Annual RFI Checklist

Agency Responding	Secretary of State
Date of Submission	12/1/2016

INSTRUCTIONS: For all agencies under study which have had a full Committee report issued, the agency's information is posted on the Oversight Committee's website in a new format. To ensure this information stays current, please check whether the agency has reviewed online each of the items in this tab, as well as provide any additional explanation needed. If this information is not online for the agency, type "Not Online."

(1) Has the agency reviewed the following information about the agency on the House Oversight webpages? (Y/N)	
History	
Governing Body	
Internal Audit Process	
External Audit Process	
Contact this Agency page	

(2) Are any changes needed to update the following information? (Y/N)	
History	
Governing Body	
Internal Audit Process	
External Audit Process	
Contact this Agency page	

(3) If the agency indicated changes are needed, has the agency provided information about the changes needed with its submission of this Request for Information? (Y/N)	
History	
Governing Body	
Internal Audit Process	
External Audit Process	
Contact this Agency page	

(4) How many of the following did the agency undergo this past year? Please attach a copy of each report.	
Internal Audit	
External Audit	

* The Secretary of State's Office is not currently under study by the Oversight Committee; therefore, this checklist is not applicable.

Strategic Plan

Agency Responding: Secretary of State	
Date of Submission: December 1, 2016	

INSTRUCTIONS: In this Chart, please provide information, similar to how the agency provided in the previous year's Restructuring Report. However, ensure the information is current for 2016-17. Highlight any cells where changes are made from the last Restructuring Report. If the information for 2016-17 is the same as the agency reported in 2015-16, please type "Same as 2015-16" in the first row and move on to the next tab.

Mission: The mission of the Secretary of State's Office is to provide innovative technology to enhance the transaction of business in the State, to serve the business community and members of the public with prompt and efficient customer service, to protect the charitable donors of South Carolina, and to fulfill all other statutory duties of the office.		Legal Basis:	Statutes: 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.; Nonprofit Raffles: SC Code §33-57-100, et seq.; Escheatment of Real Property: SC Code § 27-19-10, et seq.; High Growth Small Business Job Creation Act: SC Code §11-44-60; Electoral College: SC Code §7-19-70, et seq.; Regulations: 113-200 Municipal Corporations; 113-300 Uniform Real Property Recording Act; Provisos: 95.1 (SS: UCC Filing Fees); 95.4 (SS: Charitable Funds Act Disclosure Violations); 95.5 (SS: Charitable Funds Act Misrepresentation Violations).
Vision: 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, business opportunities and employment agencies.		Legal Basis:	Statutes: 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.; Nonprofit Raffles: SC Code §33-57-100, et seq.; Escheatment of Real Property: SC Code § 27-19-10, et seq.; High Growth Small Business Job Creation Act: SC Code §11-44-60; Electoral College: SC Code §7-19-70, et seq.; Regulations: 113-200 Municipal Corporations; 113-300 Uniform Real Property Recording Act; Provisos: 95.1 (SS: UCC Filing Fees); 95.4 (SS: Charitable Funds Act Disclosure Violations); 95.5 (SS: Charitable Funds Act

