STATE OF WASHINGTON

PUBLIC DISCLOSURE COMMISSION

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October 16, 2014

TO: Commission Members
FROM: Andrea McNamara Doyle, Executive Director
SUBJECT: STRATEGIC PLAN PROGRESS REPORT

The Commission is scheduled to receive an update on 2013-15 strategic plan activities at the October 23 Commission meeting. At that time, the strategic plan performance measure results for fiscal year 2014 will also be reviewed. For your reference, attached is an executive summary of the most recent activity related to the strategic plan and a complete copy of the agency's strategic plan, including status updates and performance measures.

This agenda item will provide an opportunity for the Commission to revisit the relative priorities of remaining strategic plan action items and identify new targets for FY 15 performance measure results. I also plan to use this time at the meeting to begin a broader discussion about meaningful workload and performance measures for the Public Disclosure Commission.

Attachments: Executive summary of strategic plan progress report (October 2014)
2013-15 Strategic Plan, with October 2014 updates

Executive Summary of Strategic Plan Progress Report

October 2014

Critical Goals:

1. **Restore Commission and staff capacity to meet core functions.**

   - 2015-17 budget requests seek funding to implement innovative solutions to the PDC's need for IT network/system administration and support. Requested funding would provide for continued software licenses and maintenance agreements for key software as well as a technology intern program to fill the agency's unmet need for IT systems administration and network support. Improved backup and disaster recovery capability is also addressed in the decision package.

2. **Adopt a long-term, sustainable plan to deliver and maintain a state-of-the art system that meets our customers' needs and stays current with their evolving expectations.**

   - 2015-17 budget decision packages include requests to shift the PDC's IT infrastructure funding model from cyclical capital investments to stable and predictable operating expenses.
   - In an effort to improve the agency's IT governance, priority recommendations from IT assessment have been implemented, such as creating an IT project portfolio and software development lifecycle.
   - Chair Degginger met with legislative leaders and the Governor's senior budget advisors regarding the agency's budget decision packages.

Additional Goals:

3. **Increase the effectiveness of educational and compliance efforts.**

   - The F-1 requirements for disclosing investments and business ownership interests were reviewed to consider potential changes to laws and rules. Review and resulting recommendation resulted in rule making to adjust dollar amounts of current disclosure ranges A-E. Agency request legislation to implement some of the recommendations has been prepared and submitted for the 2015 session.
   - Amendments made to mini reporting rules.

- Handouts explaining lobbyist employer distributed at Secretary of State's charity/nonprofit symposiums.

4. **Improve the efficiency and effectiveness of enforcement efforts.**

   - Work has begun to create standard warning letters regarding lack of sponsor identification in advertising. Staff is also working on developing guidance for candidates who make false claims of incumbency.
   - Work on the Compliance & Enforcement Manual has progressed since the Commission was last updated in February 2014.
   - Informational brochure explaining the complaint investigation/enforcement process created and added to the PDC website.
   - Staff is working on developing tools that will make investigations more efficient in an effort to short the completion time. Staff is also continuing efforts to better utilize penalty factors when developing penalty recommendations.

5. **Adapt the Commission's methods of receiving and distributing data to the changing technological environment in which we and our customers operate.**

   - Internal work group formed to begin drafting the request for proposal for website development and production.
   - 2015 agency-request bills include proposed amendments that will enable the elimination of signature cards. Staff has begun exploring options to allow PDC users to create secure accounts that may be connected to PDC filing applications.
   - Evaluated whether some or all information from F-1s should be made available online.

Public Disclosure Commission
Shining Light on Washington Politics Since 1972

Public Disclosure Commission
2013-15 Strategic Plan
October 2014 Progress Report

Mission Statement

The Public Disclosure Commission was created and empowered by Initiative of the People to

- provide timely and meaningful public access to accurate information about the financing of political campaigns, lobbyist expenditures, and the financial affairs of public officials and candidates, and
- ensure compliance with and equitable enforcement of Washington's disclosure and campaign finance laws.

