

RESTRUCTURING & SEVEN-YEAR PLAN

Office of the Secretary of State

Date of Submission: March 31, 2015

Please provide the following for this year's Restructuring and Seven-Year Plan Report.

	Name	Date of Hire	Email
Agency Director	Mark Hammond Secretary of State Constitutional Officer	Elected Official	mhammond@sos.sc.gov
Previous Agency Director	N/A		

	Name	Phone	Email
Primary Contact:	Melissa Dunlap, Chief of Staff & General Counsel	734-2157	mdunlap@sos.sc.gov
Secondary Contact:	LaToria Williams, Director of Administration	734-1723	lwilliams@sos.sc.gov

Is the agency vested with revenue bonding authority? (re: Section 2-2-60(E))	No.
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I have reviewed and approved the enclosed 2015 Restructuring and Seven-Year Plan Report, which are complete and accurate to the extent of my knowledge.

Current Agency Director
(Sign/Date):

(Type/Print Name):

Mark Hammond

If applicable, Board/Commission Chair
(Sign/Date):

(Type/Print Name):

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EXECUTIVE SUMMARY

I. Executive Summary

A. Historical Perspective

1. Please complete the **Historical Perspective Chart**. In the Excel document attached, there is a template to complete under the tab labeled, "Historical Perspective." In this chart the Committee is asking the agency to provide a bullet style list of any major changes in the agency's purpose or mission and any restructuring that occurred (i.e., combining with or taking on other agency responsibilities, etc.) during the last ten years.

B. Purpose, Mission and Vision

1. Please complete the **Purpose/Mission/Vision Chart**. In the Excel document attached, there is a template to complete under the tab labeled, "Purpose, Mission." The other specifics are included in the template.

C. Key Performance Measure Results

1. After completing the Key Performance Measurement Processes Section of this Report, please come back to this question and provide a summary of the results (bullet style results only, explanations should be included in the Key Performance Measurement Processes Section).

Mission Effectiveness

- Volume of filings
- Length of time between filing and data entry
- Turnaround time for filings
- Administrative fines from enforcement of Solicitation of Charitable Funds Act

Mission Efficiency

- Data monitored daily by supervisors
- Ensure employees meet expectations
- Ongoing training

Quality (Customer Satisfaction)

- Provide walk-in service, mail service, and online services
- Corporate phone room staffed for customer inquiries
- All divisions respond to customer emails sent via website
- Each division and management responds to customer inquiries and provides assistance via calls, emails, letters and meetings

Workforce Engagement

- Length of employment
- Ability to perform numerous functions in the office
- Professional development seminars and training

Operational/Work System Performance

- Recent launch of the State Boards and Commissions database
- Award winning Uniform Commercial Code application
- Enhancement of Charities database to accommodate recent statutory changes and provide online filing for raffles
- Currently working on an online corporate filing, search and retrieval application that will provide customers with even more online filing opportunities

ORGANIZATIONAL PROFILE

II. Organizational Profile

This section asks for a fact based description of the agency. Please provide information in the stated Excel template. If an Excel template is not referenced, provide the information in bullet style.

1. The agency's main deliverables (i.e., products or services) and the primary methods by which these are provided;
 - a. Complete the **Key Deliverables Chart**. In the Excel document attached, there is a template to complete under the tab labeled, "Key Deliverables."
2. The agency's key customers and their requirements and expectations;

- a. Complete the **Key Customers Chart**. In the Excel document attached, there is a template to complete under the tab labeled, "Key Customers;"
3. The agency's key stakeholders (other than customers);
 - a. Complete the **Key Stakeholders Chart**. In the Excel document attached, there is a template to complete under the tab labeled, "Key Stakeholders;"
4. Other state agencies which have the biggest impact on the agency's mission success;
 - a. Complete the **Key Partner Agency Chart**. In the Excel document attached, there is a template to complete under the tab labeled, "Key Partner Agencies."
5. The agency's performance improvement system(s);

The office continues to improve operations by automating as many functions as possible and by providing superior customer service. The Secretary of State's Office continues the process of placing data on its website to allow customers direct access to current and historical information.

Through our online charities filing system, Uniform Commercial Code (UCC) online filing, search and retrieval system, South Carolina Business One Stop (SCBOS), Notary search, and online State Boards and Commissions application, the office continues to offer e-government opportunities to our customers. During the next fiscal year, the office will continue to increase online options to further enhance our ability to serve our customers.

The Business Filings Division will continue its customer service phone room to assist customers with information, and document orders will be available online within the next three months for even greater turnaround time for business filings requests.

6. The agency's organizational structure in flow chart format; see organization profile.
7. Details about the body to whom the Agency Head reports;
 - a. Complete the **Overseeing Body Chart**. In the Excel document attached, there is a template to complete under the tab labeled, "Overseeing Body-General" and "Overseeing Body-Individual Member."
8. Please complete the **Major Program Areas Chart**. In the Excel document attached, there is a template to complete under the tab labeled, "Major Program Areas."
9. Please identify any emerging issues the agency anticipates may have an impact on its operations in the upcoming five years.

As society moves forward in the use of technology, the Secretary of State continues to increase its online offerings to customers across the state. Although Secretary Hammond

remains committed to offering in-person customer service, he recognizes that more and more citizens are using the internet to conduct business and obtain information. At the same time, he understands the need for security measures to keep pace with the cyber threats that are becoming all too common in our rapidly advancing world.

To this end, the Secretary of State has continued to build on the online search and filing systems that have been implemented in the past few years. During FY 2013-2014, the Secretary of State's Office worked toward developing an online State Boards and Commissions Database. In addition, the Secretary of State initiated a project to upgrade and enhance the online charities filing system.

The office is currently in the process of changing the way business entities file, search and retrieve corporate documents. In FY 2013-2014, Secretary Hammond began the Corporations online filing, search and retrieval project. The agency's email was migrated to Office 365 during FY 2013-2014. In addition, staff worked in conjunction with SC Business One Stop (SCBOS) on a forms and website update project for SCBOS customers. Continuous updating is provided on the agency website, including form revisions as well as the creation of new forms, such as for Benefit Corporations. Enhancements were made to the UCC online filing system to integrate the latest IACA specifications. With voters' approval of a constitutional amendment to legalize nonprofit raffles and its subsequent ratification by the General Assembly, customers will be able to file using phase one of the charitable raffles application beginning in April 2015.

Disaster recovery remains a top priority for the office. The Secretary of State's Office is the repository of permanent state records. Image digitization and conversion of microfilm to protect permanent state records continues to be a priority as the office moves toward total digitization of records.

With the emphasis on new cyber security requirements, the office is working aggressively under the guidance of the Division of Information Security to implement the new security initiatives put forth for all state agencies. A primary focus during FY 2013-2014 was striving to meet the new requirements of the state's InfoSec policies for security. This focus will continue in FY 2014-2015.

ORGANIZATIONAL PROFILE

III. Laws (Statutes, Regulations, Provisos)

This section asks for state and federal statutes, regulations and provisos (“Laws”) which apply to the agency.

1. Please complete the **Legal Standards Chart**. In the Excel document attached, there is a template to complete under the tab labeled, “Legal Standards.” In this Chart, please list all state and federal statutes, regulations and provisos that apply to the agency (“Laws”). The other specifics are included in the template.

IV. Reports and Reviews

This section asks for information about reports the agency is required to submit to a legislative entity and the agency’s internal review process.

1. Please complete the **Agency Reporting Requirements Chart**. In the Excel document attached, there is a template to complete under the tab labeled, “Agency Reporting Requirements.” In this Chart, please list all reports, if any, the agency is required to make to a legislative entity. The specifics as to each report are included in the template.
2. Please complete the **Internal Audit Chart**. In the Excel document attached, there is a template to complete under the tab labeled, “Internal Audits.”

