Economic Variables

A. Identification of Key Economic Variables

General economic variables, such as gross domestic product, interest rates, consumer price level, and inflation may affect demands placed on the Agency by its customers. It is difficult to evaluate the impact these factors have on the business and commercial filings with the Agency and the requests for access to information by the public. We are not able to identify a direct correlation between the economic variables and the overall demand for services. In addition to economic variables, demand for Agency services may be affected by changes in state laws, such as election, franchise tax and usury laws; business organization statutes; increases in filing fees; and general population growth. Economic variables do not affect the Agency's election duties.

B. Extent to Which Service Populations are Affected by Economic Conditions

Demand for Agency services increases during periods of the growth and expansion of business. This demand may be reflected by increases in the formation of new corporations, limited partnerships, and limited liability companies, as well as the qualification of out-of-state entities to transact business in Texas. In addition, demand for Agency services is greater when an increase of commercial lending and other

commercial transactions occurs. This is evidenced by more filings of financing statements, and an increase of requests made to the Agency for information pertinent for loan transactions, real estate closings, business licensing activities, and other commercial ventures.

Demand for Agency services also may increase during recessionary periods. Business failures result in forfeitures, terminations, mergers, and withdrawals of business entities. Mergers, acquisitions, and failures of commercial lending institutions require assignment of security interests, continuations of existing security interests, greater filings of federal liens, and increased requests for information. In addition, consumers request more information about business entities prior to entering into a transaction with an entity. Litigation escalates during periods of business failures, resulting in increased requests for information about business entities, requests for certified copies, and frequent use of the Secretary of State as an agent for service of process.

C. Expected Future Economic Conditions and Impact on Agency and Service Populations

Demand for some Agency services should increase regardless of state and national economic conditions. In the "Information Age," demand for business and commercial data will continue its upward spiral. The demand for services may be more directly related to the growth in the state's population than to any particular economic condition. We expect that demand for services to increase as the population of Texas continues to grow. During March of 2016, the Secretary of State filed 17,657 certificates of formation creating new Texas corporations (profit, nonprofit and professional), limited liability companies and limited partnerships. This is a high-water mark for new business formation. Since new business formation is generally considered to be a leading economic indicator, we should continue to experience growth in our workload as the economy expands.

D. Agency Response to Changing Economic Conditions

As economic conditions change, the Agency reassigns personnel from areas where workload has decreased to areas where workload has escalated. When feasible, staff size has been reduced.

GOAL II: ADMINISTER ELECTION LAWS

This goal maintains Uniformity and Integrity of Elections, to oversee the Election process. Provide guidance and interpretation of election laws to 100 percent of election officials each election year; publish 100 percent of constitutional amendments; and reimburse counties for primary election costs and voter registration postage within one year.

ACTIONS REQUIRED TO ACHIEVE GOAL

- Provide properly trained election instructors to carry out the mission of managing statewide elections.
- Provide Polling places with Accessible Voting Devices.
- Reimburse Election Costs to Counties.
- Publish Constitutional Amendments.
- Administer the Federal Help America Vote Act (HAVA)

GOALS AND ACTION ITEMS SUPPORT STATEWIDE OBJECTIVES

Accountable to tax and fee payers of Texas

- The Secretary of State's Office is committed to providing proper training to election instructors to enable them to carry out the agency mission of managing statewide elections properly.
- The Secretary of State's Office is committed to providing Accessible Voting Devices.
- The Secretary of State's Office is committed to providing timely reimbursements to Counties.
- Provide clear, accurate information to the public in a timely manner.

Efficient such that maximum results are produced with a minimum waste of taxpayer funds, including through the elimination of redundant and non-core functions.

- SOS will review and streamline internal procedures to eliminate unnecessary tasks.
- SOS will review staffing resources and levels to assess workload needs.

Effective in successfully fulfilling core functions, measuring success in achieving performance measures and implementing plans to continuously improve.

- The percentage of Election Authorities Assisted or Advised is a measure of the goals effectiveness in reaching this population. The number of election authorities is the sum of all election authorities in all political subdivisions conducting elections, county clerks, county judges, county chairs, elections administrators, voter registrars and their staff, plus the election judges and clerks.
- Maintain a prioritized focus on providing information to the public in a timely manner.

Providing excellent customer service

- To support this objective SOS will continue to provide accurate, reliable and timely access to information to the public.
- Communicate the division's ability to provide exceptional customer service through professional development.
- Enhance use of the website and technology as a tool to have information accessible to the public.

Transparent such that agency actions can be understood by any Texan

- The agency maintains website with a wealth of information. (www.sos.texas.gov). On that website, Election information such as Voting locations, Voting Systems, Election Seminars, Elections officials and Election results as well as various forms, resources and legal library.
- Communicate clearly with the public so that the process is accessible and clear.

OTHER CONSIDERATIONS

ADMINISTER ELECTION LAWS

Impact of Federal Statutes/Regulations

Historical Role of Federal Involvement

The primary federal statute affecting the Agency is the federal Voting Rights Act of 1965. Section 5 of the Voting Rights Act requires that a change in any "standard, practice, or procedure with respect to voting" be submitted to the U.S. Department of Justice ("DOJ") for preclearance. The Agency prepared "submissions" to be sent to DOJ, requesting approval or preclearance for any changes in state election law or any new law, concerning elections. Texas became subjected to the Voting Rights Act in 1975 and had an effective working relationship with the DOJ under Section 5. On June 25, 2013, the U.S. Supreme Court invalidated section 4 of the Voting Rights Act which had the effect of ending the requirement that Texas pre-clear election law changes. However, there are two lawsuits pending currently in Federal court (regarding redistricting and voter photo identification) both of which seek to "bail in" Texas into preclearance again under Section 3 of the Voting Rights Act.

Texas must adhere to the language provisions of the federal Voting Rights Act. These require election materials to be furnished both in English and in Spanish. In addition, Texas has an agreement with the Department of Justice that in order to comply with this requirement, the Agency sends to each Spanish surnamed voter in Texas a notice of all constitutional amendment elections and also a brief explanatory statement, in Spanish, of each proposition appearing on the ballot.

In 1993, Congress passed the National Voter Registration Act ("NVRA"). The NVRA requires a uniform mail-in registration program; requires certain state agencies to provide

voters registration applications to customers; and requires local election officials to keep registered voters on the registration rolls for a longer period of time after receiving evidence that they have moved. The Agency adopted detailed administrative rules to implement the NVRA, which were then adopted into state law by the Legislature in 1995. The Agency continues to educate county and state officials about their responsibilities under the NVRA. The NVRA also requires various state agencies in Texas to offer voter registration to their clients and makes our Agency the coordinator for these voter registration activities. We have worked closely with the state's health and human services agencies as well as the Department of Public Safety in our role as NVRA coordinator.

In 2002, Congress passed the Help America Vote Act ("HAVA"). HAVA was a direct response to some of the problems exposed in the 2000 presidential elections, and it moved several key election functions previously administered at the local level to the state. As part of this state centralization, Congress mandated that the State must maintain the official list of registered voters in an electronic form and must validate the identification number provided on a voter registration application through the Department of Public Safety (driver's license, personal identification, or last four digits of the social security number). Another significant HAVA mandate concerns upgrading voting systems standards and the requirement to provide a voting unit accessible to voters with disabilities in every polling place in the state by January 2006. Congress appropriated federal grant money to partially fund these mandates, and the Secretary of State administered an online grant administration program to ensure that counties received prompt funds and fully complied with the federal mandates. The funds allocated to the counties under this grant program have been expended. The mandates in HAVA continue and Texas and its counties will have to pay in the future for voting system upgrades as well as to maintain the electronic voter registration database.

In 2009, Congress passed the Military and Overseas Empowerment Act ("MOVE"). MOVE facilitates the process of voting for this population of voters. MOVE requires that the official ballot be emailed at the request of a military or overseas voter, but the voter must return the ballot by mail. In addition, MOVE requires the state, in cooperation with local entities, to develop a tracking system which would allow military and overseas voters a way to track the status of their ballot. The Texas legislature updated the election law calendar during the 82nd legislative session with SB 100 in order to comply with the requirements of the Federal MOVE act. The Secretary of State adopted administrative rules and procedures to implement MOVE. We continue to work with the legislature and the counties regarding statutory changes to smooth out the impact to election officials and voters of this significant change to the election law calendar.

GOAL III: INTERNATIONAL PROTOCOL

Provide protocol services and representation on Border Issues. Encourage cooperation on issues relating to Mexico and the border. Coordinate activities related to improving physical living conditions in Colonias.

ACTIONS REQUIRED TO ACHIEVE GOAL

- Provide a central point for public officials and business leaders to conduct and meet with Texas governmental officials.
- Improve Physical living conditions in Colonias.
- Monitoring state and federal legislation on border issues
- Monitoring and advising the Governor's Office and other agencies on issues affecting Texas-Mexico relations.
- Working with Mexican federal, state and local officials on issues affecting Texas, Mexico and the border region

GOALS AND ACTION ITEMS SUPPORT STATEWIDE OBJECTIVES

Accountable to tax and fee payers of Texas

- The Secretary of State's Office is committed to being the central point of contact for public officials and business leaders to meet and conduct business with governmental officials.
- Provide clear, accurate information to the public in a timely manner.

Efficient such that maximum results are produced with a minimum waste of taxpayer funds, including through the elimination of redundant and non-core functions.

- Review and streamline internal procedures to eliminate unnecessary tasks.
- Review staffing resources and levels to assess workload needs.