Strategic Plan Part and Description	Intended Public Benefit/Outcome: (Ex. Outcome = incidents decrease and public perceives that the road is safer) Just enter the intended outcome	Responsible Employee (Name, Position, Responsible more/less than 3 years)	Office Address:	Department or Division:	Department or Division Summary:
Launch the new business filings online filing system. The application simplifies the filing process by allowing customers to file online in addition to the ability to search and retrieve certified corporate records electronically.	Improve the process for individuals and entities conducting business in the state by expanding online filing capabilties for faster and enhanced customer service.	Larry Hubbard, Director of Information Technology, Jody Steigerwalt, Program Manager I, & Melissa Dunlap, Deputy Secretary of State & Chief Legal Counsel	1205 Pendleton St., Suite 525 Columbia, SC 29201	Business Filings Division; Corporations	Files organizing documents, amendments and all other forms related to the operation of corporations, limited liability companies, limited partnerships and limited liability partnerships.
Create online charities inquiry/complaint/investigation form that may be submitted electronically by members of the public.	Increase enforcement of the Solicitation of Charitable Funds Act to protect charitable donors in the state.	Larry Hubbard, Director of Information Technology, Shannon Wiley, General Counsel, & Melissa Dunlap, Deputy Secretary of State & Chief Legal Counsel	1205 Pendleton St., Suite 525 Columbia, SC 29201	Public Charities Division	Protecting charitable donors through the enforcement of the Solicitation of Charitable Funds Act.
Launch online search tools and make available additional data for customers and the general public through the creation of a professional fundraiser report, a searchable trademark database, and a searchable cable franchise database. Expand capabilities of the online, searchable trademark database which is currently available.	Further promote accountability and transparency for the public by providing information to protect charitable donors in the state and by providing additional online information on cable franchise and trademark filings.	Larry Hubbard, Director of Information Technology, Shannon Wiley, General Counsel, & Melissa Dunlap, Deputy Secretary of State & Chief Legal Counsel	1205 Pendleton St., Suite 525 Columbia, SC 29201	Public Charities Division	Protecting charitable donors through the enforcement of the Solicitation of Charitable Funds Act.
Create new notary public in-house application system.	Provide staff essential in-house tools needed to perform their duties and serve the needs of the customer efficiently.	Larry Hubbard, Director of Information Technology & Tracy Sharpe, Program Coordinator II	1205 Pendleton St., Suite 525 Columbia, SC 29201	Notary and Apostille Division	Commissions notaries public and maintains oaths of office. Authenticates acts of notaries or other officials through apostilles for countries that are parties to the Hague Convention and state authentications for non-member countries.
Collaborate with other state and federal agencies to enforce the Solicitation of Charitable Funds Act.	Protect charitable donors in the state with the enforcement of the Solicitation of Charitable Funds Act.	Shannon Wiley, General Counsel, Kimberly Wickersham, Program Coordinator II, & Doug Renew, Chief Investigator	1205 Pendleton St., Suite 525 Columbia, SC 29201	Public Charities Division	Protecting charitable donors through the enforcement of the Solicitation of Charitable Funds Act.

Strategic Plan

Provide public awareness and education on the Solicitation of Charitable Funds Act through continued statewide trainings and information on website.	Protect charitable donors in the state with the enforcement of the Solicitation of Charitable Funds Act.	Shannon Wiley, General Counsel, Kimberly Wickersham, Program Coordinator II, & Doug Renew, Chief Investigator	1205 Pendleton St., Suite 525 Columbia, SC 29201	Public Charities Division	Protecting charitable donors through the enforcement of the Solicitation of Charitable Funds Act.
Increase enforcement actions filed with the Administrative Law Court against state and local charities that have continued to solicit contributions in the state while not complying with the registration and filing requirements of the Solicitation of Charitable Funds Act.	Protect charitable donors in the state with the enforcement of the Solicitation of Charitable Funds Act.	Shannon Wiley, General Counsel, Kimberly Wickersham, Program Coordinator II, & Doug Renew, Chief Investigator	1205 Pendleton St., Suite 525 Columbia, SC 29201	Public Charities Division	Protecting charitable donors through the enforcement of the Solicitation of Charitable Funds Act.

Performance Measures

Agency Responding: Secretary of State			
Date of Submission: December 1, 2016			

INSTRUCTIONS: In the first two columns of this Chart, please copy the information for the Performance Measure Item Number and Performance Measure from the agency's Accountability Report submission this year. Next, fill in the information requested by the remaining columns. Please note, the "Type of Measure" column and "Required by" column include drop downs. Therefore, the agency will need to drag this column down for as many performance measures it has to ensure the drop down is available for each performance measure.

Performance Measure Item Number	Performance Measure	Type of Measure (i.e. outcome, efficiency, output, input/activity)	Required by (State, Federal, Agency only)	Why was this performance measure chosen?	What was considered when determining the level to set the future target value?
1.1.1	Increase the number of online applications offered to our customers from 3 to 5.	Outcome	Agency	To continue the mission of the Secretary of State's Office to provide innovative technology to enhance the transaction of busines in the State, and to serve the public and business community with prompt and efficient customer service.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.
1.1.2	Provide 24/7 service to customers in creating or amending a business filing with the State.	Outcome	Agency	To continue the mission of the Secretary of State's Office to provide innovative technology to enhance the transaction of business in the State, and to serve the public and business community with prompt and efficient customer service.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.
1.1.3	Increase the number of business filings submitted online.	Efficiency	Agency	To continue the mission of the Secretary of State's Office to provide innovative technology to enhance the transaction of business in the State, and to serve the public and business community with prompt and efficient customer service.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.
1.2.1	Increase the number of online applications.	Efficiency	Agency	To continue the mission of the Secretary of State's Office to provide innovative technology to protect charitable donors, and to serve the public and business community with prompt and efficient customer service.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.