RESTRUCTURING REPORT

V. Key Performance Measurement Processes

This category examines the agency's performance and improvement in key areas. Performance levels are examined relative to those of competitors and other organizations providing similar programs and services. Information is typically displayed by the use of performance measures. Quantitative measures may be supplemented by a discussion of qualitative measures where appropriate; however, every effort should be made to use appropriate quantitative measures that can be charted to show trends and comparisons to benchmarks.

Address only top-level results showing aggregate measures of agency-wide performance that are reflective of the value added to customers. Please include comparative data as applicable. These results are typically captured in performance goals and planning documents. When determining which processes are "key processes" consider the business impacts, and select those processes that are most important to the customer (both internal and external) to satisfy their requirements and/or those processes with problem areas identified by management.

Note: Results information (i.e., each chart, graph, table) reported for this category should be referenced to the specific question number (Ex. Chart 5.1-1, Graph 5.1-2, Table 5.1-3). The third digit identifies the sequential position of the specific chart, graph or table included in the agency's responses to each questions.

For each performance measurement included in response to the questions on the next page under Subsection A, please provide the following information:

- a. The performance goal(s)/benchmark(s) for the overall process output, and/or critical activities that produce the output.
 - i. Three agency/government entities in other states or non-government entities the agency considers the best in the country in this process or similar process and why.
 - ii. If the agency did not use results from an entity the agency listed in response to "i" as a performance goal/benchmark, why not and why did the agency choose the goal/benchmark it did?
 - iii. Individual(s) who are not employed by the agency (government or non-government, located anywhere in the country) whom the agency considers an expert in the process or similar process and their contact information, or if deceased, name of books authored.
- b. List the senior leaders who review the performance measure, their title and frequency with which they monitor it.
- c. Trends the agency has seen and the method by which it analyzes trends in these results.
- d. Whether the agency has reasonable control over this result (i.e., more than 50% or enough to be able to influence and accurately measure the result).
 - i. If the agency does not have reasonable control over this result, the other one or more agencies, who when combined with the agency, together have reasonable control over the result and names of those other agencies.

RESTRUCTURING REPORT

V. Key Performance Measurement Processes (cont.)

A. Results of Agency's Key Performance Measurements

Mission Effectiveness

1. What are the agency's actual performance levels for two to four of the agency's key performance measurements for mission effectiveness (i.e., a process characteristic indicating the degree to which the process output (work product) conforms to statutory requirements (i.e., is the agency doing the right things?))?

The Office of the Secretary of State strives to provide the most efficient, innovative, and cost-effective means of registering, administering, maintaining, and disseminating filed information. Additionally, the office regulates public charities to educate and offer protection to the public. The Secretary of State's Office strives to provide excellent customer service while efficiently and effectively fulfilling its statutory obligations.

The actual performance levels for the performance measurements for the number of filings, the turnaround time for filings and the average time it takes to serve or customers are to meet or exceed the statutory requirements. While all duties of the office are mandated by statute, the primary focus of the office is customer service.

In FY 2013-2014, the office processed over 78,000 Uniform Commercial Code filings and over 63,000 corporate filings. The charities division processed over 27,000 filings. The average turnaround time for mailed in filings for UCC is 24 hours. For corporate filings the goal is 48 hours. This rate varies by the volume received in any given week. For the charities filings, the goal is also 48 hours. In addition to the time to process mailed-in filings, we offer online services to expedite the process. UCC filing, search and retrieval are available online as are the filings for the charities division. Many corporate filings are available online through our partnership with SCBOS. The office is also currently working on an online corporate filing, search and retrieval process that will be available in 2016. Furthermore, we also serve walk-in customers daily while they wait with no expedited fees.

There are no other entities that perform the same duties as this office. Other Secretary of State's Offices perform some of the duties, but not all. Likewise, some Secretary of State's Offices have duties that this office does not currently have.

The senior leaders who review these measures are the directors of the business filings and charities division along with Secretary Hammond and the Chief of Staff. Leadership staff analyzes trends for heaviest filing dates by review of filing data throughout the year and from year to year. The office cannot control the number of filings, but by analyzing filing trends, management makes adjustments in staff needed to meet the deadlines. The office has implemented cross training across divisions to effectively respond to these trends.

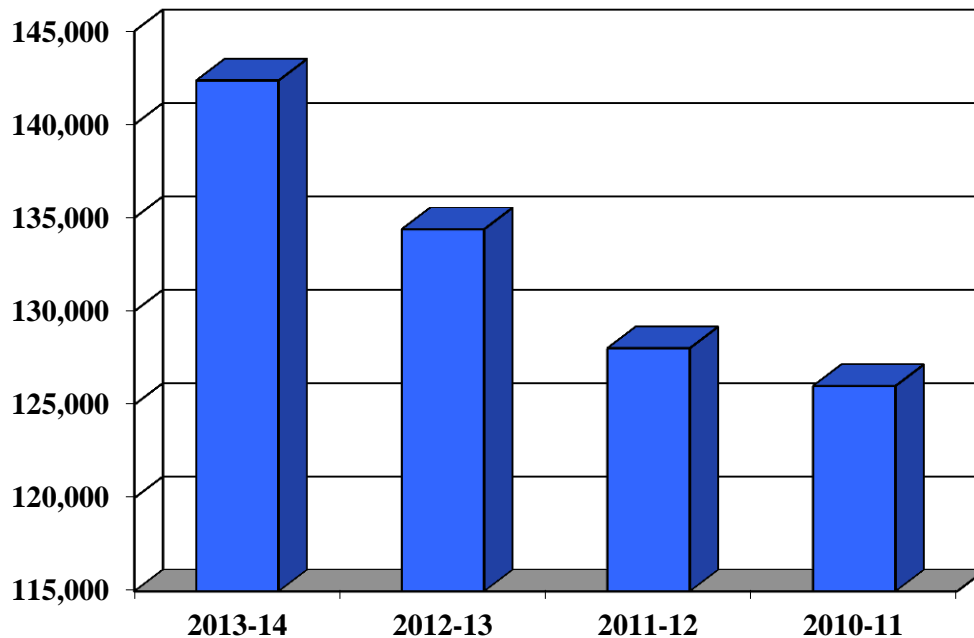
Office Filings: Table 5.1.1

Agency Division	Work Processes	Processed in FY 2013-2014
Business Filings	UCC Filings	78,658
	Corporate Filings	63,686
	Copy Work Requests	22,381
Public Charities	Charity Registrations & Financial Reports	17,801
	Charity Financial Report Extensions	5,723
	Professional Fundraiser Registrations	1,751
	Fundraiser Contracts & Financial Reports	1,984
	Payroll Deduction Applications	494
Notaries	Notary Applications	14,211
	Apostilles and Authentications	9,379
	Boards & Commissions Appointments	994
	Other Oaths & Commissions	592
	Transcript Bonds	36
Municipalities	Annexation Filings	198
	Special Purpose District Filings	2
	Cable Franchise Filings	16
	Employment Agency Applications	156
	Business Opportunity Applications	79
Trademarks	Trademark & Service Mark Registrations	769
Service of Process	Service of Process Requests	635

Does the agency already provide the information requested on this page, or similar information, in a report required by another entity? If yes, add the appropriate information to the **Similar Information Requested Chart**. If the agency looks in the Excel document attached, there is a template for the agency to complete for any questions which ask for the same information under the tab labeled, "Similar Info Requested."