Effective in successfully fulfilling core functions, measuring success in achieving performance measures and implementing plans to continuously improve.

- The division ability to be responsive to the needs of its service population shows in the number of funded colonia projects monitored by the colonia ombudspersons.
- Monitor number of events organized and attended to ensure that cooperation in border region is effective.

Providing excellent customer service

- To support this objective SOS will continue to provide accurate, reliable and timely access

to information to the public.

- Communicate the division's ability to provide exceptional customer service through professional development.
- Enhance use of the website and technology as a tool to have information accessible to the public.

Transparent such that agency actions can be understood by any Texan

- The agency maintains website with a wealth of information. (www.sos.texas.gov). On that website, Texas Border and Mexican Affairs information such as Reports on Border activity, Workgroup contacts, Colonias and Agreement for Regional progress.
- Communicate clearly with the public so that the process is accessible and clear.

OTHER CONSIDERATIONS

INTERNATIONAL PROTOCOL

Protocol and Border Division – Key Roles

Accompanying the Governor when meeting with Mexican officials

Monitoring and advising the Governor's Office and other agencies on issues affecting Texas-Mexico relations

Working with Mexican federal, state and local officials on issues affecting Texas, Mexico and the border region

Representing the Governor at international meetings and in planning the Border Governors Conference

Monitoring state and federal legislation on border issues

Coordinate colonia initiatives within the agency and with the other agencies and local officials involved in colonia projects in the state to coordinate efforts to address colonia issues.

Identify nonprofit self-help groups to help with colonia initiatives.

Set goals for each state fiscal year for colonia initiatives in the state, including goals to address easement problems; and ensure that water and wastewater connections are extended from distribution lines to houses located in colonias.

Coordinate state outreach efforts to nonborder colonias and to political subdivisions capable of providing water and wastewater services to nonborder colonias.

Consider the advice and recommendations of TDHCA's Colonia Resident Advisory Committee and work with the Committee to improve services delivered to colonia residents.

The ombudspersons shall gather information regarding the platting of each colonia; the infrastructure of each colonia; the availability of health care services; the availability of financial assistance; and any other appropriate topic as requested by the Secretary of State.

Recommend appropriate programs, grants and activities to the legislature.

Establish and maintain a classification system to track the progress of state-funded projects in providing water or wastewater services, paved roads and other assistance to colonias.

Establish and maintain a statewide system for identifying colonias.

GOAL IV: INDIRECT ADMINISTRATION

Provide responsible information relating to fiscal operations, human resources, procurement and IT services. Ensure that SOS performs and operates at the highest standards of accountability, transparency, compliance, professional conduct and ethics.

ACTIONS REQUIRED TO ACHIEVE GOAL

- Adhere to principles of transparency, compliance and accountability.
- Ensure integrity of financial reporting and systems of internal control.
- Focus on efforts that support staff retention and succession planning.
- Monitor information technology security risk and develop mitigation strategies.
- Keep abreast of technological standards and processes to improve efficiency.

GOALS AND ACTION ITEMS SUPPORT STATEWIDE OBJECTIVES

Accountable to tax and fee payers of Texas

- Provide data demonstrating effectiveness of financial goals.
- Provide clear, accurate information to the public and oversight agencies in a timely manner.

Efficient such that maximum results are produced with a minimum waste of taxpayer funds, including through the elimination of redundant and non-core functions.

- Streamline operations and develop programs to improve agency processes.
- Implement improvements noted or suggested in any internal or external audits.
- Review staffing resources and levels to assess workload needs.

Effective in successfully fulfilling core functions, measuring success in achieving performance measures and implementing plans to continuously improve.

- Continuously review internal processes and program applications for opportunities to further automate or enhance features using advancing technologies.
- Provide professional development and training to staff on a continuous basis.
- Invest in staff development to retain key staff and minimize turnover costs.

Providing excellent customer service

- To support this objective SOS will continue to provide accurate, reliable and timely access to information to the public.
- Communicate the division's ability to provide exceptional customer service through professional development.
- Enhance use of the website and technology as a tool to have information accessible to the

- public.
- Provide training opportunities to staff on customer service.

Transparent such that agency actions can be understood by any Texan

- The agency maintains website with a wealth of information. (www.sos.texas.gov). Make accessible public information that may be of interest to the general public
- Seek input to improve the agency's services
- Provide monthly, quarterly and annual reporting of financial information to oversight agencies. (CPA, LBB, SAO)

OTHER CONSIDERATIONS

INDIRECT ADMINISTRATION

Managers' receive training in contemporary management topics. Group training solidifies the bonds between the divisions. Cooperative interaction among managers is essential in an organization charged with over two hundred diverse duties.

The Agency's success and effectiveness depends primarily upon the ability of its employees to deliver the services required by the public. The Agency is committed to developing and retaining employees who will actively share in achieving the Agency's mission.

The Agency is committed to utilizing proven technological advancements to achieve the Agency's mission.

C. Location of Agency

The Agency is located in Austin. Employees occasionally travel to assist government officials or private citizens regarding election procedures and laws, as well as other Agency functions and services. The Colonia Initiatives program authorized an ombudsperson in each of six border counties and in Nueces County with the largest colonia populations. These ombudspersons assist colonia residents in seeking improvements in their living conditions.

D. Human Resource Strengths and Weaknesses

1. Strengths

- a. The agency's Management and Team Lead Staff average over twenty years of experience which allows for vast institutional knowledge.

- b. Benefits - Agency employees are eligible for all state benefits afforded to other state employees, including retirement, insurance, vacation and sick leave, holidays, longevity, overtime, compensatory time, use of sick leave from a sick leave pool, extended sick leave, emergency leave, military leave, leave under the Family and Medical Leave Act, and parental leave. Other benefits may include benefit replacement pay; parking in state owned or controlled areas, and educational and training programs. The benefit program for our employees is satisfactory, with the exception of health care cost that continue to escalate.
- c. Training – The Agency encourages employees to enhance their knowledge, skills and abilities through educational and training programs.

2. Weaknesses Affecting our Human Resources

- a. Compensation – The Agency has been relatively effective in retaining employees occupying management and supervisory positions. The Agency, however, often loses professional or technical employees to the private sector because of inadequate compensation. Compensation for state employees is not currently competitive with the private sector.

Turnover Rates – From 9/01/2014 to 8/31/2015, the turnover rate for the Agency was 14.9%. Of that number, 3% of those departing held management positions, 54% held professional positions, 5% held technician positions and 38% held clerical positions.

E. Capital Assets

1. Physical Facilities

The Agency occupies state-owned office space in the State Capitol, the James Earl Rudder State Office Building (“Rudder Building”). The Elections division moved from the 3rd Floor of the Thomas Jefferson Rusk Building (“Rusk Building”) into the Rudder Building, May 2014 after renovations were completed. The offices occupied by the Executive Division are located in the Capitol. These offices were renovated when the State Preservation Board restored the Capitol.

The Agency is the sole occupant of the Rudder Building. This building was restored in 1988. It is well suited for Agency operations. The proximity of

the Rudder Building and the Capitol is advantageous. The facilities provided by these state buildings meet the immediate needs of the Agency during this planning period.

Building Renovation

The Rudder Building renovations which utilized Bond Funds were completed in May 2014. This Texas Facilities Commission (TFC) project included the renovation of restrooms to make them ADA compliant, renewal of the plumbing system, update or the replacement of aging mechanical equipment and materials, renew/replace air handlers and renew/replace the electrical distribution system. The renovation was accomplished two floors at a time and Agency staff had temporary alternate locations during the project.

2. Technology:

The agency is participating in the consolidated state data center project and has completed migration to the consolidated state data centers.

Personal Computers

Approximately 250 personal computers are in use by Agency personnel. The agency strives to maintain a four-year technology refresh cycle where cost effective. Printing is via network attached printers as well as some local workstation attached printers.

Network

Agency employees are connected to the centralized computing resources via a switched Ethernet network. The agency connects to the Internet via a DIR CAPNET connection.

Impact of Pending Lawsuits and Appeals

We do not anticipate any liability from pending lawsuits and appeals, although it is possible that a court could award attorneys' fees and court costs to a plaintiff that successfully challenges an action by the State. The Secretary of State, in his official capacity, is named as party in the following active litigation matters:

Guadalupe County Democratic Party v. Andrade (D1-GN-10--004066, Travis County District Court) – Suit claiming reimbursement for legal fees expended by county political party. Plaintiffs filed a Notice of Non-Suit Without Prejudice Of Defendant on June 23, 2016, but as of June 24, 2016, the Court has not entered an

Order of Non-Suit.

Souraya Faas v. Carlos Cascos, in his Official capacity as the Secretary of the State of Texas and the State of Texas (4:16-CV-1299, United States District Court for the Southern District of Texas) – Suit seeking to enjoin Secretary from enforcing certain Election Code provisions relating to deadlines for certain actions by independent Presidential and Vice-Presidential candidates.

Pavel Goberman v. Carlos Cascos, Texas Secretary of State (3-16CV0994-G, United States District Court for the Northern District of Texas) – Suit seeking Order to keep physical address of individual confidential, notwithstanding statutory provisions which would render it public.

Jarrold Stringer, et al v. Carlos Cascos, In His Official Capacity As the Texas Secretary of State and Steven C. McCraw, In His Official Capacity As The Director of the Texas Department of Public Safety (5:16-cv-00257, United States District Court for the Western District of Texas) - Suit relating to application of the National Voter Registration Act (“NVRA”) to Texas’s online service offerings in the State.