Vision Statement

We are dedicated to ensuring and enhancing public confidence in the political process and government.

Statutory Authority

The Public Disclosure Commission is created pursuant to RCW 42.17A.100. The Commission's powers and duties are set forth in RCW 42.17A.050, 42.17A.105, 42.17A.110, 42.17A.755 and other provisions of Ch. 42.17A RCW.

CRITICAL GOALS

1. Restore Commission and staff capacity to meet core functions.

1.1 In the short term, identify staffing and resources needed to restore lost capacity in IT, audit, investigative, outreach, policy, and oversight functions.

Who: Executive management team, Commissioners
When: June 2014, in time for Commission review prior to budget decision package deadline (September 2014)

STATUS: Budget decision packages have been developed and submitted for the 2015-17 biennium reflecting the agency's IT strategic plan objectives of getting out the utility-based IT infrastructure and services business and employing innovative solutions to the PDC's need for IT network/systems administration and support. Specific items in the packages address 1.1 and 1.2 by requesting funding to continue software licenses and maintenance agreements for key software; and funding to support a technology intern program to fill unmet need for IT systems administration and network support. Other items in the packages request ongoing funding to move much of PDC's IT infrastructure to the state data center and to migrate other aspects of our operations to a cloud-based system, both of which will provide improved backup and remove disaster recovery capabilities.

1.2 Obtain supplemental budget appropriations for currently unfunded IT maintenance and network administration expenses (e.g., expired and expiring licensing/support agreements, and IT network administration staff position).

Who: Executive Director, Chief Technology Officer, Commissioners
When: June 2014, in time for Commission review prior to budget decision package deadline (September 2014)

STATUS: See 1.1.

1.3 Secure remote disaster recovery services and seek stable funding for retention of same.

Who: Executive Director, Chief Technology Officer, Commissioners

When: Session 2014

STATUS: See 1.1.

2. Adopt a long-term, sustainable plan to deliver and maintain a state-of-the art system that meets our customers' needs and stays current with their evolving expectations.

2.1 Develop a six-year plan for investing in and paying for IT infrastructure (hardware and software capital, O&M, and replacement) that will deliver a robust, user- friendly interface with our filers and the public.

Who: Executive Director, Chief Technology Officer, Commissioners
When: June 2014 in time for Commission review prior to budget decision package deadline (September 2014)

STATUS: PDC's budget decision packages include requests to shift how many elements of PDC's IT infrastructure are funded, from cyclical capital investments to stable and predictable operating expenses. This includes moving certain hardware and software to the state data center and paying on a consistent fee-for-service basis (eliminating PDC ownership and maintenance responsibilities for capital assets), changing to a leasing model for personal computers (eliminating the periodic capital "refresh" costs of upgrading agency desktop and laptop computers); replacing PDC's unsupported telephone infrastructure with a cloud-based service that is managed by a third party (eliminating PDC ownership and maintenance responsibilities for capital assets) and purchasing new customer service/case management services and digital outreach-communications services to improve the PDC customer experience with more user-friendly and informative online options for connecting with PDC.

2.2 Develop a forward-looking list of technology projects that recognizes the changes in campaign practices and the ways in which the public seeks and consumes data.

Who: Executive management team
When: June 2014

STATUS: PDC has begun implementing some of the priority recommendations from our IT assessment, which included using an IT project portfolio and software development lifecycle (SDLC) to improve the agency's IT Governance. The project portfolio is a tool to assist in the management, tracking and prioritization of development projects. SDLC is a best practice that will result in better upfront evaluation of the scope of new IT projects, including the long-term maintenance and operation implications, before development begins. As ideas for new technology projects arise to recognize changes in campaign practices and the ways in which the public seeks and consumes data, the projects will be vetted and prioritized through the portfolio and SDLC processes. Adopting these best practices will initially increase the time required to complete new applications and projects, but will also dramatically improve quality and end-user satisfaction, as well as improve the long-term sustainability of the projects.

2.3 Commissioners meet with legislative leaders and policy and fiscal committee members as needed.

Who: Commission Chair and/or Vice Chair, Executive Director, General Counsel
When: As warranted.

