STA 0.0 **Agency Summary**

SECRETARY OF STATE - DEPARTMENT OF STATE

Katie Hobbs, Secretary of State

(602) 542-9781

A.R.S. §§ 41-121 et seq; 29-301 et seq; 44-1271 et seq; 44-1441

Plan Contact: Allie Bones, Assistant Secretary of State

(602) 542-4919

Mission:

To provide services in Arizona in order to preserve our history, promote engagement, and protect the future, in a trusted, accessible, innovative and secure manner.

Description:

The Department of State is headed by a publicly elected Secretary of State, who serves as Acting Governor in the absence of the Governor and succeeds the Governor should a vacancy occur. The Secretary of State is the keeper of the Great Seal of the State of Arizona and is also the Chief State Election Officer who administers election functions, including canvass and certification of statewide elections, and coordinates statewide voter registration. The Secretary of State's office receives and records various filings, including Uniform Commercial Code transactions, trademark and trade name registrations, and limited partnership and limited liability partnership filings. The office also registers lobbyists and accepts periodic lobbyist and campaign finance filings; publishes all official acts of the State of Arizona including laws, the Arizona Administrative Code, and the Arizona administrative Register; files the notices of the Governor's appointments to Stateboards and commissions; appoints notaries public; and applies apostilles to all international transactions.

The Arizona State Library, Archives and Public Records division provides general information services as well as research and reference services in the subject areas of law, government, public policy, genealogy, and Arizona. The division administers state and federal grants for public libraries and offers consultant services to both public libraries and government agencies. The division also offers special library and information services for anyone who is unable to read or use standard printed materials as a result of temporary or permanent visual or physical limitations, manages public record archival retention programs, and creates exhibits to educate the public regarding governmental and Arizona history and the legislative process.

STA 1.0 **Program Summary**

ADMINISTRATION

Allie Bones, Assistant Secretary of State

Administration (602) 542-4919

Constitution & A.R.S. § 41-121 et seq.

Mission:

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Description:

The Administration oversees and carries out technology support, communications, legislative oversight and compliance monitoring, financial management, accounting, budgeting, procurement, human resources and payroll.

Administration provides support for Business Services, Public Services/Administrative Rules, Arizona State Library, Archives, Public Records, Capitol Museum, Address Confidentiality Program and Road to Rights, and Election Services Divisions. The Assistant Secretary of State and the Chief Financial Officer support leadership in policy making duties with responsibility for obtaining, enhancing and sustaining all office resources.

◆ **Goal** 1 To ensure that the Divisions operating within the Secretary of State's Office have the support they need to effectively meet the needs of the department, its employees and the public.

Objective: 1 FY2020: Default Objective
FY2021:
FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Maintain an above average employee engagement ratio.	N/A	4.5	4.5

The annual Employee Engagement Survey was delayed due to the coronavirus pandemic and 2020 results were not ready at time of budget submission.

	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Maintain 80%+ participation in Employee Engagement Survey.	0	80	80

The annual Employee Engagement Survey was delayed due to the coronavirus pandemic and 2020 results were not ready at time of budget submission.

STA 2.0 **Program Summary**

BUSINESS SERVICES

Pat Viverto, Director

Business Services Division (602) 542-3060

A.R.S. §§ 29-301 et seq.; 44-1271 et seq.; 44-1441 et seq…

Mission:

To support and provide resources to customers and stakeholders in the business community through timely and accurate filings. To ensure that information is easily accessible to the public and promote transparency by offering online searches of the public records we maintain.

Description:

The Business Services Division is a diverse section within the Secretary of State's Office which exists to centralize statewide registration of Trademarks, Trade Names, Limited Partnerships, Foreign Partnerships, Advance Directives and Telephonic sellers; to accept for filing Uniform Commercial Code (UCC) financing statements; to commission Notaries Public; to provide Notary services; to issue Apostilles and Certificates of Authentication going to foreign countries.

◆ **Goal** 1 To serve the public by filing records accurately and expeditiously.

Objective: 1 FY2020:
FY2021:
FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Average number of business days to process trademark applications	10	8	8
Average number of business days to process Uniform Commercial Code filings	8	5	5
Average number of business days to process partnership filings	5	5	5
Average number of business days to process tradename applications	10	8	8
Average number of business days to process apostilles	10	8	8

◆ **Goal** 2 To provide public disclosure through easy, accessible information and public documents, and on-line database search capabilities.

Objective: 1 FY2020:
FY2021:
FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Number of Trade names and Trademarks filed per month	2400	2500	2600
Number of partnerships on file per month	250	250	250
Number of UCC records filed per month	7600	8000	8000
Number of Apostilles processed per month	1250	1600	1600

◆ **Goal** 3   To provide service to allow Notaries Public to perform their duties accurately and efficiently in the state.

Objective: 1 FY2020:
     FY2021:
     FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Number of notaries commissioned per month	1500	1600	1700
Number of notary seminars	22	24	24
Average number of days to process notary applications	20	20	20

STA 3.0	**Program Summary**
	PUBLIC SERVICES

Scott Cancelosi, Director
Public Services Division   (602) 542-0223
A.R.S. §§ 41-311 et seq.; 41-1001 et seq.

Mission:

To encourage citizen participation in the rulemaking process by supporting agency rulewriters to be in compliance with the Arizona Administrative Procedures Act (Act); accept, process, file, and maintain the historical record of rule-related notices; electronically publish rule-related notices the Arizona Administrative Register; and codify rules in the Arizona Administrative Code as required by the Act.