OCA-Greater Houston and Mallika Das v. State of Texas, Et Al. (1:15-cv-00679-RP, United States District Court for the Western District of Texas) - Suit relating to validity of Section 61.033 of the Texas Election Code.

In addition, the United States Attorney General and other parties have filed lawsuits against the Secretary and other state parties regarding the implementation of Senate Bill 14, 82nd Legislature (“Voter ID”) and Texas’ 2013 Congressional and State House district maps (“Redistricting”). The lead cases are as listed as the following: Perez v. Texas (5:11-cv-360-OLG-JES-XR, Western District of Texas) – Lead “Redistricting” case; and Veasey v. Perry (2:13-CV-193, Southern District of Texas) – Lead “Voter ID” case. This case is currently on appeal before the United States Court of Appeals for the Fifth Circuit.

Please note that all of the pending litigation listed above involves the Secretary’s role as the State’s Chief Election Officer.

The Business & Public Filings Division has no pending cases.

SCHEDULE A: BUDGET STRUCTURE

The Secretary of State (SOS) has three funding sources: general revenue, appropriated receipts, and with the passage of the Help America Vote Act in 2002 federal funds. Federal funding will not be an on-going method of finance beyond the FY 2016 fiscal year. The agency has relied increasingly on appropriated receipts to maintain the highest level of service to the public.

The SOS develops its budget bi-annually through the Legislative Appropriation Request process. This request is presented to the Texas Legislature for review and approval. The budgetary process begins in the summer of each even numbered year in preparation for the Legislative session in January of the following year. The Legislature must approve the agencies budget before any expenditure can be made.

GOAL 1: INFORMATION MANAGEMENT

1.0.0. Provide and Process Information Efficiently; Enforce Laws/Rules

Provide and process information efficiently, Enforce Laws/Rules. Provide accurate, reliable, and timely access to information. Maximize the efficiency of document processing. Take actions to ensure compliance with laws and rules.

OBJECTIVE

1.1.0. Process Documents & Provide Accurate & Reliable Info on a Timely Basis

The percentage of documents and public information requests handled within three days is a measure of the efficiency and timeliness of the strategy in responding to requests to file business, commercial and public documents for and provide public information to the legal and business communities and to the public. It is an important measure of the strategy's ability to be responsive to the needs of its service population.

1.2.0. File & Publish Admin Rules and Agency Public Notices

File, edit, and compile administrative rules and agency notices for publication in the Texas Register and in the Texas Administrative Code. Publish laws passed by the legislature within 18 months.

STRATEGY

- 1.1.1. File/Reject Statutory Filings
- 1.1.2. File & Publish Admin Rules and Agency Public Notices
- 1.1.3. Publish the Texas Register and the Texas Administrative Code

OUTCOME MEASURES

- 1.1.1. % of Bus, Comm, and Public Filings & Info Requests Completed in 3 Days
- 1.1.2. Avg Cost Per Bus, Comm, and Public Filings Trans + Pub Info Request
- 1.1.3. Average Cost Per Register and Administrative Code Published

OUTPUT MEASURES

1.1.1. The percentage of documents and public information requests handled within three days is a measure of the efficiency and timeliness of the strategy in responding to requests to file business, commercial and public documents for and provide public information to the legal and business communities and to the public. It is an important measure of the strategy's ability to be responsive to the needs of its service population.

1.1.2. This measures the cost of providing services by the strategy. The total cost is divided by the total transactions and information requests handled by the strategy.

1.1.3. This measure addresses the combined costs for publishing the on-line Texas Register, the on-line Texas Administrative Code, and on-line notices of open meetings. The Texas Register is published each week on-line (52 times a year). The Texas Administrative Code is updated each workday. Open meeting notices are posted each day. The Agency is not involved in any commercially printed publications of the Texas Administrative Code and Texas Register except to provide updated text and graphic files.

EXPLANATORY MEASURES

1.1.1. This Turnaround Time Report (Business Days) calculates the number of days between the date of filing/receipt and the date of computer entry, and provides the document and public information turnaround based on business days. The percentage is calculated by comparing the total number of documents on the report to the number processed within 3 days. The percent of commercial transactions and public information requests is obtained by dividing all weeks' transaction documents and public information requests processed within 3 business days by the total number processed. The number of documents and requests responded to within 3 business days is divided into the total number of documents and requests received.

1.1.2. The average cost is computed by using the total strategy cost as the numerator and the Number of Business, Commercial, and Public Filing Transactions Processed and Number of Processed Requests for Information on Business, Commercial, and Public Filings as the

denominator. The data for computation of the average cost is based on salaries for the second fiscal year of the expiring biennium. Any general salary increase or additional appropriation authorized by the Legislature is excluded from the computation.

1.1.3. The average cost is calculated by dividing the annual cost, as defined above, by 52, the number of online issues of the Texas Register published. The data for computation of the average cost is based on salaries for the second year of the expiring biennium. Any general salary increase or additional appropriation authorized by the Legislature is excluded from the computation.

GOAL 2: ADMINISTER ELECTION LAWS

2.0.0. Maintain Uniformity & Integrity of Elections; Oversee Election Process

Maintain uniformity and integrity in the conduct of elections statewide while overseeing the election process in the state.

OBJECTIVE

2.1.0. ELECTION LAWS/CONSTITUTIONAL AMENDMENTS

Provide guidance and interpretation of election laws to 100 percent of election officials each election year; publish 100 percent of constitutional amendments; and reimburse counties for primary election costs and voter registration postage within one year.

STRATEGY

- 2.1.1. Provide Statewide Elections Administration
- 2.1.2. Primary Election Financing; VR Postal Payment to Postal Services
- 2.1.3. Publish and Interpret Constitutional Amendments
- 2.1.4. Administer the Federal Help America Vote Act (HAVA)
- 2.1.5. Payments to Counties for Voter Registration Activity. Estimated.

OUTCOME MEASURES

- 2.1.1. Provide Statewide Elections Administration
- 2.1.2. Primary Election Financing; VR Postal Payment to Postal Services
- 2.1.3. Publish and Interpret Constitutional Amendments

OUTPUT MEASURES

2.1.1. The percentage of Election Authorities Assisted or Advised is a measure of the strategy's effectiveness in reaching this population. The number of election authorities is the sum of all election authorities in all political subdivisions conducting elections, county clerks, county judges, county chairs, elections administrators, voter registrar's and their staff, plus the election judges and clerks.

2.1.2. This measure represents the degree of implementation of the Accessible Voting Device voting system.

2.1.3. This measures the cost of providing services by the strategy.

EXPLANATORY MEASURES

2.1.1. The number of election authorities assisted or advised divided by the number of election authorities statewide. The number of election authorities is reported in the service population demographics section of the Agency Strategic Plan for 2016.

2.1.2. The number of polling places in each county is summed to give a total number of polling places for the state. Likewise, the number of polling places with at least one Accessible Voting Device is summed for the state. The second sum, number of polling places with at least one Accessible Voting Device, is divided by the first sum, number of polling places, to compute the statewide percent.

2.1.3. Calculation is 60% of total strategy cost as defined in the Data Source section divided by the number of election authorities assisted or advised. Sources for the outputs are defined in those measures. The data for computation of the average cost is based on salaries for the second fiscal year of the expiring biennium. Any general salary increase or additional appropriation authorized by the Legislature is excluded from the computation.

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State
Goal:	I Provide and Process Information Efficiently; Enforce Laws/Rules
Objective:	I Process Documents & Provide Accurate & Reliable Info on a Timely Basis
Strategy:	I File/Reject Statutory Filings

Outcome Measure: Number of Registrants

Definition

A count of registrants.

Purpose/Importance

The number of registrants provides contextual information on the strategy's function.

Source/Collection of Data

The number of registrants is compiled from athlete agents, automobile clubs, business opportunities, credit services entities, health spas, membership camping resorts, municipal boundary changes, property rights, public safety entities and their solicitors, state seal, telephone solicitors, third-party debt collector bonds and veterans entities and their solicitors. The data is extracted from Oracle and Access Databases and entered into an Excel spreadsheet titled Workload Measures.

Method of Calculation

The annual totals are the cumulation of all the registrants on a monthly basis.

Data Limitations

The number of registrations received is externally driven and the Agency has no Control over this input.

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State
Goal:	I Provide and Process Information Efficiently; Enforce Laws/Rules
Objective:	I Process Documents & Provide Accurate & Reliable Info on a Timely Basis
Strategy:	I File/Reject Statutory Filings

Outcome Measure: Number of Notary Commissions Issued

Definition

A count of notary commissions issued, including commissions issued on renewal.

Purpose/Importance

The number of notaries commissioned and renewed provides contextual information on the strategy's function.

Source/Collection of Data

The number will also include duplicate, corrected and name change commissions issued. The data is extracted from the On-line Monthly Productivity Report and entered monthly into an Excel spreadsheet titled Workload Measures. This information is linked to other spreadsheets that compile monthly, quarterly, and annual statistics.

Method of Calculation

The annual totals are the cumulation of all notary commissions issued, including renewals, on a monthly basis.

Data Limitations

The number is externally driven and the Agency has no Control over this input.

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State
Goal:	I Provide and Process Information Efficiently; Enforce Laws/Rules
Objective:	I Process Documents & Provide Accurate & Reliable Info on a Timely Basis
Strategy:	I File/Reject Statutory Filings

Outcome Measure: Business, Commercial, and Public Filings Revenue

Definition

Total revenue collected for business, commercial and public filings and information requests.