Performance Measures

1.2.2	Provide 24/7 service to customers in researching and responding to customer complaints about charitable organizations soliciting in the State.	Outcome	Agency	To continue the mission of the Secretary of State's Office to provide innovative technology to protect charitable donors, and to serve the public and business community with prompt and efficient customer service.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.
1.3.1	Provide public additional online information.	Efficiency	Agency	To continue the mission of the Secretary of State's Office to provide innovative technology to enhance the transaction of business in the State, to protect charitable donors, and to serve the public and business community with prompt and efficient customer service.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.
1.3.2	Provide 24/7 information to customers.	Outcome	Agency	To continue the mission of the Secretary of State's Office to provide innovative technology to enhance the transaction of business in the State, to protect charitable donors, and to serve the public and business community with prompt and efficient customer service.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.
2.1.1	Create faster turn-around time for corporate paper filings submitted by mail and walk-in customers.	Output	Agency	To continue the mission of the Secretary of State's Office to provide innovative technology to enhance the transaction of business in the State, and to serve the public and business community with prompt and efficient customer service.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.
2.1.2	Replace legacy system for notary division.	Input	Agency	To continue the mission of the Secretary of State's Office to provide innovative technology to enhance the transaction of business in the State, and to serve the public and business community with prompt and efficient customer service.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.
2.2.1	Provide notary staff in-house application to gather data and more easily process applications.	Input	Agency	To continue the mission of the Secretary of State's Office to provide innovative technology to enhance the transaction of business in the State, and to serve the public and business community with prompt and efficient customer service.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.

Performance Measures

2.2.2	Improve search capabilities for customer inquiries.	Output	Agency	To continue the mission of the Secretary of State's Office to provide innovative technology to enhance the transaction of business in the State, and to serve the public and business community with prompt and efficient customer service.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.
2.2.3	Improve workflow for notary renewals and updates.	Output	Agency	To continue the mission of the Secretary of State's Office to provide innovative technology to enhance the transaction of business in the State, and to serve the public and business community with prompt and efficient customer service.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addtion to other duties mandated by statute.
2.2.4	Replace legacy database for notary division.	Input	Agency	To continue the mission of the Secretary of State's Office to provide innovative technology to enhance the transaction of business in the State, and to serve the public and business community with prompt and efficient customer service.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addtion to other duties mandated by statute.
3.1.1	Participate in multistate charity enforcement actions to protect the public.	Outcome	State	To continue the mission of the Secretary of State's Office to protect charitable donors.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.
3.2.2	Provide statewide training on charities and raffles.	Outcome	State	To continue the mission of the Secretary of State's Office to protect charitable donors.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.
3.2.3	Create a charitable raffle educational brochure.	Outcome	Agency	To continue the mission of the Secretary of State's Office to protect charitable donors.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.

Performance Measures

3.3.1	Protect charitable donors in the State.	Outcome	State	To continue the mission of the Secretary of State's Office to protect charitable donors.	Available resources are considered when setting performance measures. This includes the agency's budget, the number of staff required to meet the goals, and the workload, duties, and responsibilities of staff working on each online application, in addition to other duties mandated by statute.

Strategic Spending in Fiscal Year 2015-16

Agency Responding:Secretary of State	
Date of Submission:December 1, 2016	

Disclaimer: The Committee understand the amount the agency budgeted and spent per goal and objective are estimates from the agency. The Committee requests that the estimates have a logical basis, which the agency can explain, as to how it determined the amounts provided.

INSTRUCTIONS:
Please copy and paste the information the agency submitted in its 2016 Restructuring Report, then update this information to reflect the funds available and funds spent through the end of fiscal year 2015-16. If the agency was unable to completely fill in this chart when submitting its 2016 Restructuring Report, this is an opportunity to provide a complete submission. Further details regarding Part A and Part B in this tab are on the next page.