Description:

The Department of State's Administrative Rules Division (previously the Public Services Division) is the filing office for all aspects of the Administrative Rules process that includes publishing rules promulgated by state agencies. Agency rulemaking is governed by the Arizona Administrative Procedures (Act), Title 41, Chapter 6 and the Division's rules on rulemaking, 1 A.A.C. 1. The Division is responsible for publishing the Arizona Administrative Register and codifying rules in the Arizona Administrative Code. The Code as published by the Division is the official version under Arizona law. The Division is a performance-based office with measurable deadlines defined under the Act.

◆ **Goal** 1   To advance the Division's mission statement

Objective: 1 FY2020:
     FY2021:
     FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Provide transparency by electronically publishing a list of filed state agency notices online at least once a week (percentage completed).	100	100	100
Achieve greater efficiency and reduce printing costs by digitally authenticating the Administrative Register on the website once a week (percentage completed).	100	100	100
Achieve greater efficiency and reduce printing costs by digitally authenticating the Arizona Administrative Code on the website ever calendar quarter (percentage completed).	100	100	100
Update the Arizona Rulemaking Manual [1 manual in 12 month period].	0	1	1
New goal in FY2020.			
Update form templates, maintain updates and post online (percentage completed).	0	100	100
New goal in FY2020.			
Transfer hard-copy notice files to electronic format for efficient storage and retrieval under records retention schedule [once annually].	0	1	0
New goal in FY2020.			
Create a legislative proposal to expedite the rulemaking process. Submit to administration for review [once annually].	1	1	1
Maintain compliance with the APA as well as governor rulemaking moratorium, and provide accountability, integrity and efficiency when doing so (percentage completed).	100	100	100

◆ **Goal** 2   To maintain a responsive Division workforce.

Objective: 1 FY2020:
     FY2021:
     FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Promote at least one professional growth and/or development opportunity to staff annually.	1	1	1
Engage staff to suggest legislation to improve rulemaking process [once annually].	1	1	1

◆ **Goal** 3   To provide service that allows agencies, boards and commissions to develop rules accurately and efficiently.

Objective: 1 FY2020:
     FY2021:
     FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Maintain a log of rule notices. Record number of rule notices filed in a fiscal year.	277	250	250

◆ **Goal** 4   To assist and train state agency staff, facilitate positive relationships, foster open and effective communications.

Objective: 1 FY2020:
     FY2021:
     FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Perform courtesy reviews of notices upon request (percentage completed).	100	100	100
Provide informal assistance over the telephone, in person, or electronically (percentage completed).	100	100	100

◆ **Goal** 5 To maintain deadlines, maintain commitment to customers.

Objective: 1 FY2020:
FY2021:
FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Percent of customers indicating they found the public information they were seeking	100	100	100
Percent of statutory publications provided	100	100	100

◆ **Goal** 6 To reduce costs and energy consumption – Green Initiative.

Objective: 1 FY2020: Default Objective
FY2021:
FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Review costs for division expenditures. Check surplus before ordering products. Increase awareness of the need to recycle and reuse office products (percentage completed).	100	100	100
Print draft documents double-sided (percentage completed).	100	100	100

New goal in FY2020.

STA 4.0

Program Summary

ELECTION SERVICES

Bo Dul, Director

Election Services Division (602) 542-6167

A.R.S. §§ 16-101 et seq.; 19-101 et seq.; 38-541 et seq.

Mission:

To work in close partnership with federal, state, local, and nongovernmental stakeholders to ensure free, fair, and secure elections in Arizona that are accessible to all eligible voters.

Description:

The Election Services Division ensures that the Secretary of State, as the Chief Election Officer, fulfills her statutory mandates relating to election oversight and administration in the following areas:
•Election Security: Implementing robust cyber and election security measures, and working in close partnership with federal, state, and local stakeholders to continually improve election security throughout the state.
•Elections Procedures Manual: Provide uniform election procedures through publication of an updated Elections Procedures Manual every odd-number year;
•Voter Registration: Maintaing and improving the new statewide voter registration database and coordinating ongoing maintenance and operation of the statewide database; and coordinating state responsibilities for voter registration under the National Voter Registration Act of 1993, including coordination with Department of Transportation/Motor Vehicles Division and public assistance agencies.
•Election Officer Certification: Provide training, certification, and re-certification of county recorders and election officials in odd-numbered years.
• Election Equipment Certification and Testing: Reviewing and certifying, according to national and state standards, new voting systems and election equipment and updates to existing systems and equipment used by the counties; conduct logic and accuracy tests of all election equipment used by