Purpose/Importance

To explain the strategy's revenue generation.

Source/Collection of Data

Uniform Statewide Accounting System, DAFR7410, Month 13.

Method of Calculation

Summary of deposits into the State Treasury.

Data Limitations

None

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State
Goal:	I Provide and Process Information Efficiently; Enforce Laws/Rules
Objective:	I Process Documents & Provide Accurate & Reliable Info on a Timely Basis
Strategy:	I File/Reject Statutory Filings

Outcome Measure: Number of Business, Commercial, and Public Filings Transactions Processed

Definition

A count of transactions processed.

Purpose/Importance

This is a measure of the amount of work processed by the strategy. It includes documents submitted externally for filing or entry by the Agency as well as documents produced by the Agency for distribution externally.

Source/Collection of Data

Business entity transactions include documents (filed or rejected) submitted to the Corporations Section for filing. Filings include tax forfeitures and reversals, public information reports, delinquencies, renewals, other notices generated by the Secretary of State (SOS) and other documents entered into the Business Entity Filing System of Texas (BEST) database. Commercial transactions include financing statements, federal liens, utility security instruments, other notices of liens and updates to those transactions (filed or rejected). Public documents include services of process, notary actions, appointments and other documents and registrations processed as Government Filings or registrations (filed or rejected), including a count of the legislative bills posted on the web.

Method of Calculation

The totals from all data sources are entered into the Excel spreadsheet, Workload Measures. The number is calculated by adding totals from reports and manual counts from various sources as fully described in the workload measures spreadsheets for the Business & Public Filings Division, including those spreadsheets maintained for the Corporations, Uniform Commercial Code (UCC), Government Filings Sections and the former Statutory Documents Section.

Data Limitations

The number of registrations received is externally driven and the Agency has no Control over this input.

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State
Goal:	I Provide and Process Information Efficiently; Enforce Laws/Rules
Objective:	I Process Documents & Provide Accurate & Reliable Information on a Timely Basis
Strategy:	I File/Reject Statutory Filings

Outcome Measure: Number of Requests for Information and Filings Processed

Definition

A count of information requests.

Purpose/Importance

This measure is the amount of work processed by the strategy. It includes total responses to information requests whether those requests are satisfied by telephone information, production of copies or certificates, production of information letters and e-mails or direct access inquiries.

Source/Collection of Data

Requests for information include telephone requests, Secretary of State (SOS) Direct and Business Entity Filing System of Texas (BEST) inquiries; web searches; orders for certificates, certified copies and plain copies; apostilles; information letters; e-mail responses and searches submitted through Extensible Markup Language (XML) web services. The number of requests is calculated by adding totals from reports and manual counts from various sources as fully described in the workload measures spreadsheets for the Business and Public Filings Division, including those spreadsheets maintained for the Corporations, Uniform Commercial Code (UCC), Government Filings Sections and the former Statutory Documents Section.

Method of Calculation

The data for this output measure is an entry to the Monthly Report. The Monthly Report is a spreadsheet that identifies the number of information requests by type. The Excel spreadsheet is configured to add all the relevant numbers and produce the output measure as a grand total.

Data Limitations

The number of registrations received is externally driven and the Agency has no Control over this input.

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	1	Provide and Process Information Efficiently; Enforce Laws/Rules
Objective:	2	File & Publish Admin Rules and Agency Public Notices
Strategy:	1	Publish the Texas Register and the Texas Administrative Code

Outcome Measure: Number of Rules and Notices Filed in the Texas Register

Definition

A count of rules and notices published.

Purpose/Importance

This message provides contextual information on the amount of worked processed by the strategy.

Source/Collection of Data

Each document filed for publication in the Texas Register, including open meetings notices published on the Internet bulletin board, is maintained in the Texas Administrative Code Oracle database. Using the Staff Menu page, a query from the "Register Viewer" provides the total number of rules for a specified range of issue dates. A second query from the "Register Viewer" provides the total number of non-rule documents for a specified range of issue dates. A query from "Open Meeting Archive" provides the total number of meeting notices for a specified date range. Withdrawn rules are counted separately from each Texas Register issue within a specified date range (because the database tracks a notice of withdrawal as a change in status to a proposed rule rather than as a separate document filing.) The total of rules, non-rules, withdrawn rules and meeting notices equals the Number of Rules and Notices in the Texas Register.

Method of Calculation

The figures for quarterly monthly, weekly measures are calculated by queries to the Oracle database from the Staff Page menu.

Data Limitations

The number of registrations received is externally driven and the Agency has no Control over this input.

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	2	Maintain Uniformity & Integrity of Elections; Oversee Election Process
Objective:	1	Interpret Election Laws/HAVA; Publish Constitutional Amendments; Reimburse Election costs
Strategy:	1	Provide Statewide Elections Administration

Outcome Measure: Number of Registered Voters

Definition

A count of registered voters.

Purpose/Importance

This measure provides contextual information about the strategy. Voter registration is administered at the county and state level. State and federal law govern voter registration.

Source/Collection of Data

The number of registered voters is pulled from the Agency's TEAM (Texas Election Administration Management) System, which maintains the official list of registered voters.

Method of Calculation

The reported input is from quarterly and annual summaries

Data Limitations
None

Calculation Type
Non-cumulative

New Measure
No

Target Attainment
Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	2	Maintain Uniformity & Integrity of Elections; Oversee Election Process
Objective:	1	Interpret Election Laws/HAVA; Publish Constitutional Amendments; Reimburse Election Costs
Strategy:	1	Provide Statewide Elections Administration

Outcome Measure: Number of Election Officials Assisted or Advised

Definition

A count of election authorities assisted or advised.

Purpose/Importance

This is a measure of the amount of work processed by the strategy. The strategy provides seminars, election schools, video presentations, conferences and workshops, online poll worker training, handbooks, elections advisories; and answers telephone requests for assistance or advice.

Source/Collection of Data

Authorities attending seminars, election schools, conferences and workshops conducted by the agency is taken from sign-in attendance sheets. Conferences and workshops hosted by other entities with Election staff presenting is provided by the host in the form of written verification of number of attendees. Online poll worker training is derived from database verification of election officials who have completed("passed") the course. Handbooks distributed is taken from the number of processed requests for handbooks. Election advisories distributed is taken from 1) outgoing mail log; 2) fax reports; 3) email, global email messages printout: (topics to include Texas Elections Administration Management (TEAM) Releases, Election Funds Info., Elections Admin. Updates, Leg. Updates, & Litigation Issues). The number of authorities viewing video presentations is from attendance reports completed by host election authorities. DIR reports on number of incoming telephone calls to 800-252-2216.

Method of Calculation

The reported output is from quarterly and annual summaries.

Data Limitations

The Reports on a number of incoming telephone calls are provided by sources Outside the Agency and are subject to report or system changes and/or data extraction problems beyond the control of this agency.

Calculation Type

Non-cumulative

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	2	Maintain Uniformity & Integrity of Elections; Oversee Election Process
Objective:	1	Interpret Election Laws/HAVA; Publish Constitutional Amendments; Reimburse Election Costs
Strategy:	1	Provide Statewide Elections Administration

Outcome Measure: Number of Public Customers Advised, Trained or Assisted

Definition

Number of Public Customers Advised, Trained or Assisted

Purpose/Importance

This is a measure of the amount of work processed by the strategy. Number of people assisted or advised is based on: incoming telephone calls on (800) 252-8683 and (512) 463-5650 to include the number of calls for each staff's direct line on DIR report; pieces of outgoing mail; public visitors assisted; email correspondence answered; outgoing faxes; and persons advised and assisted through Project V.O.T.E.

Source/Collection of Data

The Department of Information Resources and 800-Service Company provide reports on number of incoming telephone calls. The number of pieces of outgoing mail is daily logged in the Outgoing Mail Log. Counts of public visitors assisted are maintained daily by receptionists. Answered email correspondence is counted electronically from Outlook (email) at the end of each month and then stored (by month) on disk(s) named Email Answered. Outgoing faxes are counted from machine generated fax reports and include both regular-fax and computer-fax transmissions. Sign-In attendance sheets are maintained for Project V.O.T.E. presentations.

Method of Calculation

The reported output is from quarterly and annual summaries.

Data Limitations

The Reports on a number of incoming telephone calls are provided by sources Outside the Agency and are subject to report or system changes and/or data extraction problems beyond the control of this agency.

Calculation Type

Non-cumulative

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	2	Maintain Uniformity & Integrity of Elections; Oversee Election Process
Objective:	1	Interpret Election Laws/HAVA; Publish Constitutional Amendments; Reimburse Election Costs
Strategy:	2	Primary Election Financing; Voter Registration Postal Payment to Postal Services

Outcome Measure: Program Management Cost Per Dollar of Primary Election Funds Distributed

Definition

A measure of administrative cost.

Purpose/Importance

This measures the cost of providing the strategy services. This measure is based on the salary of employees who administer the Primary Election Fund. This measure also includes all other administrative expenses, which may be paid for the primary elections financing appropriation.

Source/Collection of Data

Uniform Statewide Accounting System (USAS) Report DAFR7410.

Method of Calculation

Actual administrative cost is determined from the Uniform Statewide Accounting System (USAS) report for the cut-off period, DAFR7410, for all objects of expense, except 7050, benefit replacement pay. The actual administrative cost is divided by the sum of primary election funds distributed for both years of the biennium divided by two. The data for computation of the average cost is based on salaries for the second fiscal year of the expiring biennium. Any general salary increase or additional appropriation authorized by the Legislature is excluded from the computation.