Part A: Funds Available this past Fiscal Year (2015-16)
Please enter each source of funds for the agency in a separate column. Group the funding sources however is best for the agency (i.e., general appropriation programs, proviso 18.2, proviso 19.3, grant ABC, grant XYZ, Motor Vehicle User Fees, License Fines, etc.) to provide the information requested below each source (i.e., state, other or federal funding; recurring or one-time funding; etc.). The agency is not restricted by the number of columns so please delete or add as many as needed. Any grouping of funding sources should be easily understandable and clear through Part A and B how much the agency had available to spend and where the agency spent the funds.

Part B: Funds Spent this past Fiscal Year (2015-16)
a) The agency's objectives and unrelated purposes are listed based on the information the agency provided in the Restructuring Report. The agency will see there are new rows between "objectives" and "unrelated purposes." These new rows allow the agency to list money it spent this year that was for previously committed multiple year projects. The intent is to separate what the agency spent toward its current objectives and what it spent toward objectives and projects from previous years, which took multiple years to pay off. If the agency believes the new rows are not useful in illustrating how the agency uses its funds, the agency may leave them blank. However, if they assist the agency in more clearly showing how it uses its funds, please utilize them.
b) Please add any information needed in the new rows (i.e., "Money previously committed for multiple years") and make any revisions necessary to ensure all unrelated purposes are listed. An "unrelated purpose" is money the agency is legislatively directed to spend on something that is not related to an agency objective (i.e., pass through, carry forward, etc.).
c) Finally, review and revise the amounts spent from each funding source on the agency objectives, money previously committed for multiple years and unrelated purposes so it reflects

PART A - Funds Available this past Fiscal Year (2015-16)

What is the source of funds? (insert as many columns as needed, just make sure to total everything in the last column)		General Appropriations (1001)	Uniform Commercial Code (3037)	Operating Revenue (3035)	Charities Fines And Fees (3858)
State, other or federal funding?	n/a	State	Other	Other	Other
Recurring or one-time?	n/a	Recurring	Recurring	Recurring	Recurring
$ From Last Year Available to Spend this Year					
Amount available at end of previous fiscal year		$0	$0	$406,016	$328,312
Amount available at end of previous fiscal year that agency can actually use this fiscal year:		$0	$0	$0	$0

Strategic Spending in Fiscal Year 2015-16

If the amounts in the two rows above are not the same, explain why :	n/a				
$ Received this Year					
Amount budgeted to receive in this fiscal year:	$2,563,406	$1,058,894	$180,000	$639,170	$685,342
Amount actually received this fiscal year:	$2,563,406	$1,058,894	$180,000	$639,170	$685,342
If the amounts in the two rows above are not the same, explain why :	n/a				
Total Actually Available this Year					
Total amount available to spend this fiscal year (i.e. Amount available at end of previous fiscal year that agency can actually use in this fiscal year PLUS Amount budgeted/estimated to receive this fiscal year):	$2,563,406	$1,058,894	$180,000	$639,170	$685,342

Additional Explanations regarding Part A:	*Insert any additional explanations the agency would like to provide related to the information it provided above.*

PART B - Funds Spent this past Fiscal Year (2015-16)

What is the source of funds? (insert as many columns as needed, just make sure to total everything in the last column)	Totals	General Appropriations (1001)	Uniform Commercial Code (3037)	Operating Revenue (3035)	Charities Fines and Fees (3858)
State, other or federal funding?	n/a	State	Other	Other	Other
Recurring or one-time?	n/a	Recurring	Recurring	Recurring	Recurring
What are the external restrictions (from state or federal government, grant issuer, etc.), if any, on how the agency was able to spend the funds from this source:	n/a				
Were expenditure of funds tracked through SCEIS? (if no, state the system through which they are recorded so the total amount of expenditures could be verified, if needed)	Yes				
Total amount available to spend	$2,563,406	$1,058,894	$180,000	$639,170	$685,342
Where Agency Spent Money - Current Objectives					

