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SECRETARY OF STATE

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## Oregon Secretary of State

### Accomplishments

Under Secretary Richardson's leadership and the dedicated SOS staff, the following accomplishments were achieved in addition to the many day-to-day operations of the agency.

#### EXECUTIVE OFFICE

##### Leadership

- Set vision, mission, and values
- Establish success criteria and expectations
  - Rules of engagement
  - Standards
  - Policies
- Communicate and guide SOS staff
  - Leadership (Arbinger) training
  - Quarterly all staff
  - Monthly newsletter
  - Daily executive meetings
  - Weekly director meetings
  - Operational meetings as appropriate
  - Be available to all staff for questions, needs, etc.
- Benchmark Assessments to determine program status and best practice options for improvement
- Survey staff and business customers to learn more about their needs, concerns, and opportunities
- Business Context Diagrams defining services and support mechanisms
- Strategic Planning for long-term initiatives and improvement endeavors
- Performance measures and status reports
- Governance frameworks established (PSP, PRB)
- Communications Management
  - Media relations management
  - Video productions management
  - Web content and social media management
  - GovDelivery operations
  - Secretary's Newsletters to Oregonians on emerging issues and audits
- Move management
  - SOS-North Office in Public Service Building

- Move planning (growth and operational improvement)
- Risk Management
  - Emergency Coordinator - front office
  - BCP/DR Team (coop monthly meetings)
  - Safety Committee participation
  - OEM participation
  - Incident Management and Workers Comp
- Document Management
  - Update Legislative Bills Grid and disseminate to state and national tracking organizations
  - Public Records Requests
  - Shepard official documents thru SOS signing & tracking process
  - Mail management
- Budget Planning and Oversight
  - Review and approve budget development documentation
  - Review Status updates
  - Approved 2017-19 Budget and management
  - Emergency board request management for elections enhancements

### **Outreach & Events**

- Attend events and speaking engagements
- Strategic meetings and relationships
  - Met with County Clerks and other stakeholders to build relations and understand issues
  - Elections outreach - toured Multnomah County facility to see elections and the structure of Oregon's largest county for voter participation
  - Summerworks Program - Secretary met with stakeholders to discuss the value of the Summerworks Program and the potential for cooperation
  - Black Lives Matter- Secretary met with key members to discuss racial and ethnic disparities
  - Met with Legislators to inform of emerging issues (e.g. JLAC, ad hoc meetings)
  - Met with business leaders to build relations and understand issues
  - Hold town halls surrounding significant audit findings to inform and encourage Oregonians to become more involved
- Represent Oregon in expanding business opportunities
  - China E-Commerce event- Secretary used international experience to promote Oregon products to international markets
  - October China visit
  - A-I conference planning
  - Business of Diversity events
- Civics Education & Engagement
  - Launched the Oregon Kid Governor Program and elected Oregon's first Kid Governor
  - YMCA Youth engagement

### **Operations Oversight**

- Oversight of Audits, Archives, Elections, Corporations & Small Business, and Administration services (HR, BSD, ISD)
- Review operations and assist with current directors & staff challenges

- Filled 60 vacancies with world class candidates
- Establish criteria, monitor, and track performance

### **Government Relations**

- Foster relationships with legislators on behalf of SOS (e.g. budget, bills, etc.)
- Administrative rule development and management
  - Protected the rights of over 60,000 voters to receive their ballots and sign petitions by extending the time to be inactivated from five years of not voting to 10 years
  - Reviewed all SOS statutes for rulemaking opportunities
- Bill drafting and management for all SOS divisions
  - Budget hearings and meetings with LFO, co-chairs, subcommittee members
  - Fiscal Impact Statements
- Legal issues management to reduce legal costs

### **Boards and Commissions**

- Land Board Member - Key Issue: Elliott Forest
  - Forrest policy
  - Common School Fund Fiduciary Duty of Trustees
  - Portland Harbor Superfund
  - Land Management Efficiency Review
- Board of Education participation
- Liaison with state & federal agencies, NASS, NLGA
- Electronic Government Portal Advisory Board (EPAB)