the counties prior to each federal, statewide, and legislative election;
•Elections Technology: Ensuring proper maintenance, operation, and updating of election technology necessary for the fulfillment of statutory duties, including statewide voter registration database, Election Management System, Election Night Reporting, Candidate Portal, E-Qual, campaign finance filing system (Beacon), campaign finance reporting system (Spotlight), UOCAVA portal, Circulator Portal, lobbyist filing system, and public portal for voters.
•Candidate Nomination: Receiving nomination papers and petitions from and certifying for the ballot candidates for federal, statewide, and legislative office.
• Ballot Measures: Receiving initiative, referendum, and recall applications and petitions; processing and certifying for those petitions for the ballot; providing information to the public on ballot measures by publishing and mailing the publicity pamphlet; and coordinating statewide Town Hall meetings on ballot measures.
•Campaign Finance & Financial Disclosures: Provide professional, courteous service in the administration of campaign finance laws, including registering candidate and political committees, accepting required campaign finance filings, reviewing campaign finance complaints, and referring appropriate complaints and non-filers to the Attorney General; coordinating and accepting financial disclosure filings from office holders.
•Lobbying: Provide professional, courteous service in the administration of lobbyist laws, including registering lobbyists, principals, and public bodies, accepting required filings, reviewing lobbyist complaints, and referring appropriate complaints and non-filers to the Attorney General.
•Federal Compliance: Overseeing compliance with federal election laws, including the Help America Vote Act (including providing a statewide complaint system for uniform, nondiscriminatory response to grievances), the National Voter Registration Act, and the Uniformed and Overseas Citizens Absentee Voting Act (including maintaining the electronic portal for uniformed and overseas voters).
•Public Information and Public Records: Providing professional and courteous customer service to Arizonans on all areas of division responsibility, including promptly responding to telephone and email inquiries; publishing handbooks on key areas of statutory responsibility in order to provide uniform guidance to the regulated community and other stakeholders; producing public records and filings for the public upon request.
•Voter Education: Developing and implementing an effective voter outreach and education program in partnership with other stakeholders at the state and local levels; and providing courteous and professional customer service to voters.
•Official Canvass and Electoral College: canvassing and certifying the results of elections for federal, statewide, and legislative office; issuing certificates of nomination and election; and planning and executing the meeting of the Electoral College

◆ **Goal** 1 To fully update the Elections Procedures Manual in close collaboration with County Recorders and election officials and submit an updated manual to the Attorney General and Governor for approval in each odd numbered calendar year.

Objective: 1 FY2020:
FY2021:
FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Elections Procedures Manual submitted to Attorney General and Governor by October 1 of each odd numbered year calendar year (percentage completed).	100	N/A	100
Elections Procedures Manual approved by Attorney General and Governor by December 31 of each odd numbered year (percentage completed).	100	N/A	100

The Reagan administration did not complete an Election Procedures Manual during 4 year term that ended in FY19. The Hobbs administration is on track to gain approval on time in FY20.

◆ **Goal** 2 To complete development and successfully launch the new statewide voter registration system and ensuring sufficient county support during the 2019 and 2020 elections using the

new system.

Objective: 1 FY2020:
FY2021:
FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Use electronic format and information provided by county offices and MVD to maintain voter registration rolls (percentage completed)	100	100	100
Number of registered voters as of January 2 (in thousands).	3927	4021	4127

◆ **Goal** 3 To provide statewide voter registration.

Objective: 1 FY2020:
FY2021:
FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Total voter registration	3,926,649	4,026,649	4,126,649

◆ **Goal** 4 To implement statewide election security measures and forge robust collaboration and communication between federal, state, and local stakeholders on election security.

Objective: 1 FY2020:
FY2021:
FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Create an Incident Response Plan in partnership with federal, state and local officials to be used in the 2020 Election Cycle (percentage completed).	75	100	NA

This goal is for fiscal year 2020.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Percent of funds distributed to County Recorders and Elections Directors through the HAVA Security Grants – 100% of funds distributed by June 30, 2020.	94	100	N/A

The Hobbs administration gained approval on the HAVA spending plan in June 2019 and allowed counties to begin applying for sub grants shortly thereafter.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Number of state and local officials who participated in election security table top exercise or other security trainings coordinated by SOS office.	160	N/A	120

◆ **Goal** 5 To provide quality training, certification, and re-certification of election officials statewide in FY2020 and FY2022.

Objective: 1 FY2020: Default Objective
FY2021:
FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Number of election officers certified.	441	0	430

The Secretary of State provides election certification training every 2 years. The classes fall in FY18, FY20, FY22, and on.

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Total combined hours of classroom training.	37	0	35

The Secretary of State provides election certification training every 2 years. The classes fall in FY18, FY20, FY22, and on.

◆ **Goal** 6 To ensure compliance with state and federal campaign finance laws and provide transparency for the public in terms of candidate and campaign filings.

Objective: 1 FY2020: Default Objective
FY2021:
FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Percent of Campaign Finance data available on-line.	100	0	100
Percent of timely review and action on election law complaints.	100	0	100
Number of Campaign Finance reports filed.	6676	0	6800
Number of candidate, political action, and political party committees registered.	1077	0	1200
Number of Standing Political Committees registered.	139	0	150

◆ **Goal** 7 To efficiently receive and process candidate, initiative/referenda/recall, and new party petitions.

Objective: 1 FY2020: Default Objective
FY2021:
FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Number of candidate petitions received and processed (in thousands).	60	0	150
Number of IRR petitions received and processed (in thousands).	145.1	0	200
Number of IRR petition signatures processed for county recorder verification (in thousands).	1569.1	0	2500
Number of new party petitions received and processed (in thousands).	0	0	50

◆ **Goal** 8 To prepare for and respond to the coronavirus pandemic for the 2020 federal election cycle

Objective: 1 FY2020: Default Objective
FY2021:
FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Fund $5,000,000 in subgrants to Counties for response and preperation to the coronavirus pandemic for the 2020 federal election cycle	0	5,000,000	0
Provide counties with 100% of personal protective equipment and sanitation supplies requested for voting and ballot processing facilities.	0	100	0
uwara Purchase and distribute ballot drop boxes to rural and tribal counties	0	45	0
Assist counties with recruiting at least 1,600 pollworkers through sign up sheet on the Secretary of State's website.	0	1600	0
Educate the public on voting options and how to vote safely during the pandemic, measured by number of impressions.	0	95,000,000	0

STA 5.0	**Program Summary**
	ARIZONA STATE LIBRARY, ARCHIVES, AND PUBLIC RECORDS
Holly Henley, State Librarian	
(602) 542-6181	
A.R.S. §§ 41-151 through 41-151.24	

Mission:

To provide Arizonans access to information about their government, their state, and their world by offering content in a variety of formats, preserving Arizona's history for future generations, and empowering local institutions to engage their communities in learning.