Strategic Spending in Fiscal Year 2015-16

Objective 1.1.1: Increase the number of online applications offered to our customers from 2 to 4.	$90,000			$50,000	$40,000
Objective 1.1.2 : Provide 24/7 service to customers.(Objective 1.3.1 is part of 1.1.2)	$1,000			$1,000	
Objective 1.1.3: Increase the number of business filings submitted online. (Objectives 1.1.3, 1.2.1, 1.2.2 &, 1.2.3 are part of 1.1.1)	$1,000			$1,000	
Objective 1.4.1: Migrate existing databases to a more robust and secure database along with associated applications.	$60,000			$60,000	
Objective 2.1.1: Provide hardware and software support for purposes of technical support, maintenance, and software projects.	$40,000			$40,000	
Objective 2.2.1: Provide adequate bandwidth for office in order to implement the new corporations business filing application that will be housed off-site, prvide VOIP, and provide off-site replication of data and permanent state records.	$10,000			$10,000	
Objective 2.3.1: Provide back-up of all data off-site to ensure protection of permanent state records.	$16,500			$16,500	
Objective 2.4.1: Further develop efficiences gained with new hardware that provides better protection from potential security threats.	$25,000			$25,000	
Objective 3.1.1: Contine to work with charities and educate both charities and donors about the requirements of the raffle legislation.	$2,000				$2,000
Objective 3.2.1: Contine to participate in multistate actions.	$10,000				$10,000
Objective 3.3.1: Provide trainings to groups statewide.	$2,000				$2,000

Strategic Spending in Fiscal Year 2015-16

Objective 3.3.2: Publish additional reports on agency website to educate and protect charitable donors.	$15,000				$15,000
Total Budgeted to Spend on Objectives and Unrelated Purposes: (this should be the same as amount estimated to have available to spend this fiscal year)	$272,500			$203,500	$69,000

Strategic Budgeting for Fiscal Year 2016-17

(Note: Funds from General Appropriation Act for 2016-17 set in Summer 2016)

Agency Responding:Secretary of State	
Date of Submission: December 1, 2016	

Disclaimer: The Committee understand the amount the agency budgeted and spent per goal and objective are estimates from the agency. The Committee requests that the estimates have a logical basis, which the agency can explain, as to how it determined the amounts provided.

INSTRUCTIONS:
This tab requests the same information as Strategic Spending (last FY), but looks at the current year fiscal year, 2016-17, as opposed to the past fiscal year, 2015-16. Please ensure this information is provided with the funds available for 2016-17 and the strategic plan the agency intends to follow in 2016-17.

PART A - Funds Available Fiscal Year (2016-17)

What is the source of funds? (insert as many columns as needed, just make sure to total everything in the last column)	Totals	General Appropriations (1001)	Special Deposits (3037)	Operating Revenue (3035)	Charities Fines And Fees (3858)	
State, other or federal funding?	n/a	State	Other	Other	Other	
Recurring or one-time?	n/a	Recurring	Recurring	Recurring	Recurring	
$ From Last Year Available to Spend this Year						
Amount available at end of previous fiscal year	$947,080	$0	$10,903	$397,502	$538,675	
Amount available at end of previous fiscal year that agency can actually use this fiscal year:	$0					
If the amounts in the two rows above are not the same, explain why :	n/a					
$ Estimated to Receive this Year						
Amount requested to receive this fiscal year:	$177,513	$21,907	$5,606	$60,000	$90,000	
Amount actually received this fiscal year:	$165,123	$9,517	$5,606	$60,000	$90,000	
If the amounts in the two rows above are not the same, explain why :	n/a	Funds requested for disaster recovery were not received.				
Total Available if amounts requested are received						
Amount estimated to have available to spend this fiscal year (i.e. Amount available at end of previous fiscal year that agency can actually use in this fiscal year PLUS Amount requested to receive this fiscal year):	$165,123	$9,517	$5,606	$60,000	$90,000	

Additional Explanations regarding Part A:	*Insert any additional explanations the agency would like to provide related to the information it provided above.*

Strategic Budgeting for Fiscal Year 2016-17

(Note: Funds from General Appropriation Act for 2016-17 set in Summer 2016)

PART B - How Agency Plans to Budget Funds in 2016-17

What is the source of funds? (insert as many columns as needed, just make sure to total everything in the last column)	Totals	General Appropriations (1001)	Special Deposits (3037)	Operating Revenue (3035)	Charities Fines And Fees (3858)	
State, other or federal funding?	n/a	State	Other	Other	Other	
Recurring or one-time?	n/a	Recurring	Recurring	Recurring	Recurring	
What are the external restrictions (from state or federal government, grant issuer, etc.), if any, on how the agency can spend the funds from this source:	n/a					
Will expenditure of funds be tracked through SCEIS? (if no, state the system through which they are recorded so the total amount of expenditures could be verified, if needed)	n/a	Yes	Yes	N/A	Yes	
Total amount estimated to have available to spend	$165,123	$9,517	$5,606	$60,000	$90,000	
Where Agency Plans to Spend Money - Current Objectives						
1.1.1-Increase the number of online applications offered to our customers from 3 to 5.	$1,000			$1,000		
1.1.2-Provide 24/7 service to customers in creating or amending a business filing with the State.	$110,000			$110,000		
1.1.3-Increase the number of business filings submitted online.	$1,000			$1,000		
1.2.1-Increase the number of online applications offered to our customers from 3 to 5.	$40,000			$40,000		
1.2.2-Provide 24/7 service to customers in researching and responding to customer complaints about charitable organizations soliciting in the State.	$1,000			$1,000		