STATUS: Chair Degginger met in September and October with legislative leaders and the Governor's senior budget advisers regarding PDC's 2015-17 biennial budget requests.

ADDITIONAL GOALS

3. Increase the effectiveness of educational and compliance efforts.

3.1 Seek out opportunities to coordinate/collaborate with partners who support PDC's educational efforts to improve compliance with disclosure requirements.

Who: Communications & Training Officer, Outreach staff
When: List of potential opportunities by end of March 2014.

3.2 Re-engage with Secretary of State and County auditors to provide immediate, automated notification of PDC requirements to candidates upon submission of declarations of candidacy.

Who: Communications & Training Officer
When: Start late February 2014.

3.3 Create an online virtual learning center with content for campaigns, lobbyists, and other filers to gain immediate, on-demand access to answers for the most common questions.

Who: Communications & Training Officer, Chief Technology Officer, Outreach & IT Staff
When: Complete planning of content by June/July 2014 (Goal 2.2); Implementation dependent upon resources (Goal 1)

3.4 Locate existing videos in areas of website that are easier for users to find and access.

Who: Outreach Staff
When: December 2013.

STATUS: Done.

3.5 Update printed materials (e.g., manuals & brochures) to make more inviting, easier to use for all audiences, and to encourage voluntary electronic filing (even when not required).

Who: Communications & Training Officer; Communications Consultant
When: Brochures completed by December 2013; Manuals by March 2014.

STATUS: Done. Brochures reformatted, hyperlinks added to annuals and brochures, annotated forms added to manuals, etc.

3.6 Review F-1 requirements to consider changes to laws and rules concerning: reporting thresholds ($2,000 & $10,000 thresholds); type and manner of reporting investments (stock values & mutual funds, short-term vs. long-term holds, highest value vs snapshot in time); and the nature and extent of reporting business ownership interests.

Who: General Counsel, Communications & Training Officer, Commission
When: Start April 2014, to complete by September 2014 deadline for submitting agency-request legislation.

STATUS: Done. Filer work group convened to review specified filing requirements. The work group's recommendations were presented to the Commission in June 2014. Rule making underway to adjust dollar amounts of current disclosure ranges A-E. Agency request legislation to implement some of the recommendations has been prepared and submitted for the 2015 session.

3.7 Evaluate the feasibility of using a short form for certain local F-1 filers.

Who: General Counsel, Communications & Training Officer, Commission
When: Start April 2014, to complete by September 2014 deadline for submitting agency-request legislation.

STATUS: Done. The evaluation was part of the work group's (see 3.6) review. Based on the results of the evaluation, PDC's agency-request legislation does <u>not</u> include a proposal for a short form for local filers.

3.8 Review mini-reporting rules, procedures, and related outreach in order to reduce the number of campaigns that seek to switch from mini to full reporting (because incorrect or inappropriate reporting option was originally selected) and improve the process for those that do.

Who: Executive Director, Communications & Training Officer, Lead Political Finance Specialist
When: Start Summer 2014. Finalize by December 2014.

STATUS: Rule making to amend mini reporting rules completed May 2014. Staff is surveying candidates and campaigns who have switched options in the past to determine what additional outreach efforts are needed.

3.9 Begin targeted outreach to potential lobbyist employers to let them know of lobbyist filing requirements.

Who: Communications & Training Officer, Outreach Staff
When: Fall 2014

STATUS: Handout explaining requirements created and distributed at Secretary of State's October and November 2013 charity/nonprofit symposiums.

3.10 Implement reference manual task force to discuss its use, audience and expansion in order to improve staff's ability to provide timely and consistent guidance based on prior research and advice. Determine new indexes, and grouping schemes.

Who: Communications & Training Officer, Outreach & Compliance staff
When: Create staff work group by October 2013; Meet quarterly through 2014 to identify and implement tasks.