Of all of the divisions in the Secretary of State's Office, the Business Filings Division processes the most filings each year. The following graph illustrates how these filings have increased over the past four years:

Total Business Filings from FY 2010-2011 to FY 2013-2014: Graph 5.1.2



Mission Efficiency

2. What are the agency's actual performance levels for two to four of the agency's key performance measurements for mission efficiency (i.e., a process characteristic indicating the degree to which the process produces the required output at minimum resource cost (i.e., is the agency doing things right?)) including measures of cost containment, as appropriate?

We monitor workloads by division, as well as by processing times. Supervisors are responsible for notifying senior management of work flow statuses in weekly reports. These reports tell us where our greatest needs are and allow us to reallocate resources to areas with the greatest workload to ensure efficient processing of documents.

In order to achieve mission efficiency, we track each employee individually. This data is reviewed by division directors and senior management. Employees are monitored daily by their supervisors and meetings are held regularly to discuss progress and any obstacles in meeting division goals.

Based on the number of filings, errors, rejections, and returns per employee, the supervisors ensure that staff is working as efficiently as possible to meet the mission of the office. Training is provided routinely, and if any areas of concern are identified, those issues are addressed immediately.

The senior leaders who review this performance are the Secretary, division directors and the Chief of Staff. Again, we are a constitutional office with duties mandated by statute. There are no other entities to compare the office to because different Secretary of State's Offices have varied duties.

Quality (Customer Satisfaction)

3. What are the agency's actual performance levels for two to four of the agency's key performance measurements for quality (i.e., degree to which a deliverable (product or service) meets customer requirements and expectations (a customer is defined as an actual or potential user of the agency's products or services)) for the agency as a whole and for each program listed in the agency's Major Program Areas Chart?

The primary measure we use to gauge customer satisfaction is daily feedback from our customers. Many customers come to our office in person to file documents, place calls to the business filings call center, and visit our website. The office strives to respond to all customer requests within 24 hours and provide access to any member of the management team if needed.

In addition to the feedback we receive from our telephone and walk-in customers, we also have a contact and feedback form and survey on the agency website to encourage customer feedback.

Staff members receive several hundred messages through this means every month. Messages are routed by department and staff in each division reviews these requests daily. Managers randomly review all requests to incorporate common requests into the business plan.

Senior leadership who review these performance measures includes the Secretary of State, the Chief of Staff & General Counsel and the division directors. There are no other agencies to compare this constitutional office with because different Secretary of State's Offices have varied duties.

Workforce Engagement

4. What are the agency's actual performance levels for two to four of the agency's key performance measurements for workforce engagement, satisfaction, retention and development of the agency's workforce, including leaders, for the agency as a whole and for each program listed in the agency's Major Program Areas Chart?

Our key measures for employee satisfaction are length of employment, employee turnover, and the ability to perform numerous functions in the office.

Length of employment is an important measure as it indicates loyalty to the office, level of job satisfaction and morale. Long-time employees also provide the office with a high degree of institutional knowledge. Such a large number of long-time employees indicates that there is a high level of job satisfaction and morale in our office. However, we must keep this constantly in mind and provide the most positive work environment possible.

To promote a positive work environment, senior management has sponsored numerous employee appreciation events. Senior leadership has implemented an open door policy to facilitate communication with all staff. The majority of the staff is cross-trained in several duties. With the small number of staff and the many duties of the office, cross training is imperative in order to meet the goals of excellent customer service and in order to fulfill the statutory mandates. There is a desire to learn and contribute to the office's mission as a whole.

The senior leaders who review this performance are the Secretary, division directors and the Chief of Staff. Again, we are a constitutional office with duties mandated by statute. There are no other entities to compare the office to because different Secretary of State's Offices have varied duties.

Operational/Work System Performance

5. What are the agency's actual performance levels for two to four of the agency's key performance measurements for operational efficiency and work system performance (includes measures related to the following: innovation and improvement results; improvements to cycle or wait times; supplier and partner performance; and results related to emergency drills or exercises) for the agency as a whole and for each program listed in the agency's Major Program Areas Chart?

The Office of the Secretary of State has one major program area which is administration. We are constantly seeking ways to improve the customer service experience. To that end, we have recently launched our State Boards and

Commissions database, which provides current information on all state boards and commissions on the website. The UCC application has won state, national and international awards.

The office is currently working on an online corporate filing, search and retrieval application that will provide customers with even more online filing opportunities. Providing these innovative services is always a challenge given the size of our office and limited funding.

The senior leaders who review this performance are the Secretary, division directors and the Chief of Staff. Again, we are a constitutional office with duties mandated by statute. There are no other entities to compare the office to because different Secretary of State's Offices have varied duties.

RESTRUCTURING REPORT

V. Key Performance Measurement Processes (cont.)

B. Most Critical Performance Measures

1. Of the key performance measurement processes listed in Subsection A., which are the three most critical to achieving the overall mission of the agency?

The three most critical key performance measurements are mission effectiveness, customer satisfaction (quality) and workforce engagement.

All duties of the Office of the Secretary of State are mandated by statute. Our primary measure is always customer satisfaction. Our desired performance level for this measure is 100%. All measures directly relate to our mission of providing the most cost efficient and consumer friendly service in state government.

Some performance measures utilized are:

- 48-hour turnaround for business filing documents
- Maintaining a high ratio of funds returned to the state compared to funds used for the operation of the office
- Effective administration and enforcement of the Solicitation of Charitable Funds Act
- Investigation of all reported trademark violations

C. Databases/Document Management

1. List all electronic databases/document management/business intelligence systems or programs utilized by the agency, including, but not limited to all relational database management systems.
 - Corporations
 - UCC (not maintained by office)
 - Charities
 - Notaries
 - Authentications and Apostilles
 - Boards and Commissions
 - Trademarks/Live Stock Brands
 - Special Purpose Districts
 - Summons

- Business Opportunities
- Annexations
- Discount Drug Card Sellers
- Employment Agencies
- Municipalities
- Revenue Tracking
- SCSOS (website)
- Report Server

D. Recommended Restructuring

Consider the process taken to review the agency's divisions, programs and personnel to obtain the information contained in response to all the previous questions in the Restructuring Report ("Process").

1. Yes or No, based on the information obtained and analysis performed during the Process, does the agency have any recommendations for restructuring (either that it could do internally or that would need the assistance of revised or new legislation) that would merge or eliminate duplicative or unnecessary divisions, programs, or personnel within each department of the agency to provide a more efficient administration of government services? No.
 - a. If yes, please provide the agency's suggestions. N/A

SEVEN-YEAR PLAN

VI. Seven-Year Plan

A. General

1. Yes or No, does the agency have a plan that provides initiatives and/or planned actions the agency will take during the next seven fiscal years that implement cost savings and increased efficiencies of services and responsibilities in order to continually improve its ability to respond to the needs of the state's citizens? Yes.
If yes, go to Current/Recommended Actions Section.
If no, skip Current/Recommended Actions Section and go to Additional Questions.

B. Current/Recommended Actions

1. Describe all of the actions the agency is currently taking and plans it has for initiatives and actions during the next seven fiscal years to work to achieve greater efficiency in its operations in order to continually improve its ability to respond to the needs of the state's citizens? In this description, provide the names of all personnel who are responsible for overseeing the actions and plans.