Data Limitations

None

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	2	Maintain Uniformity & Integrity of Elections; Oversee Election Process
Objective:	1	Interpret Election Laws/HAVA; Publish Constitutional Amendments; Reimburse Election Costs
Strategy:	2	Primary Election Financing; Voter Registration Postal Payment to Postal Services

Outcome Measure: Program Management Cost Per Dollar of Voter Registration Postage Reimbursed

Definition

A measure of administrative cost.

Purpose/Importance

This measures the cost of providing services by the strategy. Measure is based on the salary of the employee who administers voter registration postage.

Source/Collection of Data

Agency Staffing Pattern – Uniform Statewide Personnel System Report 165.

Method of Calculation

Salary and Longevity costs. The actual administrative cost is divided by the sum of voter registration postage funds distributed for both years of the biennium divided by two. The data for computation of the average cost is based on salaries for the second fiscal year of the expiring biennium. Any general salary increase or additional appropriation authorized by the Legislature is excluded from the computation.

Data Limitations

None

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	2	Maintain Uniformity & Integrity of Elections; Oversee Election Process
Objective:	1	Interpret Election Laws/HAVA; Publish Constitution Amendments; Reimburse Election Costs
Strategy:	2	Primary Election Financing; Voter Registration Postal Payment to Postal Services

Outcome Measure: Amount of Primary Election Funds Distributed to Political Parties

Definition

A measure of strategy expenditures.

Purpose/Importance

This measure provides contextual information about the work of the strategy. This measure is the grand total of all disbursements to the local and state political organizations for primary election costs.

Source/Collection of Data

Uniform Statewide Accounting System Report DAFR7410.

Method of Calculation

The amount of dollars distributed to political organizations is the total expenditures and accrued expenditures for object of expense 7623 shown on the Uniform Statewide Accounting System report, DAFR7410, for the cut-off period.

Data Limitations

None

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	2	Maintain Uniformity & Integrity of Elections; Oversee Election Process
Objective:	1	Interpret Election Laws/HAVA; Publish Constitutional Amendments; Reimburse Election Costs
Strategy:	2	Primary Election Financing; Voter Registration Postal Payment to Postal Services

Outcome Measure: Amount of Voter Registration Postage Reimbursed to Counties

Definition

Explanation of the strategy expenditures.

Purpose/Importance

This measure provides contextual information about the work of the strategy. This measure is the grand total of all disbursements to counties for postage costs on voter registration applications.

Source/Collection of Data

Uniform Statewide Accounting System Report DAFR7410.

Method of Calculation

The amount of dollars distributed to counties is the total expenditures and accrued expenditures for object of expense 7291, taken from the Uniform Statewide Accounting System report DAFR7410 report for the cut-off period.

Data Limitations

None

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	2	Maintain Uniformity & Integrity of Elections; Oversee Election Process
Objective:	1	Interpret Election Laws/HAVA; Publish Constitutional Amendments; Reimburse Election Costs
Strategy:	3	Publish and Interpret Constitutional Amendments

Outcome Measure: Average Cost Per Amendment Published

Definition

Average cost per unit of production.

Purpose/Importance

This measures the unit cost of providing services by the strategy.

Source/Collection of Data

Average cost per amendment is based on total expenditures and accrued expenditures taken from the Uniform Statewide Accounting System report, DAFR7410, Program Code 5056, for the cut-off periods for each successive quarter in the fiscal year.

Method of Calculation

The average cost is the total expenditures, as the numerator, divided by the number of amendments published, as the denominator. This is based on ten amendments placed on the ballot and the use of an average of three columnar inches of newspaper advertising for each amendment. If fewer than ten amendments are on the ballot or if the average columnar inches exceeds three, the average cost per amendment will be adjusted downward proportionally. The data for computation of the average cost is based on salaries for the second fiscal year of the expiring biennium. Any general salary increase or additional appropriation authorized by the Legislature is excluded from the computation.

Data Limitations

The number of amendments varies considerably. There are costs for printing, publishing and postage that do not vary in direct proportion to the number of amendments. Because of these relatively fixed costs, the average cost may be extremely high when less than ten amendments are on the ballot.

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	2	Maintain Uniformity & Integrity of Elections; Oversee Election Process
Objective:	1	Interpret Election Laws/HAVA; Publish Constitutional Amendments; Reimburse Election Costs
Strategy:	3	Publish and Interpret Constitutional Amendments

Outcome Measure: Number of Constitutional Amendment Translations Mailed

Definition

A count of mailings to Hispanic Surname households.

Purpose/Importance

The number of translations mailed is a key factor in the printing and postage costs.

Source/Collection of Data

The US Postal Service mailing permit system provides an item count for each mailing. Mailings normally occur on several days.

Method of Calculation

The number of translations mailed is the sum of the item count provided by the US Postal Service.

Data Limitations

None

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	2	Maintain Uniformity & Integrity of Elections; Oversee Election Process
Objective:	1	Interpret Election Laws/HAVA; Publish Constitutional Amendments; Reimburse Election Costs
Strategy:	4	Administer the Federal Help America Vote Act (HAVA)

Outcome Measure: Number of Counties Using Voter Registration Online

Definition

A count of counties using on-line voter registration.

Purpose/Importance

TEAM is a voter registration and election management software application that is maintained by the Agency, which allows counties to administer voter registration and to produce all certificates, lists, reports and notices in an efficient and effective working environment in compliance with state and federal law. In addition, TEAM offers a comprehensive jury wheel program, which is capable of producing all required lists, reports and notices associated with selection and tracking of jurors.

Source/Collection of Data

The number of Texas Election Administration Management ("TEAM") on-line counties is based on the actual number of counties contracting with the Agency for on-line voter registration services. Enumeration of the on-line counties is maintained in a Word file maintained by the Voter Registration Section of the Elections Division.

Method of Calculation

A list is produced quarterly to report the cumulative number of on-line counties.

Data Limitations

None

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	2	Maintain Uniformity & Integrity of Elections; Oversee Election Process
Objective:	1	Interpret Election Laws/HAVA; Publish Constitutional Amendments; Reimburse Election Costs
Strategy:	4	Administer the Federal Help America Vote Act (HAVA)

Outcome Measure: Number of Federal HAVA Dollars Spent Per Voting Age Population

Definition

A measure of per capita expenditure.

Purpose/Importance

This measures the federal HAVA dollar coverage of voting age population.

Source/ Collection of Data

The number of Texas voting age population is provided by the Texas State Data Center. The dollars expended are from agency accounting records for federal HAVA dollars spent.

Method of Calculation

The number of dollars expended is divided by the voting age population.

Data Limitations

None

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	3	International Protocol
Objective:	1	Provide Protocol Services and Representation on Border Issues
Strategy:	1	Provide Protocol Services and Representation on Border Issues

Outcome Measure: Number of Meetings with International Diplomatic Officials/Foreign Government Officials/Business Leaders

Definition

A count of meetings.

Purpose/Importance

The protocol office provides a central point for public officials and business leaders to conduct and meet with Texas governmental officials. The number of meetings reflects the amount of work performed by International Protocol.

Source/Collection of Data

Each meeting that qualifies under the output measure definition is recorded on a log maintained by the Program Administrator for International Protocol. The log will show meeting date, location of meeting, officials' names, name of government or business organization represented, a summary of the discussion/purpose, and the names of Agency employees in attendance.

Method of Calculation

Meeting totals are reported as of 1/30, 2/28, 5/31 and 8/31. Annual total is the sum of the quarterly reports.

Data Limitations

None

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	3	International Protocol
Objective:	1	Provide Protocol Services and Representation on Border Issues
Strategy:	1	Provide Protocol Services and Representation on Border Issues

Outcome Measure: Number of Border Events Attended

Definition

Number of Border Events Attended

Purpose/Importance

This number demonstrates the effectiveness of the State’s effort to participate in events, meetings, and functions related to coordination and cooperation with Mexico and with local, state and federal entities in the border region.

Source/Collection of Data

A border event is an event organized to promote cooperation in the border region. Included are conferences, planning sessions, trade missions, and fact-finding missions. Border events may be organized by the Secretary of State or another stakeholder entity. The total number of events which the agency has organized or has attended is recorded on the Border Events Log showing meeting date, location of meeting, officials’ names, name of stakeholder groups represented, a summary of the discussion/purpose, and the names of Agency employees in attendance. Numbers reported as of 11/30, 2/28, 5/31, and 8/31.

Method of Calculation

The number of meetings is totaled and reported monthly, quarterly and annually.

Data Limitations

None

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

SCHEDULE B: PERFORMANCE MEASURE DEFINITIONS

Agency:	Office of the Texas Secretary of State	
Goal:	3	International Protocol
Objective:	1	Provide Protocol Services and Representation on Border Issues
Strategy:	2	Improve Physical Living Conditions in Colonias

Outcome Measure: Number of Funded Colonia Projects Monitored

Definition

A count of funded colonia projects monitored by the ombudspersons at the Secretary of State's Office. A colonia for this measure is a residential area along the Texas-Mexico border that lacks basic living necessities such as potable water and sewer systems, electricity, and paved roads. A project addresses the basic living necessities of a colonia. A funded project is one where there has been a commitment to expend funds from an entity authorized and appropriated funds for colonia projects. Monitoring includes activities such as coordinating meetings, attending meetings, making phone calls and conducting site visits pertaining to funded colonia projects. Ombudspersons are located in the counties of Cameron, El Paso, Hidalgo, Maverick, Nueces, Starr and Webb and serve their individual counties and their surrounding counties by monitoring the basic living necessities of a colonia.