4. Improve the efficiency and effectiveness of enforcement efforts.

4.1 Enhance and adopt guidance for alternative responses to non-compliance (e.g., technical assistance, warning/advisory letters, notices of correction, etc.) and amend regulations accordingly.

Who: Executive Director, Director of Compliance, General Counsel, Sr. Assistant Attorney General
When: Spring 2014

STATUS: Developing guidance for candidates making false statements of incumbency. Developing standard warning letters for candidates failing to include sponsor identification in political advertising.

4.2 Create a Compliance and Enforcement Manual.

Who: Compliance Coordinator, Director of Compliance, Executive Director, General Counsel, Sr. Assistant Attorney General
When: Underway, draft to Commission spring 2014

STATUS: Continuing progress in developing Compliance and Enforcement Manual.

4.3 Prepare an informational brochure to better inform Complainants, Respondents, and the public about the complaint investigation/enforcement process.

Who: Compliance Coordinator, Director of Compliance, Executive Director
When: Begin November 2013 for completion by January 2014.

STATUS: Done. Completed and posted to PDC website in January 2014.

4.4 Continue streamlining process for conducting formal investigations and bringing cases to conclusion, including use of subpoena, preparation of Reports of Investigation and Notice of Administrative Charges, preparation of "Minor Action" letters or formal dismissals, and recommendations for enforcement actions.

Who: Director of Compliance, Executive Director, Sr. Assistant Attorney General
When: Ongoing

STATUS: Staff has been discussing ways to create more comprehensive investigative plans earlier in each investigation in an effort to make investigations shorter and more efficient. Staff has also been continuing its efforts to better utilize the penalty factors outlined in WAC 390-37-182 when developing penalty recommendations.

5. Adapt the Commission's methods of receiving and distributing data to the changing technological environment in which we and our customers operate.

5.1 Overhaul/modernize the agency's website using responsive design to improve usability across a range of mobile platforms.

Who: Chief Technology Officer and IT staff
When: 6 months post funding/contracting

STATUS: The Executive Team has created an internal staff work group to begin developing the requirements for a request for proposals (RFP) to hire a vendor to assist with gathering stakeholder input, and then designing and building a new website for the PDC.

5.2 Explore options to modernize the signature card process in a way that provides secure verification of filer identities without the need to mail a physical signature card.

Who: Chief Technology Officer, Communications & Training Officer, Commission
When: Staff to develop plan with options for presentation to Commission by February 2014. Implement per Commission direction.

STATUS: The Commission has included in its agency-request legislation for 2015 proposed amendments to the places in Chapter 42.17A RCW that require reports to be "signed" by the filer. Staff has been exploring available alternatives such as using the State of Washington's Secure Access Washington as a platform for PDC filers to establish secure accounts that could then be connected to PDC filing applications.

5.3 Modify/Create more online applications and specialized widgets to push data out to the public without users needing to come to our website.

Who: Chief Technology Officer, IT Staff
When: Identify list of options for Commission consideration by January 2014; implement as time and resources allow.

5.4 Create more user-friendly online forms and/or applications and make them available through more platforms.

Who: Chief Technology Officer & IT Staff, Communications & Training Officer & Filer Assistant Specialists, Commission
When: Identify list of options for Commission consideration by January 2014; implement as time and resources allow (per funding in Goals 1 & 2); possible rulemaking required by Commission.

5.5 Evaluate, through a pro-active stakeholder process, whether the Commission should begin posting on-line some or all information from candidate and annual F-1 forms and, if limited information from F-1s is to be posted, how to accomplish that in a technologically feasible manner and within available resources.

Who: Communications & Training Officer, Communications Consultant, Chief Technology Officer

When: Reach out to affected associations, media, and legislative caucuses by January 2014. Report back by Commission retreat for 2014.

STATUS: Done. Stakeholder engagement concluded June 2014. Staff recommendations presented to Commission during August 2014 retreat. "Request an F-1" button added to website.

5.6 Identify and seize opportunities to encourage all filers to move to electronic filing, even when not required.

Who: Communications & Training Officer, Outreach Staff, Compliance Staff
When: Develop workplan by January 2014

5.7 As resources allow, modify current online filing systems for Lobbyists and Lobbyist Employers to parse L-2 and L-3 detailed information into searchable database.