The office has launched the State Boards and Commission project that has greatly improved efficiency for staff and the public, as well as members of legislative delegations seeking information on state board and commission terms. The office is currently working on a corporations online filing, search and retrieval process that will allow our business filings customers to file documents online. This will achieve greater efficiency for the customer and for the office. In addition, we will be adding additional online services in other areas of the office. We hope to provide the following additional online services in the near future:

- Agency Website Update
- Cable Franchise Authority Database
- Trademarks Database

The following personnel are responsible for overseeing the actions and plans for these projects:

- Mark Hammond, Secretary of State
- Melissa Dunlap, Chief of Staff & General Counsel

- Larry Hubbard, Director of Information Technology
 - Jody Steigerwalt, Director of Business Filings
2. What are the anticipated cost savings and/or efficiencies that would be achieved by each action? Anticipated cost savings and/or efficiencies include lower costs for network services, reduced staffing requirement for public access, and cross training of staff in all areas.
 3. Is legislative action required to allow the department/agency to implement the current or recommended actions? No legislation is required.
 4. If legislative action is required, please explain the constitutional, statutory or regulatory changes needed. N/A
 5. Describe the agency actions that will be implemented to generate the desired outcomes for each recommendation. The office is constantly seeking ways to provide more online services to our customers. Requests are made for funding to permit the office to provide more online functions. However, with the limited budget and size of staff, we must prioritize the order of services to be offered. We try to implement online functionality that will have the biggest impact on our customers.
 6. What is the timeline for implementation of the change and realization of the anticipated benefits for each recommended action/change?

We anticipate the online Corporations File, Search and Retrieval project to be completed in 2016. We are currently working with SCI on this project. Revisions to the office's website are also planned. Additional online services we plan to offer include searchable databases for cable franchise authorities and trademarks that are available to the public.

Now go to Additional Questions.

SEVEN-YEAR PLAN

VI. Seven-Year Plan (cont.)

C. Additional Questions

1. What top three strategic objectives of the agency will have the biggest impact on the agency's effectiveness in accomplishing its mission?
 - Improving the customer service experience
 - Increasing online applications offered to the public
 - Improving IT security and staying current with technology
2. What are the fundamentals required to accomplish the objectives?
 - Training and maintaining qualified personnel
 - Adequate funding to provide the online applications to the customers
 - Infrastructure to ensure security and provide technology initiatives
3. What links on the agency website, if any, would the agency like listed in the report so the public can find more information about the agency? All information about the office and online services currently offered may be found at www.sos.sc.gov.
4. Is there any additional information the agency would like to provide the Committee or public? Yes. The Office of the Secretary of State has a staff of thirty who are committed to doing the following:
 - Provide responsive and efficient customer service while fulfilling those duties set forth by the General Assembly for the benefit of all South Carolinians.
 - Provide the technology infrastructure and solutions for the efficient operation of the office to serve customers in the most efficient manner.
 - Enhance transparency of public charities in South Carolina to provide citizens with the best possible information when contributing funds to a charitable organization, and ensure that complaints about charities and professional fundraisers are resolved in an effective and timely manner.

The office performs the many statutory duties with a small budget and only 30 employees. With statutory compliance and customer satisfaction as its primary goals, the office functions efficiently and effectively. There are no other agencies that duplicate the services that this constitutional office provides.

5. Consider the process taken to review the agency's divisions, programs and personnel to obtain the information contained in response to all the previous questions in the Restructuring Report and Seven-Year Plan ("Process"). State the total amount of time taken to do the following:
 - a. Complete the Process: a week
 - b. Complete this Report: a week
6. Please complete the **Personnel Involved Chart**. In the Excel document attached, there is a template to complete under the tab labeled, "Personnel Involved." Please list the name of all personnel at the agency who were consulted or performed work to obtain the information utilized when answering the questions in the Restructuring and Seven-Year Plan Report and their title and their specific role in answering the question (i.e., searched the agency documents, asked for information because they are in charge of the department, etc.).

Does the agency already provide the information requested on this page, or similar information, in a report required by another entity? If yes, add the appropriate information to the Similar Information Requested Chart . If the agency looks in the Excel document attached, there is a template for the agency to complete for any questions which ask for the same information under the tab labeled, "Similar Info Requested."
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CHARTS APPENDIX

VII. Excel Charts

Please send an electronic copy of the entire Excel Workbook and print hard copies of each of the Charts to attach here. Please print the charts in a format so that all the columns fit on one page. Please insert the page number each chart begins on below.

Similar Information Requested Chart _____ *Page Number 20*

Historical Perspective Chart _____ *Page Number 21*

Purpose, Mission Chart _____ *Page Number 22*

Key Products Chart _____ *Page Number 23*

Key Customers Chart _____ *Page Numbers 24-25*

Key Stakeholders Chart _____ *Page Numbers 26-28*

Key Partner Agency Chart _____ *Page Number 29*

Overseeing Body Chart (General and Individual Member) _____ *Page Numbers 30-31*

Major Program Areas Chart _____ *Page Number 32*

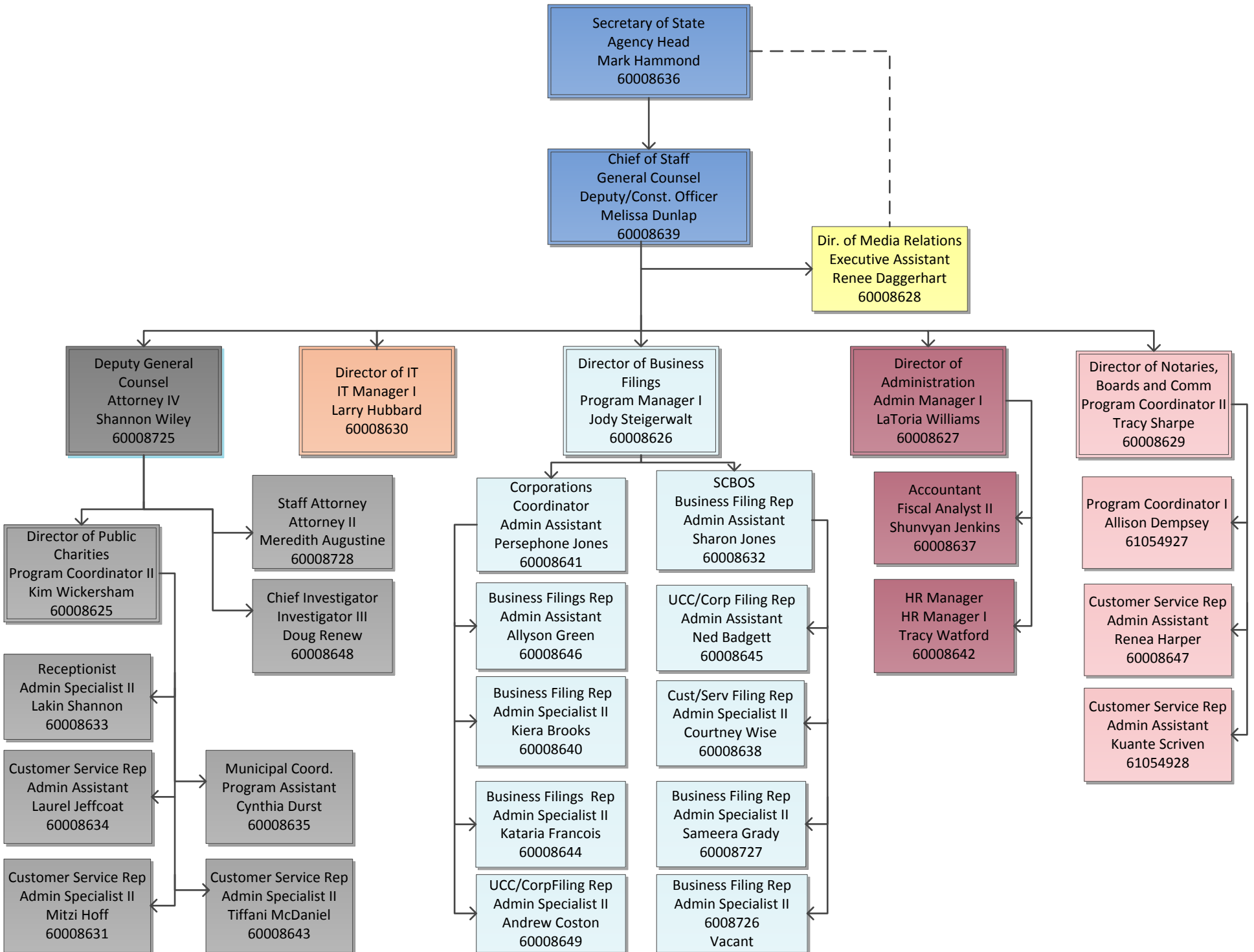
Legal Standards Chart _____ *Page Numbers 33-34*