Description:

The Arizona State Library, Archives and Public Records Division collects, preserves, and provides access to materials relating to law, political science, economics, sociology, subjects pertaining to the theory and practice of government, genealogy, and Arizona history. The format of materials may vary. Access to collections is provided by the State Library through a general and legal reference service, a records management and archives program, a state and federal government documents depository program, a library development service, museums for educational purposes, and a service for persons who are visually or physically unable to use traditional print materials The State Library serves as the "state library administrative agency" with its Director given responsibility to accept and administer state and federal funds, including grants (A.R.S. 41-151.)

◆ **Goal** 1   To preserve Arizona's history through the collection, storage, and digitization of permanent government records, publications, and artifacts.

Objective: 1   FY2020:
             FY2021:
             FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
New records received (linear feet/boxes-in thousands)	25.2	25	25
Records processed (in thousands)	1.3	2	2
Records cataloged (in thousands)	21.1	22	22
State publications cataloged (in thousands)	4.8	4	4
Federal publications cataloged (in thousands)	2.6	4	4
Items digitized (in thousands)	66.1	51.6	51.6

◆ **Goal** 2   To provide access for all Arizonans to government history, records, and library services through reference and consultation services, training, grant funding and educational resources.

Objective: 1   FY2020:
             FY2021:
             FY2022:

Performance Measures	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
Archives and records materials used (in thousands)	66.4	65	65
Physical library items used (in thousands)	365.2	332	332
Online library items used (in thousands)	2664.9	2645	2645
Online engagement (in thousands)	922.7	301.8	301.8
Statewide database usage (in thousands)	12040.6	10010	10010
Reference and consultations (in thousands)	65.2	65.1	65.1
Visitors (in thousands)	96.2	96.2	96.2
Museum school tours (in thousands)	11.6	20	20
Public outreach and events (in thousands)	6	5.9	6.1
Training and continuing education hours (in thousands)	29	27.8	27.8
Grants administered (in hundreds)	195	120	100

Program: STA 0.0 SECRETARY OF STATE - DEPARTMENT OF STATE
Director: Katie Hobbs, Secretary of State
Phone: (602) 542-9781
Statute: A.R.S. §§ 41-121 et seq; 29-301 et seq; 44-1271 et seq; 44-1441
Plan Contact: Allie Bones, Assistant Secretary of State
(602) 542-4919

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PROGRAM SUMMARY

Program: STA 1.0 ADMINISTRATION
Contact: Allie Bones, Assistant Secretary of State
Phone: Administration (602) 542-4919
Statute: Constitution & A.R.S. § 41-121 et seq.

Mission:

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Description:

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◆ **Goal:** 1 To ensure that the Divisions operating within the Secretary of State's Office have the support they need to effectively meet the needs of the department, its employees and the public.

Performance Measures:

	ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1	☑	☐	OC	Maintain an above average employee engagement ratio.	4.2	4.5	N/A	4.5	4.5
2	☑	☐	QL	Maintain 80%+ participation in Employee Engagement Survey.	0	0	0	80	80

Mission:

To support and provide resources to customers and stakeholders in the business community through timely and accurate filings. To ensure that information is easily accessible to the public and promote transparency by offering online searches of the public records we maintain.

Description:

The Business Services Division is a diverse section within the Secretary of State's Office which exists to centralize statewide registration of Trademarks, Trade Names, Limited Partnerships, Foreign Partnerships, Advance Directives and Telephonic sellers; to accept for filing Uniform Commercial Code (UCC) financing statements; to commission Notaries Public; to provide Notary services; to issue Apostilles and Certificates of Authentication going to foreign countries.

◆ **Goal:**   1   To serve the public by filing records accurately and expeditiously.

Performance Measures:

ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1 ✔	☐	EF	Average number of business days to process trademark applications	10	10	10	8	8
2 ✔	☐	EF	Average number of business days to process Uniform Commercial Code filings	5	5	8	5	5
3 ✔	☐	EF	Average number of business days to process partnership filings	8	3	5	5	5
4 ✔	☐	EF	Average number of business days to process tradename applications	10	10	10	8	8
5 ✔	☐	EF	Average number of business days to process apostilles	10	10	10	8	8

◆ **Goal:**   2   To provide public disclosure through easy, accessible information and public documents, and on-line database search capabilities.

Performance Measures:

ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1 ✔	☐	IP	Number of Trade names and Trademarks filed per month	2336	2730	2400	2500	2600
2 ✔	☐	IP	Number of partnerships on file per month	230	250	250	250	250
3 ✔	☐	IP	Number of UCC records filed per month	7050	7200	7600	8000	8000
4 ✔	☐	IP	Number of Apostilles processed per month	1583	1650	1250	1600	1600

◆ **Goal:**   3   To provide service to allow Notaries Public to perform their duties accurately and efficiently in the state.

Performance Measures:

ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1 ✔	☐	IP	Number of notaries commissioned per month	1568	1700	1500	1600	1700
2 ✔	☐	QL	Number of notary seminars	36	36	22	24	24
3 ✔	☐	OP	Average number of days to process notary applications	20	20	20	20	20

Mission:

To encourage citizen participation in the rulemaking process by supporting agency rulewriters to be in compliance with the Arizona Administrative Procedures Act (Act); accept, process, file, and maintain the historical record of rule-related notices; electronically publish rule-related notices the Arizona Administrative Register; and codify rules in the Arizona Administrative Code as required by the Act.