Who: Chief Technology Officer, Application Developer, Solutions Developer, Quality Assurance Manager
When: Dependent upon resources.

6. Expand the size of the audience that is aware of the PDC's mission and that accesses PDC data and information.

6.1 Develop partnerships with existing civic organizations and voter registration efforts to include information about the PDC in relevant activities/curriculum/publications.

Who: Communications & Training Officer, Executive Team, Commission
When: Prepare list of potential partnership opportunities by January 2014 to target during 2014; Add to performance measures

STATUS: Initial list of partnership opportunities developed November 2013.

6.2 Expand the agency's use of social media to reach new, younger audiences.

Who: Communications & Training Officer; Communications Consultant
When: Incorporate planning with 2.2, to be implemented as resources allow

6.3 Produce public service announcements, op-ed articles, and other promotional material, to increase public awareness and use of the PDC's website and data.

Who: Communications & Training Officer; Executive Director
When: Ongoing

Performance Measures – FY 2014

GOAL 3: *Increase the effectiveness of educational and compliance efforts*			
Performance Measures	**FY 13 Actual**	**FY 14 Target**	**FY Actual**
Percentage of candidates, political committees, lobbyists, and public officials who meet statutory filing deadlines.	98.42%	100%	98%
Number of new training videos produced.	N/A	3	0
Number of in-house training classes conducted and number of attendees trained.	26/249	30/286	29/306
Number of external training/outreach opportunities attended (live or via videoconference) and number of attendees reached.	10/412	18/600	11/448
GOAL 4: *Improve the efficiency and effectiveness of enforcement efforts*			
Performance Measure	**FY 13 Actual**	**FY 14 Target**	**FY Actual**
Percentage of candidates, political committees, lobbyists, and public officials who meet statutory filing deadlines.	98.42%	100%	98%
Percentage of complaints that are triaged within 2 weeks of receipt (i.e., returned, acknowledged for additional info, or opened as formal investigation)	36%	90%	53%
Percentage of routine investigations completed within 90 days.	N/A	85%	100%

Percentage of moderately complex investigations completed within six months.	50%	90%	50%
Percentage of complex investigations completed within 12 months.	33%	90%	33%
GOAL 5: *Adapt the Commission's methods of receiving and distributing data to the changing technological environment in which we and our customers operate*			
Performance Measure	**FY 13 Actual**	**FY 14 Target**	**FY Actual**
Percentage of report pages processed • Electronically • Manually	 81% 19%	 90% 10%	 81% 19%
Average number of days from receipt of electronically filed campaign reports to posting on web site.	<1	<1	<1
Average number of days from receipt of paper filed campaign reports to posting on web site	<1	<1	<1
Percentage of lobbyists filing reports • Electronically • On paper	 65% 35%	 70% 30%	 65% 35%
Percentage of lobbyist employers filing reports • Electronically • On paper	 23% 77%	 25% 75%	 22% 78%
Percentage of state agencies filing lobbying reports • Electronically • On paper	 40% 60%	Effective Jan 2014, all state agencies are required to file electronically	
Percentage of local agencies file lobbying reports • Electronically • On paper	 23% 77%	 30% 70%	 29% 71%
GOAL 6: *Expand the size of the audience that is aware of the PDC's mission and that accesses PDC data and information*			
Performance Measures	FY 13 Actual	FY 14 Target	FY 14 Actual
Number of unique			

visitors to PDC website & number of visits	93,228*/ 286,310*	125,000/ 300,000	92,343 240,581
Number of references to PDC website/data appearing in on-line news publications	414	500	279
Number of web-users who "like" PDC Facebook page	325	500	487

* The PDC uses Google Analytics to calculate these statistics. Google Analytics calculates website users and visitors at 80,241 and 240,664, respectively, for FY13. We are not able to determine the cause of the discrepancy due to staff changes in the last fiscal year.