Agency Reporting Requirements Chart _____ *Page Number 35*

Internal Audits Chart _____ *Page Number 36*

Personnel Involved Chart _____ *Page Number*

Does the agency already provide the information requested on this page, or similar information, in a report required by another entity? If yes, add the appropriate information to the **Similar Information Requested Chart**. If the agency looks in the Excel document attached, there is a template for the agency to complete for any questions which ask for the same information under the tab labeled, "Similar Info Requested."



Agency Name: Secretary of State
Agency Code: E08
Agency Section:96

Similar Information Requested Chart

INSTRUCTIONS: Please provide details about other reports which investigate the information requested in the Restructuring Report. This information is sought in an effort to avoid duplication in the future. In the columns below, please list the question number in this report, name of the other report in which the same or similar information is

Agency Submitting Report	Restructuring Report Question #	Name of Other Report	Section of Other Report	Entity Requesting Report	Freq. Other Report is Required
Secretary of State	Section II. 1-9	Accountability Report 2012-2013	Section II. 1-4, 9, and Major Program Areas Chart	Executive Budget Office	Annually
Secretary of State	Section V. 1-5	Accountability Report 2012	Section III.	Executive Budget Office	Annually

INSTRUCTIONS: Please provide information about any restructuring or major changes in the agency's purpose or mission **during the last ten years.** NOTE: Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Year	Description of Restructuring that Occurred	Description of Major Change in Agency's Purpose or Mission
Secretary of State	2015	Additional Duties	Regulation and Enforcement of Nonprofit Raffles
Secretary of State	2014-2015 Appropriations Act	Additional Duties	Filing of Scholarship Funding Organizations/Independent School Audits
Secretary of State	2013	Additional Duties	High Growth Small Business Job Creation Act (Angel Investors) Registration of Qualified Businesses
Secretary of State	2012	Additional Duties	Filing of Benefit Corporations
Secretary of State	2006	Additional Duties	Filing of Cable Franchise Authority

INSTRUCTIONS: Provide information about the date the agency, in its current form, was initially created and the present purpose, mission and vision of the agency, with the date each were established in parenthesis. The Legal Standards Cross Reference column should link the purpose, mission and vision to the statutes, regulations and provisos listed in the Legal Standards Chart, which they satisfy.

Agency Submitting Report	Date Agency created	Purpose	Mission	Vision	Legal Standards Cross References
Secretary of State	South Carolina Constitution 1895	The Office of the Secretary of State is mandated by the South Carolina Code of Laws to serve as the state filing office for business corporations, nonprofit corporations, limited partnerships, limited liability partnerships and limited liability companies, as well as for all Uniform Commercial Code Article 9 Secured Transaction filings. The Secretary of State also serves as the agent for service of process for business entities that do not have authority to transact business in South Carolina, or who do not maintain a registered agent in this state. In addition to business filings, the Secretary of State's Office examines and files state trademarks, maintains the state notary public database, and issues commissions for elected officials and those appointed by the Governor. The Secretary of State's Office is also responsible for issuing all statewide cable franchises and serves as the repository for several types of municipal filings. The office handles the incorporation of municipalities and special purpose districts, the annexations of land, and the escheatment of real property in South Carolina. Finally, the Secretary of State's Office regulates charitable organizations, professional fundraisers, nonprofit raffles, business opportunities and employment agencies.	The mission of the Office of the Secretary of State is to provide innovative technology to enhance the process of accurately maintaining, preserving and making available essential records to fulfill its statutory duties, while providing prompt, efficient, and courteous customer service. Additionally, the Secretary of State remains dedicated to serving the citizens of South Carolina through enforcement of the Solicitation of Charitable Funds Act.	To continue to provide innovative technology to enhance the process of accurately maintaining, preserving and making available essential records to fulfill its statutory duties, while providing prompt, efficient, and courteous customer service.	Purpose: Mission: Vision: <ul style="list-style-type: none">• Business Filings-Corporations and Nonprofits: SC Code §33-1-101, et seq.• Uniform Commercial Code: SC Code §36-9-101, et seq.• Solicitation of Charitable Funds Act: SC Code §33-56-10, et seq.• Notary Public and Apostilles: SC Code §26-1-5, et seq.• State Boards & Commissions: SC Code §1-1-1301, et seq.• Trademarks: SC Code §39-15-10 et seq.• Municipal Incorporations: SC Code §5-1-10, et seq.• Special Purpose Districts: SC Code § 6-11-335 et seq.• Service of Process: SC Code §15-9-245, et seq.• Cable Franchise Authority: SC Code §58-12-5, et seq.• Employment Agencies: SC Code §41-25-10, et seq.• Business Opportunities: SC Code §39-57-10, et seq.• Charitable Raffles: SC Code §33-57-100, et seq.• Escheatment of Real Property: SC Code § 27-19-10, et seq.• Qualified Businesses: SC Code §11-44-60

INSTRUCTIONS: Provide information about the agency's key deliverables (i.e. products or services); primary methods by which these are delivered; and, as applicable, actions that may reduce the general public and/or other agencies initial or repetitive need for the deliverable. List each deliverable on a separate line. If there are multiple ways in which the deliverable is provided, list the deliverable multiple times with each delivery method on a separate line. In the "Three Greatest" column, indicate and rank the three most significant deliverables the agency brings to the people of South Carolina with #1 being the most significant. For the deliverables which are not one of three most significant, do not put anything in this column. The Major Program Areas Cross References Column should links the deliverable to the major program area, in the Major Program Areas Chart, within which that product or service is provided. NOTE: Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Item #	Deliverable (i.e. product or service)	Three Most Significant (#1, #2, #3)	Primary Method of Delivery	What can be done to reduce the general public and/or other agencies initial need for this deliverable? (i.e. preventive measures before the citizen or agency needs to come to the agency)	What can be done to reduce the general public and/or other agencies need to return for this deliverable? (i.e. preventive measures to ensure they do not need to come back to the agency for this service or product after already receiving it once)	If deliverable is identified as one of the three most significant, what would allow the agency to focus on it more?	Major Program Areas Cross Reference
Secretary of State	1	Business Filings-Corporations and Nonprofits: SC Code §33-1-101, et seq.	#1: Business Filings-Corporations and Nonprofits: SC Code §33-1-101, et seq.	Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration
Secretary of State	2	Uniform Commercial Code: SC Code §36-9-101, et seq.	#2: Uniform Commercial Code: SC Code §36-9-101, et seq.	Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration
Secretary of State	3	Solicitation of Charitable Funds Act: SC Code SC Code §33-56-10, et seq.	#3: Solicitation of Charitable Funds Act: SC Code §33-56-10, et seq.	Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration
Secretary of State	4	Notary Public and Apostilles: SC Code §26-1-5, et seq.		Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration
Secretary of State	5	State Boards & Commissions: SC Code §1-1-1301, et seq.		Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration
Secretary of State	6	Trademarks: SC Code §39-15-10 et seq.		Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration
Secretary of State	7	Municipal Incorporations: SC Code §5-1-10, et seq.		Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration
Secretary of State	8	Special Purpose Districts: SC Code § 6-11-335 et seq.		Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration
Secretary of State	9	Service of Process: SC Code §33-44-1204, et seq.		Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration
Secretary of State	10	Cable Franchise Authority: SC Code §58-12-5, et seq.		Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration
Secretary of State	11	Employment Agencies: SC Code §41-25-10, et seq.		Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration
Secretary of State	12	Business Opportunities: SC Code §39-57-10, et seq.		Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration
Secretary of State	13	Charitable Raffles: SC Code §33-57-100, et seq. (upon ratification of Act 102 of 2013)		Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration
Secretary of State	14	Escheatment of Real Property: SC Code § 27-19-10, et seq.		Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration
Secretary of State	15	Qualified Businesses: SC Code §11-44-60		Direct to Customer	All duties are mandated by statute.	All duties are mandated by statute.	All duties are mandated by statute. The office continually strives to meet all statutory requirements.	Administration