### **ARCHIVES DIVISION**

- Oregon Administrative Rules Database (OARD) went live
- 2019-21 Blue Book published
- Updated rules to accommodate OARD
- Constitution Challenge project to restore Oregon's constitution
- Open houses and art exhibits
- Implemented new student intern program
- Added several new agencies to Oregon Records Management System
- Staff attended and presented papers at the Northwest Archivist conferences, National Association of Government Archives and Records Administrators conferences and Society of American Archivists conferences
- Records Management implemented monthly webinar training on basic records management, public records law, electronic records, social media and a variety of other topic relating to public records
- Implemented new rules to allow individuals and agencies to come to Archives for help with public records issues
- Interviewed candidates and hired Public Records Advocate
- Participation on the Sunshine Committee to review 500+ exemptions currently in statute
- Staff attained the Certified Records Manager and Certified Archivist certifications
- Implemented the Kid Governor program

## **AUDITS DIVISION**

- Numerous staff members attained various professional certifications
- Released 31 financial audits, which includes 8 contract audits; the Fiscal Year 2017 statewide financial audit included audit procedures at 22 state agencies, identified \$731 million in accounting errors, and 75 audit adjustments; the Fiscal Year 2017 statewide federal compliance audit looked at 12 federal programs and issued 27 findings.
- Released 11 performance audits; First-ever Auditor Alert released in May 2017 highlighting a risk from OHA's failure to timely determine Medicaid eligibility; First-ever public Audit Plan released; IT audits of DOR, OHA, OLCC, and ODOT released
- In 2017 completed 68 municipal desk reviews, resulting in 114 letters; Conducted 11 field reviews at six different firms; Created a new email list for communication with municipalities, their auditors, and the public; First audit summary issued as a result of HB 2174.
- Received and processed 329 Hotline calls in 2017.
- The Department of Environmental Quality audit found a backlog of air quality permitting that was putting Oregon's air quality at risk. The information the audit uncovered has led the agency to start a formal process improvement effort.
- The Oregon Health Authority Medicaid Payments audit found that thousands who were ineligible to receive benefits had not been removed from the system, costing tens of millions of dollars. In addition to the audit, the Audits Division produces a first of its kind "Auditor Alert" that won an Excellence in Accountability Award from the National State Auditors Association. The audit and the Auditor Alert pressed OHA to complete eligibility reexaminations and remove the thousands of ineligible recipients from the system. The agency also promised to make other changes recommended in the audit
- The Department of Human Services audit on Oregon's aging and disabled population found that this extremely vulnerable population was not receiving adequate in-home care. This audit helped to motivate legislation to strengthen training and standards for home care workers
- The Department of Human Services Child Welfare System audit uncovered that the chronic management failures and high caseloads were jeopardizing the safety of many of the state's most vulnerable children. The impact of this audit was so significant, Governor Kate Brown requested \$14.5 million to hire nearly 200 new caseworkers

## **CORPORATIONS & SMALL BUSINESS DIVISION**

- Business Survey 2017 & 2018 completed and analyzed
- Expanded Online Filing options for business to include Reinstatements for Nonprofits and Limited Partnerships
- Worked with Mercatus Center to measure existing regulation in Administrative Rules; established Red Tape Reduction Initiative to measure progress toward reduction of Red Tape; Implemented Red Tape Reduction website
- Implemented Shell Company Bill to help prevent money laundering and tax evasion
- Assistance provided to over 150,000 customers by phone and email
- Processed over 800,000 customer documents and filings
- Hired and trained - ten new Call Center staff, one new Application Administrator
- Streamlined cashier processing between Business Services Division and Corporation Division
- Handled 7,439 calls and processed over 1,650 cases in Small Business Advocates office
- Expanded Small Business Advocacy Team to meet demand by hiring and training two new Small Business Advocates