Purpose/Importance

To capture the work performed by the colonia ombudspersons at the Secretary of State's Office by showing the number of funded colonia projects monitored by the colonia ombudspersons.

Source/Collection of Data

Colonias Project Activity Tracking Database. The database includes colonia projects and the monitoring activities done for each project. The database is updated monthly by the ombudspersons.

Method of Calculation

Take the Colonias Project Activity Tracking Database and count the colonia projects that show monitoring activities during the fiscal year and are categorized as funded. This measure is non-cumulative because projects may last longer than a quarter and therefore would potentially get double counted if calculated on a cumulative basis since ABEST adds each quarter together to get the annual total.

Data Limitations

Projects may be dropped if there is not Enough funding received from agencies Authorized and appropriated funds for colonia Projects. Projects may be delayed if cooperation between political subdivisions does not occur. Projects may be dropped or added based on priorities. As size and complexity of projects increase, the number of projects may decrease, and as the size and complexity of projects decrease, the number of projects may increase.

Calculation Type

Non-cumulative

New Measure

No

Target Attainment

Higher than target

Schedule C

HISTORICALLY UNDERUTILIZED BUSINESS PLAN

I. POLICY STATEMENT

- A. The State of Texas is committed to providing procurement and contracting opportunities for minority and woman-owned businesses. It is the state's policy to create an environment that will enhance Historically Underutilized Business (HUB) participation in state procurement and contracts.
- B. Office of the Secretary of State will make a good faith effort to utilize HUBs in contracts for services (including professional and consulting services) and commodities purchases.
- C. The Agency shall make a good faith effort to assist HUBs in receiving a portion of the total contract value of all contracts that the Agency expects to award in a fiscal year in accordance with the following percentages:
 - 1. 32.9% for all special trade construction contracts;
 - 2. 23.7% for professional services contracts;
 - 3. 26% for all other services contracts; and
 - 4. 21.1% for commodities contracts.

Two goals (Heavy Construction at 11.2% and Building Construction at 21.1%) are inapplicable because the Agency does not anticipate funding these types of construction at any time during this reporting period.

- D. Special efforts will be made to assist HUBs in becoming certified by the Texas Comptroller of Public Accounts, Procurement & Support Services ("TPASS"). Assisting them in obtaining certification will benefit the Agency as well as other agencies utilizing the same HUBs in the future.

II. AGENCY RESPONSIBILITIES

- A. The Agency will utilize TPASS's directory of certified HUBs, in accordance with Tex. Govt. Code Ann. § 2161.064, and other available HUB directories to establish bid lists for the advertisement of products and services needed.
- B. The Agency will utilize this HUB policy as the basis for attaining the HUB contracting goals as outlined in Tex. Govt. Code Ann. § 2161.181 and §2161.182 and CPA rule §20.13 TAC. (Goals are outlined in I., C. above.)
- C. The Agency will sponsor and participate in Economic Opportunity Forums which will provide contract opportunities and training for HUBs.

Schedule C

- D. Our HUB Coordinator and Purchasing staff will seek to obtain training to assist in increasing HUB participation, contracting and training.
- E. The Agency shall:
 1. Develop contract specifications to encourage economically disadvantaged businesses to participate in its acquisition of commodities and services;
 2. Ensure that delivery schedules are consistent with the Agency’s actual requirements;
 3. Ensure that the terms, conditions, and specifications advertised reflect the Agency’s actual needs, are clearly stated and do not impose unreasonable or unnecessary contract requirements;
 4. Encourage HUB subcontracting whenever possible;
 5. Identify potential subcontracting opportunities and require a HUB subcontracting plan for contracts of \$100,000 or more, where such opportunities exist;
 6. Submit a supplemental letter with the HUB Report identifying appropriate alterations in HUB goals when applicable.

III. TYPES OF PURCHASES

- A. The Agency will ensure that bids are obtained from businesses which normally sell the goods and services being purchased.
- B. Delegated Purchases
 1. Purchases under \$5,000: The Agency will purchase from a HUB to the fullest extent possible while obtaining the lowest and best bid.
 2. Purchases from \$5,001 to \$25,000 (excluding Dept. of Information Resources established statewide contract purchases) require at least three bids from vendors included on CPA’s Centralized Master Bidders List, including at least one bid from a HUB certified business. Informal bids will be obtained for purchases of \$5,001 to \$25,000, and formal bids for purchases of \$25,000 or more for commodities and \$25,000 to \$100,000 for services.

Procurement Category	% with HUBs FY 2014	% with HUBs FY 2015
Special Trade	None	None
Professional Services	0%	0%
Other Services	43.26%	44.25%
Commodities	45.80%	57.73%
Total Percentage with HUBs	42.98%	44.85%

Schedule F

WORKFORCE PLAN

I. Agency Overview

The Office of the Secretary of State is an agency created by the Texas Constitution. Since its creation, the Agency has been given numerous duties by the actions of the Legislature. The Secretary of State is the chief elections officer of the State, the principal repository of most business related filings, publisher of the Texas Register and manager of several special purpose appropriations.

The Office is organized into five functional divisions: Document Filings, which includes Business Entity Filings, Uniform Commercial Code and Government Filings sections, Document Publishing, Elections, International Protocol and Administrative Services.

Currently the agency is budgeted for 203 FTE's and anticipates no increase over the next five years. The possibility of an increase in FTE's would only occur if the Legislature assigned new duties to the agency.

A. Agency Mission

The mission of the Office of the Secretary of State is to provide a secure and accessible repository for public, business and commercial records and to receive, compile, and provide information. In addition, our mission is to ensure the proper conduct of elections, to maintain the official statewide list of registered voters, to authorize the creation and registration of business entities, and to publish state government rules and notices. Additionally, we serve as liaison to the Governor on Texas-Mexico border issues. We also serve as Chief International Protocol office for the State. We assist our staff with personal and professional development; promote a diverse workforce and the effective use of resources.

Schedule F

B. Strategic Goals and Objectives

The Office of the Secretary of State has three main goals:

Goal 1	Provide and Process Information Efficiently; Enforce Laws/Rules
Objective	<ul style="list-style-type: none"> • Process Documents & Provide Accurate & Reliable Information on a Timely Basis • File & Publish Administrative Rules and Agency Public Notices
Strategy	<ul style="list-style-type: none"> • File/Reject Statutory Filings • Publish the Texas Register and Texas Administrative Code
Goal 2	Maintain Uniformity & Integrity of Elections; Oversee Election Process
Objective	Interpret Election Laws/HAVA; Publish Constitutional Amends; Reimburse Election Costs
Strategy	<ul style="list-style-type: none"> • Provide Statewide Elections Administration • Manage Primary Election Funds; Reimburse Voter Registration Postage • Publish and Interpret Constitutional Amendments • Administer the Federal Help America Vote Act (HAVA)
Goal 3	International Protocol
Objective	To provide protocol services; to encourage cooperation between local, state, and federal governments; to coordinate activities of state and local agencies to improve physical living conditions in colonias in the counties authorized by law.
Strategy	<ul style="list-style-type: none"> • To provide protocol services; to represent the Governor and the State of Texas at meetings, events and conferences with the diplomatic corps, government officials and business leaders. To monitor issues relating to Mexico and the border and recommend action. • To coordinate state agency activities and secure funding to improve physical living conditions in colonias; to advocate the needs of colonia residents

C. Anticipated Changes in Strategies

The Agency is requesting no changes in the strategies for the FY 2018-19 biennium.

Schedule F

II. Current Workforce Profile (Supply Analysis)

A. Critical Workforce Skills

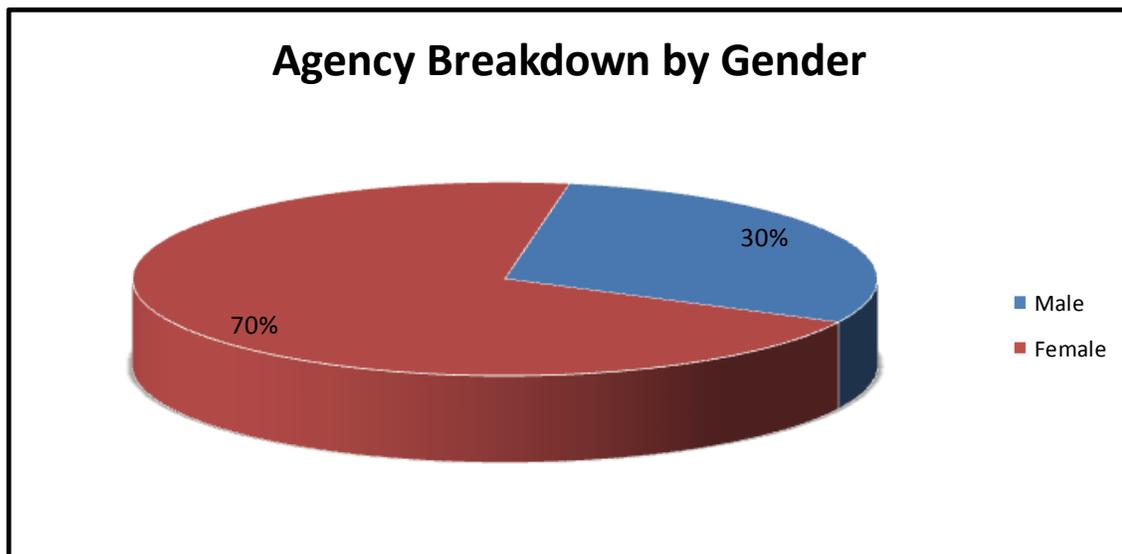
The following workforce skills are critical to the successful operation of the Office of the Secretary of State.