INSTRUCTIONS: Provide information about the key customer segments identified by the agency and each segment's key requirements/expectations. A customer is defined as an actual or potential user of the agency's deliverables. Please be as specific as possible in describing the separate customer segments (i.e. do not simply put "public.") The Deliverables Cross References column should link customer groups to the deliverable listed in the Key Deliverables Chart, which they utilize. NOTE: Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Item #	Customer Segments	Requirements/Expectations	Deliverables Cross References
Secretary of State	1	Taxpayers	Fulfilling statutory requirements and providing efficient customer service, including providing up-to-date services to enhance the user experience and increase efficiency both internally and externally.	Items #1-15
Secretary of State	2	The Business Community	Fulfilling statutory requirements and providing efficient customer service, including providing up to date services to enhance the user experience and increase efficiency both internally and externally.	Items #1-15
Secretary of State	3	The Legal Community	Fulfilling statutory requirements and providing efficient customer service, including providing up to date services to enhance the user experience and increase efficiency both internally and externally.	Items #1-15
Secretary of State	4	The Banking Community	Fulfilling statutory requirements and providing efficient customer service, including providing up to date services to enhance the user experience and increase efficiency both internally and externally.	Items #1, 2, & 4
Secretary of State	5	Corporate Service Companies	Fulfilling statutory requirements and providing efficient customer service, including providing up to date services to enhance the user experience and increase efficiency both internally and externally.	Items #1 & 2
Secretary of State	6	Notaries Public	Fulfilling statutory requirements and providing efficient customer service, including providing up to date services to enhance the user experience and increase efficiency both internally and externally.	Items #4

Key Customers Chart

Secretary of State	7	Charities	Fulfilling statutory requirements and providing efficient customer service, including providing up to date services to enhance the user experience and increase efficiency both internally and externally.	Items #3 & 13
Secretary of State	8	Professional Fundraisers	Fulfilling statutory requirements and providing efficient customer service, including providing up to date services to enhance the user experience and increase efficiency both internally and externally.	Items #3 & 13
Secretary of State	9	Commercial Co-Ventures	Fulfilling statutory requirements and providing efficient customer service, including providing up to date services to enhance the user experience and increase efficiency both internally and externally.	Items #3 & 13
Secretary of State	10	Employment Agencies	Fulfilling statutory requirements and providing efficient customer service, including providing up to date services to enhance the user experience and increase efficiency both internally and externally.	Items #11
Secretary of State	11	Local and State Government	Fulfilling statutory requirements and providing efficient customer service, including providing up to date services to enhance the user experience and increase efficiency both internally and externally.	Items # 1-10 & 13-14

INSTRUCTIONS: Provide information about the agency's key stakeholder groups and their key requirements and expectations. A stakeholder is defined as a person, group or organization that has interest or concern in an agency. Stakeholders can affect or be affected by the agency's actions, objectives and policies. Please be as specific as possible in describing the separate stakeholder groups (i.e. please do not simply put "the public.") The Deliverables Cross References column should link stakeholder groups to the deliverable, listed in the Key Deliverables Chart, for which they group has the most interest or concern. NOTE: Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Item #	Stakeholder Group	Requirements/Expectations	Deliverables Cross References
Secretary of State	1	Taxpayers	Fulfilling statutory requirements and providing efficient customer service, including providing up-to-date online services and enhance the user experience and increase efficiency both internally and externally.	Items #1-15
Secretary of State	2	The Business Community	Fulfilling statutory requirements and providing efficient customer service, including providing up to date online services and enhance the user experience and increase efficiency both internally and externally.	Items #1-15
Secretary of State	3	The Legal Community	Fulfilling statutory requirements and providing efficient customer service, including providing up to date online services and enhance the user experience and increase efficiency both internally and externally.	Items #1-15
Secretary of State	4	The Banking Community	Fulfilling statutory requirements and providing efficient customer service, including providing up to date online services and enhance the user experience and increase efficiency both internally and externally.	Items # 1, 2, & 4

Secretary of State	5	Corporate Service Companies	Fulfilling statutory requirements and providing efficient customer service, including providing up to date online services and enhance the user experience and increase efficiency both internally and externally.	Items #1 & 2
Secretary of State	6	Notaries Public	Fulfilling statutory requirements and providing efficient customer service, including providing up to date online services and enhance the user experience and increase efficiency both internally and externally.	Item #4
Secretary of State	7	Charities	Fulfilling statutory requirements and providing efficient customer service, including providing up to date online services and enhance the user experience and increase efficiency both internally and externally.	Items #3 &13
Secretary of State	8	Professional Fundraisers	Fulfilling statutory requirements and providing efficient customer service, including providing up to date online services and enhance the user experience and increase efficiency both internally and externally.	Items #3 &13
Secretary of State	9	Commercial Co-Ventures	Fulfilling statutory requirements and providing efficient customer service, including providing up to date online services and enhance the user experience and increase efficiency both internally and externally.	Items #3 &13
Secretary of State	10	Employment Agencies	Fulfilling statutory requirements and providing efficient customer service, including providing up to date online services and enhance the user experience and increase efficiency both internally and externally.	Item #11

Agency Name: Secretary of State
Agency Section: 96
Agency Code: E08

Key Stakeholder Chart

Secretary of State	11	Local and State Government	Fulfilling statutory requirements and providing efficient customer service, including providing up to date online services and enhance the user experience and increase efficiency both internally and externally.	Items # 1-10 & 13-14
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INSTRUCTIONS: List the names of the other state agencies which have the biggest impact on the agency's mission success (list a minimum of three); partnership arrangements established and performance measures routinely reviewed with the other entity. The Major Program Areas Cross References Column should link the Partner Agency to the major program area, in the Major Program Areas Chart, on which it has the biggest impact. NOTE: Responses are not limited to the number of rows below that have borders around them, please list all that are applicable and a minimum of three.