Description:

The Department of State's Administrative Rules Division (previously the Public Services Division) is the filing office for all aspects of the Administrative Rules process that includes publishing rules promulgated by state agencies. Agency rulemaking is governed by the Arizona Administrative Procedures (Act), Title 41, Chapter 6 and the Division's rules on rulemaking, 1 A.A.C. 1. The Division is responsible for publishing the Arizona Administrative Register and codifying rules in the Arizona Administrative Code. The Code as published by the Division is the official version under Arizona law. The Division is a performance-based office with measurable deadlines defined under the Act.

◆ **Goal:** 1 To advance the Division's mission statement

Performance Measures:

ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1 ✔	☐	QL	Provide transparency by electronically publishing a list of filed state agency notices online at least once a week (percentage completed).	100	100	100	100	100
2 ✔	☐	EF	Achieve greater efficiency and reduce printing costs by digitally authenticating the Administrative Register on the website once a week (percentage completed).	100	100	100	100	100
3 ✔	☐	EF	Achieve greater efficiency and reduce printing costs by digitally authenticating the Arizona Administrative Code on the website ever calendar quarter (percentage completed).	100	100	100	100	100
4 ✔	☐	OP	Update the Arizona Rulemaking Manual [1 manual in 12 month period].	0	1	0	1	1
5 ✔	☐	OP	Update form templates, maintain updates and post online (percentage completed).	0	100	0	100	100
6 ✔	☐	EF	Transfer hard-copy notice files to electronic format for efficient storage and retrieval under records retention schedule [once annually].	0	1	0	1	0
7 ✔	☐	EF	Create a legislative proposal to expedite the rulemaking process. Submit to administration for review [once annually].	1	1	1	1	1
8 ✔	☐	QL	Maintain compliance with the APA as well as governor rulemaking moratorium, and provide accountability, integrity and efficiency when doing so (percentage completed).	100	100	100	100	100

◆ **Goal:** 2 To maintain a responsive Division workforce.

Performance Measures:

ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1 ✔	☐	QL	Promote at least one professional growth and/or development opportunity to staff annually.	1	1	1	1	1
2 ✔	☐	EF	Engage staff to suggest legislation to improve rulemaking process [once annually].	1	1	1	1	1

◆ **Goal:** 3 To provide service that allows agencies, boards and commissions to develop rules accurately and efficiently.

Performance Measures:

ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1 ✔	☐	OP	Maintain a log of rule notices. Record number of rule notices filed in a fiscal year.	393	550	277	250	250

◆ **Goal:** 4 To assist and train state agency staff, facilitate positive relationships, foster open and effective communications.

Performance Measures:

	ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1	☑	☐	QL	Perform courtesy reviews of notices upon request (percentage completed).	100	100	100	100	100
2	☑	☐	QL	Provide informal assistance over the telephone, in person, or electronically (percentage completed).	100	100	100	100	100

◆ **Goal:** 5 To maintain deadlines, maintain commitment to customers.

Performance Measures:

	ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1	☑	☐	QL	Percent of customers indicating they found the public information they were seeking	75	100	100	100	100
2	☑	☐	OP	Percent of statutory publications provided	100	100	100	100	100

◆ **Goal:** 6 To reduce costs and energy consumption – Green Initiative.

Performance Measures:

	ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1	☑	☐	EF	Review costs for division expenditures. Check surplus before ordering products. Increase awareness of the need to recycle and reuse office products (percentage completed).	100	100	100	100	100
2	☑	☐	EF	Print draft documents double-sided (percentage completed).	0	100	100	100	100

Program:	STA 4.0 ELECTION SERVICES
Contact:	Bo Dul, Director
Phone:	Election Services Division (602) 542-6167
Statute:	A.R.S. §§ 16-101 et seq.; 19-101 et seq.; 38-541 et seq.

Mission:

To work in close partnership with federal, state, local, and nongovernmental stakeholders to ensure free, fair, and secure elections in Arizona that are accessible to all eligible voters.

Description:

The Election Services Division ensures that the Secretary of State, as the Chief Election Officer, fulfills her statutory mandates relating to election oversight and administration in the following areas:
•Election Security: Implementing robust cyber and election security measures, and working in close partnership with federal, state, and local stakeholders to continually improve election security throughout the state.
•Elections Procedures Manual: Provide uniform election procedures through publication of an updated Elections Procedures Manual every odd-number year;
•Voter Registration: Maintaing and improving the new statewide voter registration database and coordinating ongoing maintenance and operation of the statewide database; and coordinating state responsibilities for voter registration under the National Voter Registration Act of 1993, including coordination with Department of Transportation/Motor Vehicles Division and public assistance agencies.
•Election Officer Certification: Provide training, certification, and re-certification of county recorders and election officials in odd-numbered years.
• Election Equipment Certification and Testing: Reviewing and certifying, according to national and state standards, new voting systems and election equipment and updates to existing systems and equipment used by the counties; conduct logic and accuracy tests of all election equipment used by the counties prior to each federal, statewide, and legislative election;
•Elections Technology: Ensuring proper maintenance, operation, and updating of election technology necessary for the fulfillment of statutory duties, including statewide voter registration database, Election Management System, Election Night Reporting, Candidate Portal, E-Qual, campaign finance filing system (Beacon), campaign finance reporting system (Spotlight), UOCAVA portal, Circulator Portal, lobbyist filing system, and public portal for voters.
•Candidate Nomination: Receiving nomination papers and petitions from and certifying for the ballot candidates for federal, statewide, and legislative office.
• Ballot Measures: Receiving initiative, referendum, and recall applications and petitions; processing and certifying for those petitions for the ballot; providing information to the public on ballot measures by publishing and mailing the publicity pamphlet; and coordinating statewide Town Hall meetings on ballot measures.
•Campaign Finance & Financial Disclosures: Provide professional, courteous service in the administration of campaign finance laws, including registering candidate and political committees, accepting required campaign finance filings, reviewing campaign finance complaints, and referring appropriate complaints and non-filers to the Attorney General; coordinating and accepting financial disclosure filings from office holders.
•Lobbying: Provide professional, courteous service in the administration of lobbyist laws, including registering lobbyists, principals, and public bodies, accepting required filings, reviewing lobbyist complaints, and referring appropriate complaints and non-filers to the Attorney General.
•Federal Compliance: Overseeing compliance with federal election laws, including the Help America Vote Act (including providing a statewide complaint system for uniform, nondiscriminatory response to grievances), the National Voter Registration Act, and the Uniformed and Overseas Citizens Absentee Voting Act (including maintaining the electronic portal for uniformed and overseas voters).
•Public Information and Public Records: Providing professional and courteous customer service to Arizonans on all areas of division responsibility, including promptly responding to telephone and email inquiries; publishing handbooks on key areas of statutory responsibility in order to provide uniform guidance to the regulated community and other stakeholders; producing public records and filings for the public upon request.
•Voter Education: Developing and implementing an effective voter outreach and education program in partnership with other stakeholders at the state and local levels; and providing courteous and professional customer service to voters.
•Official Canvass and Electoral College: canvassing and certifying the results of elections for federal, statewide, and legislative office; issuing certificates of nomination and election; and planning and executing the meeting of the Electoral College

◆ **Goal:** 1 To fully update the Elections Procedures Manual in close collaboration with County Recorders and election officials and submit an updated manual to the Attorney General and Governor for approval in each odd numbered calendar year.

Performance Measures:

ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1 ☑	☐	OP	Elections Procedures Manual submitted to Attorney General and Governor by October 1 of each odd numbered year calendar year (percentage completed).	0	100	100	N/A	100
2 ☑	☐	OP	Elections Procedures Manual approved by Attorney General and Governor by December 31 of each odd numbered year (percentage completed).	0	100	100	N/A	100

◆ **Goal:** 2 To complete development and successfully launch the new statewide voter registration system and ensuring sufficient county support during the 2019 and 2020 elections using the new system.

Performance Measures:

ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1 ☑	☐	OC	Use electronic format and information provided by county offices and MVD to maintain voter registration	100	100	100	100	100

	ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
				rolls (percentage completed)					
2	✔	☐	OC	Number of registered voters as of January 2 (in thousands).	3,821	3,920	3927	4021	4127

◆ **Goal:** 3 To provide statewide voter registration.

Performance Measures:

	ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1	✔	✔	IP	Total voter registration	3,821,039	3,920,000	3,926,649	4,026,649	4,126,649

◆ **Goal:** 4 To implement statewide election security measures and forge robust collaboration and communication between federal, state, and local stakeholders on election security.

Performance Measures:

	ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1	✔	☐	QL	Create an Incident Response Plan in partnership with federal, state and local officials to be used in the 2020 Election Cycle (percentage completed).	0	100	75	100	NA
2	✔	☐	OP	Percent of funds distributed to County Recorders and Elections Directors through the HAVA Security Grants – 100% of funds distributed by June 30, 2020.	0	100	94	100	N/A
3	✔	☐	QL	Number of state and local officials who participated in election security table top exercise or other security trainings coordinated by SOS office.	52	120	160	N/A	120

◆ **Goal:** 5 To provide quality training, certification, and re-certification of election officials statewide in FY2020 and FY2022.

Performance Measures:

	ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1	✔	☐	IP	Number of election officers certified.	0	430	441	0	430
2	✔	☐	QL	Total combined hours of classroom training.	0	38	37	0	35

◆ **Goal:** 6 To ensure compliance with state and federal campaign finance laws and provide transparency for the public in terms of candidate and campaign filings.

Performance Measures:

	ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1	✔	☐	IP	Percent of Campaign Finance data available on-line.	100	100	100	0	100
2	✔	☐	OP	Percent of timely review and action on election law complaints.	100	100	100	0	100
3	✔	☐	IP	Number of Campaign Finance reports filed.	3913	9620	6676	0	6800
4	✔	☐	IP	Number of candidate, political action, and political party committees registered.	648	530	1077	0	1200
5	✔	☐	IP	Number of Standing Political Committees registered.	127	133	139	0	150

◆ **Goal:** 7 To efficiently receive and process candidate, initiative/referenda/recall, and new party petitions.

Performance Measures:

	ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1	✔	☐	IP	Number of candidate petitions received and processed (in thousands).	0	103.3	60	0	150
2	✔	☐	IP	Number of IRR petitions received and processed (in thousands).	137.2	200	145.1	0	200
3	✔	☐	IP	Number of IRR petition signatures processed for county recorder verification (in thousands).	1,017.2	1,250	1569.1	0	2500
4	✔	☐	IP	Number of new party petitions received and processed (in thousands).	0	44.7	0	0	50

◆ **Goal:** 8 To prepare for and respond to the coronavirus pandemic for the 2020 federal election cycle

Performance Measures:

			FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate

	ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
	ML	Budget	Type		Actual	Estimate	Actual	Estimate	Estimate
1	☑	☐	OP	Fund $5,000,000 in subgrants to Counties for response and preperation to the coronavirus pandemic for the 2020 federal election cycle	0	0	0	5,000,000	0
2	☑	☐	OP	Provide counties with 100% of personal protective equipment and sanitation supplies requested for voting and ballot processing facilities.	0	0	0	100	0
3	☑	☐	OP	Purchase and distribute ballot drop boxes to rural and tribal counties	0	0	0	45	0
4	☑	☐	OP	Assist counties with recruiting at least 1,600 pollworkers through sign up sheet on the Secretary of State's website.	0	0	0	1600	0
5	☑	☐	QL	Educate the public on voting options and how to vote safely during the pandemic, measured by number of impressions.	0	0	0	95,000,000	0

PROGRAM SUMMARY

Program:	STA 5 . 0 ARIZONA STATE LIBRARY, ARCHIVES, AND PUBLIC RECORDS
Contact:	Holly Henley, State Librarian
Phone:	(602) 542-6181
Statute:	A.R.S. §§ 41-151 through 41-151.24

Mission:

To provide Arizonans access to information about their government, their state, and their world by offering content in a variety of formats, preserving Arizona's history for future generations, and empowering local institutions to engage their communities in learning.

Description:

The Arizona State Library, Archives and Public Records Division collects, preserves, and provides access to materials relating to law, political science, economics, sociology, subjects pertaining to the theory and practice of government, genealogy, and Arizona history. The format of materials may vary. Access to collections is provided by the State Library through a general and legal reference service, a records management and archives program, a state and federal government documents depository program, a library development service, museums for educational purposes, and a service for persons who are visually or physically unable to use traditional print materials The State Library serves as the "state library administrative agency" with its Director given responsibility to accept and administer state and federal funds, including grants (A.R.S. 41-151.)

◆ **Goal:** 1 To preserve Arizona's history through the collection, storage, and digitization of permanent government records, publications, and artifacts.

Performance Measures:

	ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1	☑	☐	IP	New records received (linear feet/boxes-in thousands)	43.7	43.7	25.2	25	25
2	☑	☐	OP	Records processed (in thousands)	1.7	1.7	1.3	2	2
3	☑	☐	OP	Records cataloged (in thousands)	19.7	19.7	21.1	22	22
4	☑	☐	OP	State publications cataloged (in thousands)	3.5	3.5	4.8	4	4
5	☑	☐	OP	Federal publications cataloged (in thousands)	7.4	7.4	2.6	4	4
6	☑	☐	OP	Items digitized (in thousands)	49.4	49.4	66.1	51.6	51.6

◆ **Goal:** 2 To provide access for all Arizonans to government history, records, and library services through reference and consultation services, training, grant funding and educational resources.

Performance Measures:

	ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
1	☑	☐	OC	Archives and records materials used (in thousands)	53.2	53.2	66.4	65	65
2	☑	☐	OC	Physical library items used (in thousands)	333.2	333.2	365.2	332	332
3	☑	☐	OC	Online library items used (in thousands)	752.5	752.5	2664.9	2645	2645
4	☑	☐	OC	Online engagement (in thousands)	1,012.7	1,012.7	922.7	301.8	301.8
5	☑	☐	OC	Statewide database usage (in thousands)	9,700	9,700	12040.6	10010	10010
6	☑	☐	OP	Reference and consultations (in thousands)	108.7	109	65.2	65.1	65.1
7	☑	☐	OC	Visitors (in thousands)	79.9	79.9	96.2	96.2	96.2

	ML	Budget	Type		FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
8	☑	☐	OP	Museum school tours (in thousands)	20.9	21	11.6	20	20
9	☑	☐	QL	Public outreach and events (in thousands)	19	19	6	5.9	6.1
10	☑	☐	QL	Training and continuing education hours (in thousands)	43.3	43.3	29	27.8	27.8
11	☑	☐	OP	Grants administered (in hundreds)	104	105	195	120	100

Program:	4.0	ELECTION SERVICES
Contact:	Bo Dul, Director (602) 542-6167	
2nd Contact:		
Statute:	A.R.S. §§ 16-101 et seq.; 19-101 et seq.; 38-541 et seq.	

ML	Budget	Type	Performance Measure	FY 2019 Actual	FY 2020 Estimate	FY 2020 Actual	FY 2021 Estimate	FY 2022 Estimate
☑	☑	IP	Total voter registration	3,821,039	3,920,000	3,926,649	4,026,649	4,126,649

Agency 5-Year Plan

Issue 1   Ensure safe and secure elections.

Description: Following the 2016 Elections, officials, from the federal government to local municipalities, realized the work that needs to be done to ensure that the public has faith in our democratic institutions and to protect the integrity of the vote.

Solutions:

HAVA funds have made addressing this issue easier at the state and county level by providing much needed resources for the counties to enhance the security of their systems. We need to continue to explore what is needed to be done to protect from any vulnerabilities that might exist. Partnerships established through the policy academy, state, local, and federal entities have greatly enhanced our preparedness to respond to any threats we face. . Additionally, a priority for Election Day preparedness is to ensure that each county has a Threat Liaison Officer that coordinates communication and responses between local officials on the ground with the state and federal partners monitoring activity at the state and national level. These efforts will be on-going and continue beyond the 2020 Elections.

Issue 2   Pending litigation

Description: The Secretary of State's Office will always be at the center of litigation, whether it be challenging elections laws or dealing with notary complaints. There is a need to ensure that resources are available for support from attorneys in the Attorney General's Office and, for when there's a need, outside counsel.

Solutions:

Appropriate resources need to be made available to the Secretary of State for litigation expenses.

Issue 3   Upgrade and enhance the IT Systems for the Secretary of State's Office.