Communication Skills (Listening, Verbal, and Written)	Interpersonal Abilities
Leadership/Management	Teamwork
Analytical/Problem Solving	Flexibility/Adaptability
Managing multiple projects	Customer Service
Development and maintenance of computer systems.	Administrative/Clerical
Personal computer skills	Legal
Administrative management	Document publishing
E-Commerce	Financial management
Database management	Grant management

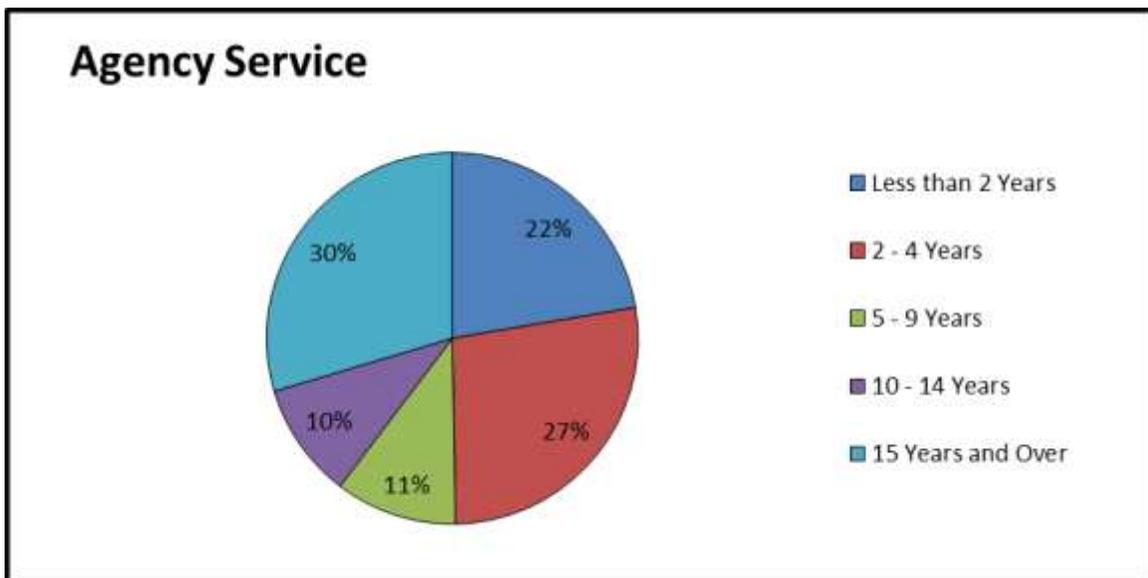
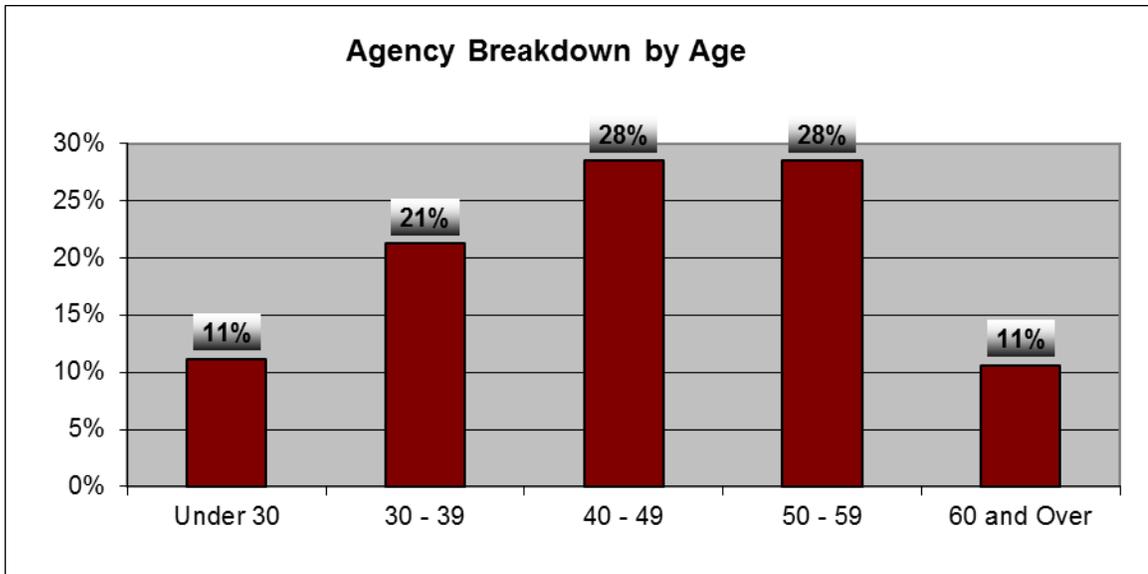
B. Workforce Demographics

The following chart profiles the agency's workforce as of June 1, 2016, and includes both full-time and part-time employees. The agency's workforce is comprised of 70 percent females and 30 percent males. 67 percent of our agency workforce is over the age of 40 and 33 percent is under the age of 40.

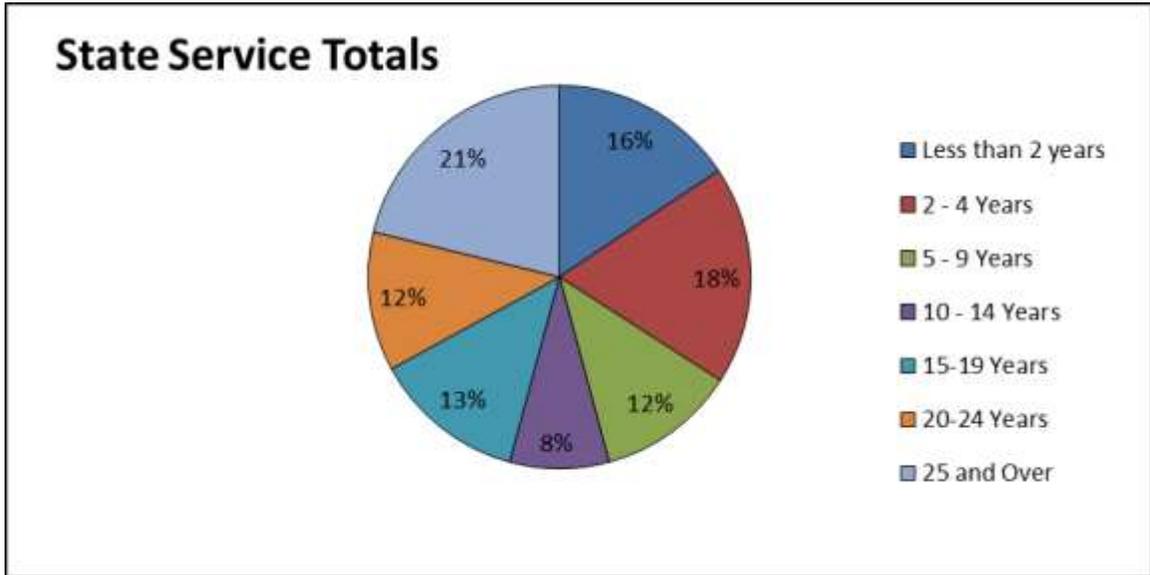
Workforce Breakdown



Schedule F



Schedule F



The following table compares the percentage of full-time African American, Hispanic and Female Secretary of State employees (as of June 1, 2016) to the statewide civilian workforce as reported by the Texas Workforce Commission.

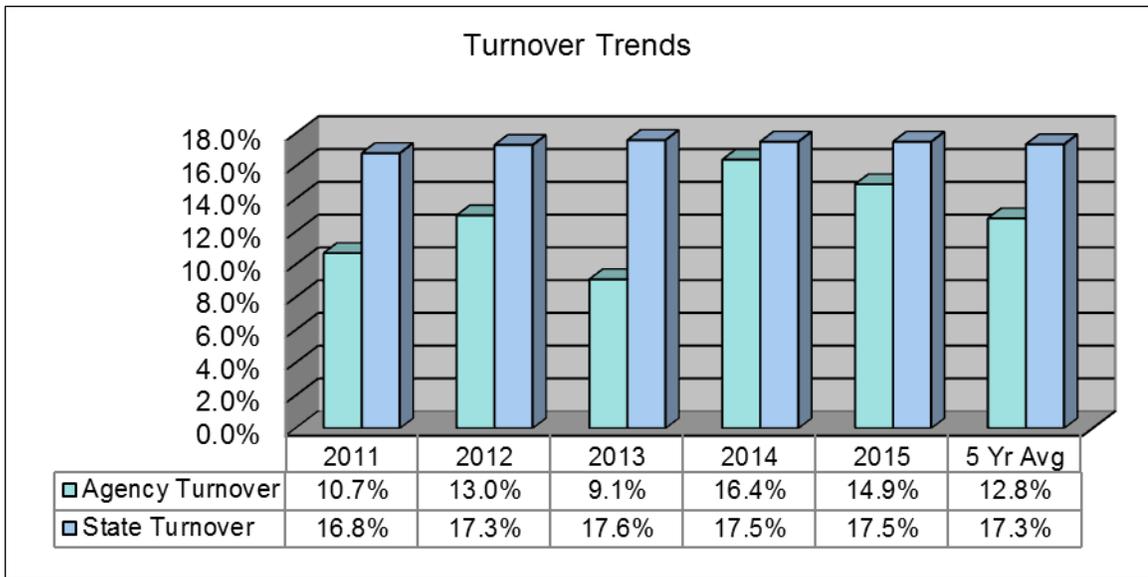
There are several areas of under-represented classes that the Agency should address. Those particular cases are highlighted below.