Agency Submitting Report	Agency w/ Impact on Mission Success	Partnership Arrangement Established	Performance Measures Routinely Reviewed Together	Major Program Areas Cross Reference
Secretary of State	South Carolina Department of Revenue	South Carolina Code of Laws mandates exchange of information.	Number of new entity creations.	I. Administration
Secretary of State	South Carolina Business One Stop	The Secretary of State is an original partner in the creation of SCBOS and the office continues to work daily with SCBOS.	Number of transactions through SCBOS.	I. Administration

INSTRUCTIONS: Provide information about the body that oversees the agency and to whom the agency head reports including what the overseeing body is (i.e. board, commission, etc.); total number of individuals on the body; whether the individuals are elected or appointed; who elects or appoints the individuals; the length of term for each individual; whether there are any limitations on the total number of terms an individual can serve; whether there are any limitations on the number of consecutive terms an individual can serve; and any other requirements or nuances about the body which the agency believes is relevant to understanding how the agency performs and its results.

Agency Submitting Report	Type of Body (i.e. Board, Commission, etc.)	# of Times per Year Body Meets	Total # of Individuals on the Body	Are Individuals Elected or Appointed?	Who Elects or Appoints?	Length of Term	Limitations on Total Number of Terms	Limitations on Consecutive Number of Terms	Challenges imposed or that Agency staff and the Body have faced based on the structure of the overseeing body	Other Pertinent Information
Secretary of State	N/A Constitutional Officer									
Secretary of State	Member of Executive Department Pursuant to SC Code §1-1-110, et seq.									

INSTRUCTIONS: Provide information about the individual members on the body that oversees the agency including their name, contact information, length of time on the body, profession and whether they are a Senator or House Member. The Major Program Areas Cross References Column should link the individual to the major program area, in the Major Program Areas Chart, in which the individual has a particular influence, if any, by way of serving on a subcommittee within the body, task force, etc. NOTE: Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Name of Individual on Body	Contact Information	Profession	Date First Started Serving on the Body	Last Date Served on the Body	Length of Time on the Body (in years)	Senator or House Member? (put Senate or House)	Major Program Areas Cross Reference
Secretary of State	N/A							

INSTRUCTIONS: Provide information about the agency's Major Program Areas as those are defined in the Appropriations Act. When completing columns B - K, the agency can copy and paste the information the agency submitted in the Program Template of the FY 2013-14 Accountability Report, just make sure of the following:

a) List only the programs that comprise at least 80% of the total budget and include the % of total budget. The remainder of the programs should be "listed ONLY" in the box labeled "Remainder of Programs", with those program expenditures detailed in the box labeled "Remainder of Expenditures." If the agency has trouble understanding what is requested, refer to the 2012-13 Accountability Report, Section II, number 11.

b) The "Associated Objective(s)" column in the Program Template of the FY 2-13-14 Accountability report has been changed to "Key Performance Measures Cross References." The Key Performance Measures Cross References column should link major programs to charts/graphs in the Key Performance Measurement Processes Section (ex. Chart 5.2-1 or Graph 5.2-2). If the agency has trouble understanding what is requested, refer to the 2012-13 Accountability Report, Section II, number 11; and

c) An additional column, titled "Legal Standards Cross References," has been added at the end. The Legal Standards Cross Reference column should link major programs to the statutes, regulations and provisos listed in the Laws Section of this report, which they satisfy.

Included below is an example, with a partial list of past Major Program Areas from the Department of Transportation. The example does not include information in the columns under expenditures, key performance measures cross reference, legal standards cross references or remainder of expenditures, however the agency must complete these columns when submitting this chart in final form. Please delete the example information before submitting this chart in final form. NOTE: Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Note:
-Key Performance Measures Cross References Column links major programs to the charts/graphs in the Key Performance Measurement Processes Section of the Restructuring Report.
-Legal Standards Cross References Column links major programs to the statutes, regulations and provisos they satisfy which are listed in the Laws Section of the Restructuring Report.

Agency Submitting Report	Program/Title	Purpose	FY 2012-13 Expenditures				FY 2013-14 Expenditures				Key Performance Measures Cross Reference	Legal Standards Cross References
			General	Other	Federal	TOTAL	General	Other	Federal	TOTAL		
Secretary of State	I. Administration	This program encompasses corporate and UCC filings, charity and professional fundraiser regulations, administration of notary, trademark, annexation, special purpose districts, municipal incorporation, cable franchise laws, and other statutory duties. This program also provides administrative direction, control and support for the agency.	26% = \$578,451	56.5% = \$1,253,750	0%	82.5% of \$2,220,582	27% = \$659,767	55% = \$1,333,750	0%	82% of \$2,422,762	5.1-1 and 5.1-2	Items #1-21

Remainder of Programs: List any programs not included above and show the remainder of expenditures by source of funds.

Remainder of Expenditures:	% of Total Budget	% of Total Budget	% of Total Budget	% of Total Budget	% of Total Budget	% of Total Budget	% of Total Budget	% of Total Budget
Employee Benefits	11.4% = \$252,043	6.1% = \$136,338	0%	17.5% of \$2,220,582	12% = \$292,907	6% = \$136,338	0%	18% of \$2,422,762

INSTRUCTIONS: List all state and federal statutes, regulations and provisos that apply to the agency (“Laws”) and a summary of the statutory requirement and/or authority granted in the particular Law listed. Included below is an example, with a partial list of Laws which apply to the Department of Juvenile Justice and Department of Transportation. The agency will see that a statute should be listed again on a separate line for each year there was an amendment to it. Please delete the example information before submitting this chart in final form. NOTE: Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Item #	Statute/Regulation/Provisos	State or Federal	Summary of Statutory Requirement and/or Authority Granted
Secretary of State	1	Business Filings-Corporations and Nonprofits: SC Code §33-1-101, et seq.	State	Creation and amendments to business entities and nonprofits
Secretary of State	2	Uniform Commercial Code: SC Code §36-9-101, et seq.	State	Filing UCC documents and conducting searches
Secretary of State	3	Solicitation of Charitable Funds Act: SC Code §33-56-10, et seq.	State	Enforcement of Solicitation of Charitable Funds Act
Secretary of State	4	Notary Public and Apostilles: SC Code §26-1-5, et seq.	State	Notary and Apostille filings
Secretary of State	5	State Boards & Commissions: SC Code §1-1-1301, et seq.	State	State Boards & Commissions: monitoring, commissioning, providing information
Secretary of State	6	Trademarks: SC Code §39-15-10 et seq.	State	Filing of state trademarks and service marks
Secretary of State	7	Municipal Incorporations: SC Code §5-1-10, et seq.	State	Incorporation of new municipalities
Secretary of State	8	Special Purpose Districts: SC Code § 6-11-335 et seq.	State	Reporting requirements for special purpose districts
Secretary of State	9	Service of Process: SC Code §15-9-245, et seq.	State	Secretary of State as agent for service of process
Secretary of State	10	Cable Franchise Authority: SC Code §58-12-5, et seq.	State	Issuance of cable franchise authority
Secretary of State	11	Employment Agencies: SC Code §41-25-10, et seq.	State	Filing and renewal of license for employment agencies
Secretary of State	12	Business Opportunities: SC Code §39-57-10, et seq.	State	Registration and renewal of Business opportunities
Secretary of State	13	Nonprofit Raffles: SC Code §33-57-100, et seq.	State	Enforcement of nonprofit raffle legislation
Secretary of State	14	Escheatment of Real Property: SC Code § 27-19-10, et seq.	State	Notice and processes for land escheated to the state by death of property owner
Secretary of State	15	Qualified Businesses: SC Code §11-44-60	State	High Growth Small Business Job Creation Act
Secretary of State	16	113-200 Municipal Corporations	State	Outlines requirements for the incorporation of municipalities
Secretary of State	17	113-300 Uniform Real Property Recording Act	State	Outlines procedures for the electronic filing of real property records
Secretary of State	18	95.1 (SS: UCC Filing Fees)	State	Revenues from the fees raised pursuant to Sections 36-9-525(a), not to exceed \$180,000, may be retained by the Secretary of State for purposes of UCC administration.
Secretary of State	19	95.4 (SS: Charitable Funds Act Disclosure Violations)	State	The Secretary of State shall refer to the Attorney General for investigation under Section 33-56-145 of the Solicitation of Charitable Funds Act any person who is alleged to have violated the mandatory disclosure requirements of Section 33-56-90 of the Act, and who has been fined \$10,000 or more for those violations.