- Formalized Tribal Liaison position to ensure consistent contact with Oregon's nine federally recognized tribes
- Implemented clarifying legislation regarding confidentiality of Advocacy cases
- Made Office of Small Business Appointment to new statewide Small Business Rules Advisory Committee
- Worked with multiple agencies to plan and present the Governor's Marketplace Salem conference and facilitated 8 of 20 planned Community Editions of the Marketplace
- Collaborated with other agencies to update How to Start A Business and Employers Guides

## **ELECTIONS DIVISION**

- Conducted Special Election in January 2018
- Conducted Primary Election in May 2018
- Campaign Finance management included 206,167 filings; 108,303 reviewed; 1,483 cases processed with \$71,358 90 penalties assessed
- Online voter registrations and updates
- Campaign Finance Complaints filed/investigated: 19
- Investigations completed (Complaints filed/investigated: 58; Advice Letters provided: 110; Safe Harbor documents reviewed/completed: 185)
- Initiative and Referendum (Initiatives filed/processed: 40; Referendum petition filed 1/ processed 84,367 signatures
- Candidates filed/processed in 2017 for the 2018 primary election: 180
- Legislative vacancies processed: 8
- Produced and distributed 19 versions of the Primary Election Voters' Pamphlet
- Updated and published 10 Election Manuals

## **ADMINISTRATIVE SERVICES DIVISIONS**

### Business Services Division

- Executed the Oregon Buys Price Agreement, as well as executing the Work Order Contract to start building the Oregon Instance, which is the foundation needed for agencies to onboard to the eProcurement Solution. This was a collective effort of nine state agencies using our collective expertise, experience, and resources
- Closed out the 2015-17 Biennium
- 2017-19 Legislative Adopted Budget (LAB) compiled, loaded, and ready for Division
- Secretary of State's monthly expenditures and payroll active on SOS transparency website. The Secretary of State is the only state agency doing this on a monthly basis
- Established Contract Administrator training mandated by ORS 279A.159 requiring Secretary of State employees responsible for administering contracts over \$150,000 to obtain a Contract Administrator certificate by December 31, 2018

### Human Resources Division

- Designed and delivered HR Essentials Training to all SOS managers
- Partnered with Chemeketa Community College and brought Business Writing Classes to Corporations Division employees
- Provided internal training to staff and management (ethics, harassment, etc.)

- Supported and facilitated the hiring of **60** new SOS staff
- Completed a classification and market review for Archives Division
- Established an Inclusion and Diversity Council
- Joined Partners In Diversity
- Became sponsoring Agency of annual Statewide Diversity Conference
- Facilitated Audits Division participation in ePay
- Facilitated quarterly All-staff meetings
- Delivered successful staff appreciation event
- Designed and implemented streamlined performance evaluation format
- Designed and implemented individual development plans
- Completed agency-wide training needs assessment
- Facilitated two annual employee engagement surveys
- Delivered Sexual Harassment Prevention Training to Agency
- Participated in regular recruitment outreach events with JLMB military service members
- Organized and hosted Bring Your Child To Work Day event

#### Information Systems Division

- Windows 10 rollout
- Implemented Project Management Office and IT Governance (PMs briefed vital information on 77 projects; Developed SOS Stage-Gate Recommendations)
- Developed and published IT Strategic Plan
- Software Quality Assurance - Defined QA testing document templates for projects and implemented testing
- Application Development included adding four new languages to My Vote; enabling 16 year-old voter registration; viewing text of municipal measures in ORESTAR and candidate filing for elections
- Enterprise projects include Constitution Challenge website; implemented Oregon Administrative Rules Database (OARD); operational and infrastructure upgrades
- Security enhancements
- Website enhancements including Kid Governor, financial transparency, GovDelivery implementation and staff training, Public Records Request log and process, Constitution Challenge, migration of County Records Guide to Sharepoint, Newsroom API and Blog Feed