Job Category	African American		Hispanic American		Females	
	SOS %	State %	SOS %	State %	SOS %	State %
Administrators	20.00	10.93	20.00	15.97	30.00	52.42
Professional	10.26	10.90	25.64	15.74	64.10	56.01
Technical	9.00	17.65	20.00	26.10	20.00	61.25
Para-Professional	14.39	34.45	42.45	28.89	79.86	70.73
Administrative Support	19.05	18.93	30.95	31.04	88.95	83.44

Schedule F

Employee Turnover

Over the past five years, the Agency averaged a turnover rate of 12.8% compared to the statewide average of 17.3%. In FY 2015 the agency was below the state turnover rate by 2.6%. Over the last five years, the agency turnover rate continues to be below the state turnover rate. The following graph compares the Agency's average turnover to the statewide turnover over the last five years.



D. Retirement Eligibility

Over the next five years retirement will not account for the majority of separations within the agency.

	Projected Agency Terminations	Projected Agency Retirements
FY16	30	6
FY17	30	8
FY18	30	8
FY19	30	8
FY20	30	9

Schedule F

III. Future Workforce Profile (Demand Analysis)

Expected Workforce Changes

The Agency will continue to increase use of technology to improve efficiency and deliver better customer services. Higher technical skill levels will be required in managers, information technology staff and in front line employees. Increasingly, employees will need to be cross-trained in more than one functional area as human resources are shifted to meet performance measures and improve customer service. Given the state budgetary constraints, the agency has not been able to increase staffing or funding even when a workload increase was demonstrated. With these limitations, the agency must increasingly rely on technological advances as a means of meeting customer demands. We expect the demand for services to increase as the population of Texas continues to grow.

Future Workforce Skills Needed

Project management skills will be increasingly important as the life cycle of information systems shortens. Customer service skills are critically important in the information age where our customers expect better, faster and more accurate information. As the demographics of Texas change, the Agency anticipates the need for more multi-lingual employees in order to serve all our customers.

Anticipated Increase/Decrease in Number of Employees Needed to Do the Work

Due to the need for fiscal constraint in the state, the Agency anticipates no overall change in the authorized number of full-time equivalent employees. The Agency will endeavor to manage the anticipated increases in workload by improving efficiencies and allocating human resources to maximize customer service. If we are able to reduce workforce in one area we will cross-train staff that are willing to re-locate to other areas that are in need of help to meet performance measures. It is not anticipated that new programs will be added or existing programs deleted. However, it is expected that technological advances will cause workload to shift with personnel shifts necessary as a result of those shifts.

Critical Functions

The Agency must continue to encourage its customers to become partners. An informed customer base is critical in maximizing the mutual benefits that accrue from an increasingly sophisticated infrastructure. It is no less true that employers must train employees effectively to deal with all customers.

Schedule F

IV. Gap Analysis

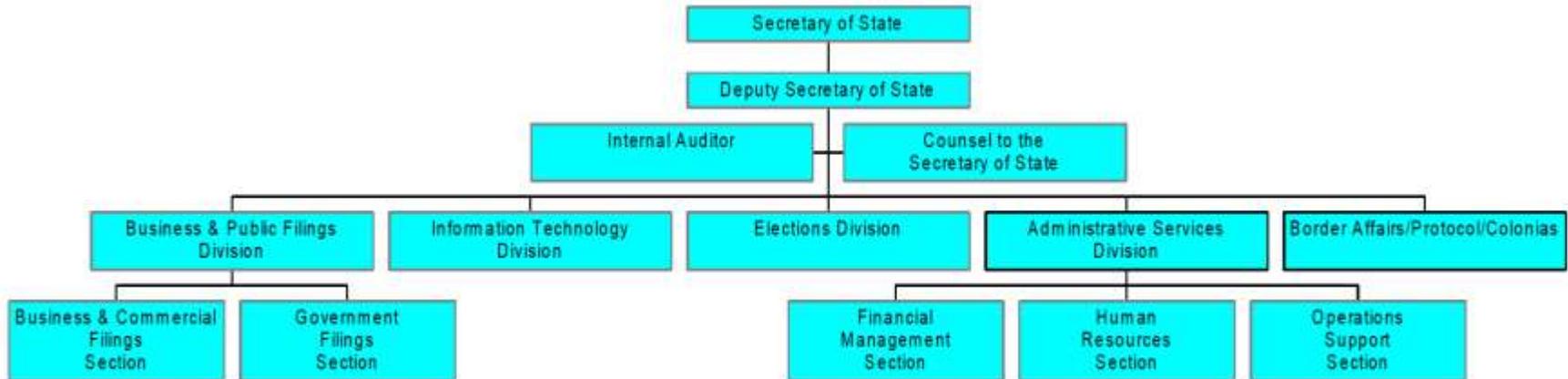
Anticipated Surplus or Shortage of Workers or Skills

The condition of the local economy has a powerful influence over the labor pool available to state government. The agency has tenured employees with a considerable amount of institutional knowledge of agency operations and applicable laws and regulations. The agency's turnover rate will continue to increase over the next five years so one would expect that the skill and experience level of the personnel will decrease and the agency will need to expand its recruitment efforts. The primary challenge affecting the agency's ability to recruit and retain mission critical skills is low pay afforded state employees and the 60 day waiting period for insurance coverage? The HR department has noticed that the more specific the job skill requirements are the more difficult recruiting has been. As the Texas economy expands and unemployment rates decrease, we can expect that employees will seek employment in a sector that provides significantly higher pay. If unemployment continues to stay high then the agency will see some employees fearful of making a change and stay with the agency. Some employees have thorough job knowledge and excel in clerical tasks given to them, but lack certain analytical and technical skills. This gap can be narrowed by offering necessary training to existing personnel, as current salaries will not attract applicants with the analytical and technical skills needed. All current job functions will continue to be required.

V. Strategy Development

The Agency plans to reallocate full-time equivalent employees at least once in each biennium. As electronic filing and electronic access to public information expands, employees will be reallocated to maximize the Agency performance outcomes. When the agency is faced with budget constraints we need to consider nonfinancial factors for influencing employee motivation and engagement. The Agency will continue to utilize all authorized compensation and retention programs, such as performance rewards, one-time merit salary awards and return to work programs, to the extent of available funding. Employee training will be a high priority in the workforce transition required to meet future challenges.

Office of the Secretary of State Organizational Chart



Schedule G

Report on Customer Service

INFORMATION-GATHERING METHODS

The Office of the Secretary of State provides a customer service survey on the agency's website for customers of the agency to offer feedback regarding their satisfaction with agency performance. A link to this survey is also sent in any reply to persons who contact the agency by email. Individuals are asked to rate the agency's performance in a number of areas by providing a ranking of Excellent, Good, Fair, Poor or No Response. The form is designed to collect customer satisfaction feedback on seven customer service quality elements:

- Facilities
- Staff
- Communications
- Internet web site
- Complaint-handling process
- Service timeliness
- Printed information

AGENCY INVENTORY OF EXTERNAL CUSTOMERS

- Service Companies
- Financial Institutions
- Banks, Savings and Loans
- Lending Institutions
- Businesses
- General Public
- Attorneys and Paralegals
- Federal Governmental Agencies
- State Governmental Agencies
- Local Governmental Agencies
- Private Investigators
- Title Companies

TYPES OF SERVICES PROVIDED TO CUSTOMERS

- File Documents/Disseminate Public Information
- Assistance and Advice
- Issue Administrative Rules
- Fund each county's postal reply mail permit account

- Publish explanatory statements of each constitutional amendment on ballots in all newspapers
- Provide assistance and advice regarding provisional voting and new federal voting system standards
- Maintain official statewide list of registered voters
- Distribute HAVA grants to counties
- Payments to counties for eligible Voter Registration Activity
- Act as Liaison to Governor/Assist with activities
- Provide indirect administrative support for all programs

In order to reduce costs to both the Agency and the customer, the Agency utilizes a web-based customer survey methodology. First, the customer survey form was posted on the Agency web site where any visitor to the site could evaluate the services received. Second, we included in the outgoing email a tagline encouraging our customers to fill out the customer satisfaction survey form on the web site. The survey period ran from March 14, through May 20, 2016, 103 customers completed the survey forms.

No customer groups were consciously excluded, but the survey may not have reached all customer groups if no representative of that group accessed our web site or received email during the survey period. All major customer groups, however, have web access to the survey form. The randomness at which customers access our web site and received email would create randomness in the selection of customers to be surveyed.

Outcome Measures

1. Percentage of Surveyed Customer Respondents Expressing Overall Satisfaction with Service Received..... 80 %

Output Measures

1. Total Customers Taken the Survey.....103
2. Total Customers Offered Survey736,738
**Unique Access to Agency Webpages that Contains the Survey Link*

Efficiency Measures

1. Cost per Customer Surveyed\$0.52
**Number of Survey Responses divided by 10 weeks' of Survey Monkey cost*

Explanatory Measures

1. Total Customers Identified736,738
2. Total Customers Groups Inventoried.....7