Secretary of State	20	95.5 (SS: Charitable Funds Act Misrepresentation Violations)	State	The Secretary of State shall refer to the Attorney General for investigation under Section 33-56-145 of the Solicitation of Charitable Funds Act any person who is alleged to have violated the misrepresentation provisions of Section 33-56-120 of the Act, and who has been fined \$10,000 or more for those violations.
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INSTRUCTIONS: List all reports, if any, the agency is required to submit to a legislative entity. Beside each include the following under the appropriate column: a) Name of the report; b) Legislative entity that requires the report; c) Law(s) that require the agency to provide the report; d) Stated legislative intent (from legislative entity, statute, regulation or other source) in providing the report; e) Frequency with which the report is required (i.e. annually, monthly, etc.); f) Approximate year the agency first started providing the report; g) Approximate cost to complete the report and any positive results from completing and submitting the report; and h) Method by which the agency receives, completes and submits the report (i.e. receive via emailed word document; log into or open program, enter data and click submit; etc.). Included below are examples of reports the agency may have to submit. The example does not include information in the columns under # of staff needed to complete the report; approx. total amount of time to complete the report and approx. total cost to complete the report, however the agency must complete these columns when submitting this chart in final form. Please delete the example figures before submitting this chart in final form, unless it applies to the agency, in which case ensure the information about those reports is complete. NOTE: Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Item #	Report Name	Legislative Entity Requesting Report	Law Requiring Report	Stated Intent of Report	Year First Required to Complete Report	Reporting Freq.	# of Days in which to Complete Report	Month Report Template is Received by Agency	Month Agency is Required to Submit the Report	Cost to Complete Report			Positive Results of Reporting	Method in which Report Template is Sent to Agency (i.e. via email;	Format in which Report Template is Sent to Agency	Method in which Agency Submits Completed Report (i.e. email; mail; click submit on web based form; etc.)	Format in which Agency Submits Completed Report (word, excel, pdf)
											# of Staff Members Needed to Complete Report	Approx. Total Amount of time to Complete Report	Approx. total Cost to Agency to Complete (considerin g staff time, etc.)					
Secretary of State	1	Restructuring Report	House Legislative Oversight Committee	1-30-10(G)(1)	Increased Efficiency	2015	Annually?	26	March	March	4	8 Days	3,033	TBD	Email	Word and Excel	Email and Hardcopy	Word and Excel
Secretary of State	2	Accountability Report	Executive Budget Office	1-1-820, Proviso 117.31	Accountability Reporting	?	Annually	52	July	September	4	14 Days	5,307	Yes	Email	Word and Excel	Email and Hardcopy	Word and Excel and PDF
Secretary of State	3	Restructuring Report	Senate Oversight Committee	1-30-10(a)	Increased Efficiency	2015	Annually?	60	November	January	2	5 Days	1,895	TBD	Email	Word and Excel	Email and Hardcopy	Word
Secretary of State	4	High Growth Small Business Jobs Creation Act	House Ways & Means, Senate Finance, & the Governor	11-44-60	List of qualified businesses from prior year	2014	Annually	Due 1-31	N/A	January	1	2 Days	705	Required by Statute	Email	N/A	Mail	Mail Hardcopy
Secretary of State	5	Agency Fines and Fee Report	Chair of Senate Finance and House Ways & Means	Proviso 117.79	Accountability & Transparency	2012	Annually by Proviso	30	N/A	September	1	1 Day	380	N/A	Proviso	Proviso	Website & Hardcopy	Word & PDF
Secretary of State	6	Agency Debt Collection Report	Executive Budget Office	Proviso II 7.37	Report Outstanding Debt	?	Annually by Proviso	30	January	March	1	1 Hour	50	N/A	Email	Word	Email	Word
Secretary of State	7	Other Funds Survey	Revenue and Fiscal Affairs & Executive Budget Office		Survey Other funds	2012	Annually	30	October	November	1	1 Hour	50	N/A	Email	Excel	Email	Excel

INSTRUCTIONS: Identify the agency's internal audit system and policies during the past five fiscal years including the date the agency first started performing audits; individuals responsible for hiring the internal auditors; individuals to whom internal auditors report; the head internal auditor; general subject matters audited; the individual or body that makes decision of when internal audits are conducted; information considered when determining whether to conduct an internal audit; total number of audits performed in the last five fiscal years; # of months it took for shortest audit; # of months for longest audit; average number of months to complete an internal audit; and date of the most recent Peer Review of Self-Assessment by SC State Internal Auditors Association or other entity (if other entity, name of that entity).

Note: All audits are not the result of suspicious activity or alleged improper actions. Often times regular audits are required by statute regulation or an agency's standard operating procedure simply as a method of ensuring operations are staying on track.

Agency Submitting Report	Does agency have internal auditors? Y/N	Date Internal Audits Began	Individuals responsible for hiring internal auditors	Individuals to whom internal auditors report	Name and contact information for head Internal Auditor	General subject matters audited	Who makes decision of when an internal audit is conducted	Information considered when determining whether to conduct an internal audit	Do internal auditors conduct an agency wide risk assessment routinely? Y/N	Do internal auditors routinely evaluate the agency's performance measurement and improvement svstems? Y/N	Total Number of Audits performed in last five fiscal years	# of months for shortest audit	# of months for longest audit	Avg. # of months needed to conduct audit	Date of most recent Peer Review of Self-Assessment by SCSIAA or other entity (if other entity, name of that entity)
Secretary of State	No*														

* The Secretary of State's Office was audited by the State Auditor's office in 2014 for Fiscal Year 2012-2013.

INSTRUCTIONS: List the name of all personnel at the agency who were consulted or performed work to obtain the information utilized when answering the questions in these reports, their title and their specific role in answering the question (i.e. searched the agency documents, asked for information because they are in charge of the department, etc.) Please delete the example information and instructions row before submitting this chart in final form. NOTE: Responses are not limited to the number of rows below that have borders around them, please list all that are applicable.

Agency Submitting Report	Name	Phone	Email	Department/Division	Title	Question	Role in Answering Question
Secretary of State	Melissa Dunlap	803-734-2157	mdunlap@sos.sc.gov	Administration & Legal	Chief of Staff & General Counsel	All	Prepared Report
Secretary of State	Secretary Hammond	803-734-2156	mhammond@sos.sc.gov	Administration & Constitutional Officer	Secretary of State	All	Reviewed Report
Secretary of State	Larry Hubbard	803-734-1977	lhubbard@sos.sc.gov	Information Technology	Director of Information Technology	V.C1	Provided List of Databases
Secretary of State	LaToria Williams	803-734-1723	lwilliams@sos.sc.gov	Administration	Director of Administration	II. 8, IV.1	Provided Finance Information
Secretary of State	Meredith Augustine	803-734-0208	maugustine@sos.sc.gov	Legal	Staff Attorney	III.1	Provided Statutes
Secretary of State	Shannon Wiley	803-734-0246	swiley@sos.sc.gov	Legal	Deputy General Counsel	IV.1	Provided General Information
Secretary of State	Tracy Watford	803-734-1797	twatford@sos.sc.gov	Internal Operations	Director of Human Resources	II.6	Provided Updated Organizational Chart