Strategic Budgeting for Fiscal Year 2016-17

(Note: Funds from General Appropriation Act for 2016-17 set in Summer 2016)

1.3.1-Make available to the public additional online information to assist with business and educational purposes.	$20,000			$20,000		
1.3.2-Provide 24/7 information to customers.	$1,000			$1,000		
2.2.1-Provide notary staff in-house application to gather data and more easily process applications.	$45,000			$45,000		
2.2.2-Greatly improve search capabilities for customer inquiries.	$1,000			$1,000		
2.2.3-Improve workflow for notary renewals and mailing address changes in order to more quickly	$1,000			$1,000		
2.2.4-Replace legacy database.	$1,000			$1,000		
3.1.1-Participate in multistate enforcement actions to protect the citizens of the State.	$10,000			$10,000		
3.2.1-Provide trainings to charity and raffle groups statewide.	$5,000			$5,000		
3.2.2-Publish additional reports on the agency website to educate and protect charitable donors.	$1,000			$1,000		
3.2.3-Create a charitable raffle educational brochure.	$6,000			$6,000		
3.3.1-Protect charitable donors in the State through filing injunctions against noncompliant organizations.	$10,000			$10,000		

Amount Remaining	$0					

Funds budgeted for use in subsequent years (i.e. when grant or other money received all at once, but intended to be spent over multiple years)						
Example - WIOA 3 year funds budgeted for use in next two fiscal years	$0					
	$0					
	$0					
Total Funds budgeted for use in subsequent years	$0					

Cash Balance Remaining, minus funds budgeted for use in subsequent years	$0					

Additional Explanations regarding Part B:	*Insert any additional explanations the agency would like to provide related to the information it provided above.*

Strategic Budgeting for Fiscal Year 2016-17

(Note: Funds from General Appropriation Act for 2016-17 set in Summer 2016)

Strategic Requests for Fiscal Year 2017-18

Agency Responding: Secretary of State	
Date of Submission: December 1, 2016	

Disclaimer: The Committee understand the amount the agency budgeted and spent per goal and objective are estimates from the agency. The Committee requests that the estimates have a logical basis, which the agency can explain, as to how it determined the amounts provided.

INSTRUCTIONS:
This tab requests the same information as Strategic Budgeting (current FY), but looks at the requests for the upcoming year, 2017-18, as opposed to funds already approved for the current fiscal year, 2016-17. Please ensure this information is provided with the funds the agency is requesting for 2017-18 and the strategic plan the agency intends to follow in 2017-18.

PART A - Funds Available Fiscal Year (2017-18)

What is the source of funds? (insert as many columns as needed, just make sure to total everything in the last column)	Totals	$ 1,064,500.00	$ 50,000.00	$ 16,600.00	$ 301,538.00	$ 1,646,817.00
State, other or federal funding?	n/a	State	State	State	Other	Other
Recurring or one-time?	n/a	Recurring	One-time	Recurring	Recurring	Recurring
$ Available from Previous FY	n/a					
Amount anticipated to have available at end of current fiscal year	$0	$0	$0	$0	$0	$0
If agency anticipates having funds available at the end of the current fiscal year, explain why :	$0					
$ Estimated to Receive this Year	$0					
Amount received to spend in current fiscal year:	$0					
Amount requesting to receive next fiscal year:	$0					
If the amounts in the two rows above are not the same, explain why :	n/a					
If none of the amounts the agency is requesting to receive next fiscal year are lower than amounts received in current fiscal year, explain why the same amount is needed for each fund.	n/a					
Total Available if amounts requested are received	n/a					
Amount estimated to have available to spend next fiscal year (i.e. Amount anticipated to have available at end of current fiscal year PLUS Amount requesting to receive next fiscal year):	$0	$0	$0	$0	$0	$0