Description: In 2018, a Gartner Cyber Security Assessment revealed a multi-year plan to replace aging systems, enhance firewalls and other protections, and implement policies and procedures to ensure that the multiple divisions of the agency could keep up with security protocols intended to keep sensitive government systems operational and secure.

Solutions:

Follow the recommendations of the Gartner Assessment. This multi-year approach will bring the SOS up to date in terms of technology and security.

Issue 4   Meet current statutory obligations of administering statewide elections

Description: Given adequate funding and resources, the Secretary of State's office intends to adequately meet all current statutory obligations of administering statewide elections.

Solutions:

As required by the Arizona Constitution and Arizona Revised Statutes, the Secretary of State will accurately certify all ballot candidates, certify and canvass results of statewide elections in a timely manner, appropriately test and certify voting devices for use by counties, implement testing for logic and accuracy of counties' election equipment, responsibly certify initiatives and referenda for the ballot, publish and mail or email the publicity pamphlet to every household with a registered voter, seek to educate the voting public by conducting Town Halls in all fifteen counties on ballot measures, and provide pamphlets in Spanish and Native American translation.

Issue 5   Conduct outreach to communities that have historically low rates of voter registration and/or voting.

Description: The Secretary of State is committed to ensuring that all people who are eligible to vote have access to voter registration and to opportunities to cast one's ballot. A particular focus will be with Native American Communities throughout the state of Arizona, but there is also a focus on African American, Hispanic, youth, people with disabilities, rural communities, active duty military and overseas citizens, among others.

Solutions:

Continuing to expand efforts to reach these communities is a top priority. The Secretary has created an Advisory Committee to assist with this effort statewide, and the department wishes to expand its capacity for outreach through communications/public awareness and support staff who can work to support efforts in these communities.

Issue 6   Records Management

Description: The Archives and Records Management program is inefficient and unable to meet the state's current and future records management needs leading to increased costs and liabilities for government bodies due to lack of resources and outdated records management procedures. Storage of all the state government bodies paper and electronic records costs the state a significant amount of money per year and inefficient records management contributes to that cost.

Solutions:

As outline-d in A.R.S. 41-151.13, the agency will create a robust records management program that assists government bodies with managing their public records efficiently and effectively. With an effective Archives and Records Management program, overall storage costs will be reduced. The enhancedArchives and Records Management program will update and review retention schedules regularly, provide records disposition training to ensure unneeded records are being disposed of properly and consistently, and provide guidance for managing and storing digital records in accordance with industry standards. The updated records management program will help all levels of government save money and assist citizens with gaining access to public records in a timely manner. This work will require that the cash under the Records Services Fund is sufficiently appropriated to support the program operations as outlined in the fiscal year 2022 budget issue titled "Increase Records Services Fund Appropriation."

Issue 7   Build additional improvements in meeting our business services mandates

Description: The state of Arizona is working towards a One-stop-shop model of business development that will connect those wishing to do business in the state of Arizona with the Arizona Department of Revenue, the Arizona Corporation Commission and the Secretary of State's Office in one online portal.

Solutions:

The SOS will work with the Arizona Department of Administration to connect business systems. Resources will be required to build the underlying SOS system for the filing of trade names, trademarks, and limited partnerships, as well as the interface to the other state departments. The Business management system currently in use by the SOS is in need of replacement, but this will take an appropriation and investment of staff IT resources to implement and maintain.

Issue 8   Access & Inclusion

Description: Continue to develop services to facilitate access to resources, records and information for ALL Arizonans.

Solutions:

The agency will improve access to Arizona's underserved and unserved populations with a particular emphasis on training, digital inclusion, resource development, and user experience.

Issue 9   Resource Development

Description: Continue to seek outside funds for special projects, initiatives, and exhibits at the Libraries, Archives and Capitol Museum.

Solutions:

The State Library and Archives has raised over $61 million dollars in grant funds for Arizona cultural institutions and for its own services. Although general operating funds must come from governmental sources (state general fund and federal IMLS funds), private and other governmental funds will be sought for special projects, pilot projects, events and exhibits. The agency will seek new ways to expand fiscal resources and make more effective use of existing resources.

Issue 10   Preservation of Permanent Records

Description: Storage, Intellectual Control, and Access to the State of Arizona's permanent records will continue to demand increased resources. The Archives is challenged to meet statutory obligations with existing resources and staff. Even though most records are now created electronically, there is still an estimated 50 years' worth of permanent paper records held by state government bodies. While many state and local government bodies are implementing digitization programs, the cost of digitizing records to meet preservation standards can be higher than the cost of preserving the paper record. The digital records must meet a specified set of standards and disposition for ingest into the state archives' digital environment that ensures the long-term preservation and authenticity of the records.

Solutions:

Meet this challenge with a three-pronged approach: sufficient staffing with required expertise, a future Trusted Digital Repository to preserver digital information, and continued support to the environment and processes of the Archives that preserve and provide access to permanent records – analog and digital. Grow the staff of the Archives and Records Management to meet the records needs of the state at classificationlevels that can draw appropriate candidates. Provide long-term funding for trusted platforms to store and preserve digital information. Continue to invest in the Polly Rosenbaum building by adding high capacity shelving to house the incoming paper records.

Resource Assumptions

	FY2023 Estimate	FY2024 Estimate	FY2025 Estimate
Full-Time Equivalent Positions	0.0	0.0	0.0
General Fund	0.0	0.0	0.0
Other Appropriated Funds	0.0	0.0	0.0
Non-Appropriated Funds	0.0	0.0	0.0
Federal Funds	0.0	0.0	0.0