Additional Explanations regarding Part A:	**The above columns left blank require knowledge of requested information that is unknown until the agency receives the actual budget approved by the General Assemby in 2017.*

PART B - How Agency Plans to Budget Funds in 2017-18

What is the source of funds? (insert as many columns as needed, just make sure to total everything in the last column)	Totals	$1,064,500	$50,000	$16,600	$301,538	$1,646,817
State, other or federal funding?	n/a	State	State	State	Other	Other
Recurring or one-time?	n/a	Recurring	One-time	Recurring	Recurring	Recurring
What are the external restrictions (from state or federal government, grant issuer, etc.), if any, on how the agency can spend the funds from this source:	n/a					

Strategic Requests for Fiscal Year 2017-18

Will expenditure of funds be tracked through SCEIS? (if no, state the system through which they are recorded so the total amount of expenditures could be verified, if needed)			n/a	Yes	Yes	Yes	Yes	Yes
Total amount estimated to have available to spend:			$0	$0	$0	$0	$0	$0
Where Agency Plans to Spend Money - Current Objectives	**Responsible Employee** (Name, Position, Responsible more/less than 3 years)	Associated Performance Measure Item #s	Totals	$1,064,500	$50,000	$16,600	$301,538	$1,646,817
Objective 1.Provide 24/7 online service to our customers.	Larry Hubbard, Information Technology Director		$100,000					$100,000
Objective 2.Provide support for intranet and in-house applications.	Larry Hubbard, Information Technology Director		$15,000					$15,000
Objective 3. Develop in-house applications.	Larry Hubbard, Information Technology Director & Melissa Dunlap, Deputy Secretary & Chief Legal Counsel		$40,000					$40,000
Objective 4. Participate in multistate enforcement actions to protect charitable donors and citizens of the State.	Shannon Wiley, General Counsel, Kimberly Wickersham, Program Coordinator II, & Doug Renew, Chief Investigator		$15,000					$15,000
Objective 5. Provide tranings to charities and raffle groups statewide.	Shannon Wiley, General Counsel, Kimberly Wickersham, Program Coordinator II, & Doug Renew, Chief Investigator		$5,000					$5,000
Objective 6. Publish additional reports on the agency website to educate the public and protect charitable donors.	Larry Hubbard, Information Technology Director & Shannon Wiley, General Counsel		$1,000					$1,000
Total Agency Plans to Spend on Objectives:			$176,000					$176,000
Where Agency Plans to Spend Money - Money previously committed for multiple years	**Responsible Employee** (Name, Position, Responsible more/less than 3 years)	Associated Performance Measure Item #s	Totals	$1,064,500	$50,000	$16,600	$301,538	$1,646,817
Example - Continental Tire Recruitment Grant (agreement requires State pay income taxes for the company until 2020)			$0					
			$0					
Total Agency Plans to Spend on previous multiple year commitments:			$0					
Where Agency Plans to Spend Money - Unrelated Purpose (pass through or other purpose unrelated to agency's strategic plan)	**Responsible Entity** (i.e. entity who determines how the money is spent)	Associated Performance Measure Item #s	Totals	$1,064,500	$50,000	$16,600	$301,538	$1,646,817
Unrelated Purpose #1 - insert description:			$0					
Unrelated Purpose #1 - insert description:			$0					
Unrelated Purpose #2 - insert description:			$0					
Insert any additional unrelated purposes			$0					
Total Agency Plans to Spend on Unrelated Purposes:			$0					

Strategic Requests for Fiscal Year 2017-18

Total Agency Plans to Spend ((Total on Objectives + Total on previous multiple year commitments + Total on Unrelated Purposes):			$0					
Amount Remaining:			$0					

Funds budgeted for use in subsequent years (i.e. when grant or other money received all at once, but intended to be spent over multiple years)	**Responsible Employee** (Name, Position, Responsible more/less than 3 years)	Associated Performance Measure Item #s	Totals	$1,064,500	$50,000	$16,600	$301,538	$1,646,817
Example - WIOA 3 year funds budgeted for use in next two fiscal years			$0					
			$0					
Insert any additional funds budgeted for use in subsequent years			$0					
Total Funds budgeted for use in subsequent years:			$0					
Cash Balance Remaining, minus funds budgeted for use in subsequent years:			$0					

Additional Explanations regarding Part B:	*Insert any additional explanations the agency would like to provide related to the information it provided above.*