

NC Department of the Secretary of State

STRATEGIC PLAN

FY 2019 - 2021



By

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1. NC Department of the Secretary of State Strategic Plan Executive Summary

The North Carolina Department of the Secretary of State performs vital governmental functions that correlate directly with the agency's mission and vision in order to promote economic growth and protect the public from financial harm by utilizing a number of goals and objectives. Those goals include: 1) Facilitating financial capital formation; 2) Deploying a state of the art IT infrastructure for the Department; 3) Maximizing effectiveness and efficiency by delivering e-government services; 4) Fulfilling the service expectations of citizens; 5) Educating people and businesses about commercial and financial choices; 6) Safeguarding individuals and businesses against fraud; 7) Protecting investors, donors, innovators, intellectual property owners; 8) Investigating, prosecuting, and resolving complex white collar crimes; and 9) Administering miscellaneous programs assigned to the Department.

The first agency goal is to promote economic growth and financial capital formation by maintaining a state of the art system of reliable business, governmental, and personal records. The agency objectives to reach this goal include making records accessible online and otherwise in a timely manner as well as providing data available from the Department.

A second agency goal is to deploy a state of the art IT infrastructure by keeping it in such a manner that enables secure, efficient and reliable access to information resources. The Department's IT infrastructure is vital to nearly all our core business functions and maintaining up to date hardware, software and maintenance agreements is paramount to its success. Parallel that to keeping our system secure and our employees trained on keeping our systems secure and this is how the Department reaches that goal.

A third agency goal is to maximize government accessibility and efficiency by advancing the delivery of e-government services to the public. Objectives used to reach this goal include providing and promoting electronic solutions so that customers can perform their business functions with the Department in an efficient and cost wise manner. Objectives such as advancing the delivery of e-commerce and e-government services to the public to maximize government accessibility and efficiency while reducing costs and enabling NC businesses to become more competitive are a major objective of the agency to reach all of its goals. Continuously monitoring and identifying improvements to online customer services and electronic interfaces with the Department is another objective of the goal. Working with the private sector, including financial institutions, law firms, utility companies and others, to evaluate and incorporate e-signature and e-recording into their work processes is another method the Department uses to reach its goal.

Another agency goal is to fulfill the service expectations of citizens and businesses by providing knowledgeable, efficient, and courteous customer service. One objective of this goal is to provide timely professional, courteous and effective employee responses to filings, inquiries, and complaints. The Department also strives to be a workplace that attracts and retains talented people.

Finally goals such as Educating people and businesses about commercial and financial choices, safeguarding individuals and businesses against fraud, and protecting investors, donors, innovators, intellectual property owners and others from misrepresentations, unethical conduct, and fraud, investigating, prosecuting, and resolving complex white collar crimes utilizing the Department's law enforcement agents, professional staff, technology and partnerships with external stakeholders, and administering miscellaneous programs and duties assigned to the Department are vital to the Department's success.

2. NC Department of the Secretary of State Quick Reference Guide

Goal 1 - Facilitate economic growth and investment in North Carolina by maintaining a state of the art system of reliable business, governmental and personal records.		
Objective 1.1 – Make records accessible online and otherwise in a timely manner.		
1.1.1 –Agency customer surveys to indicate record accessibility.	Strategy	<i>Ensure records are available.</i>
	The Department conducts regular customer service related surveys. Results of those surveys will be utilized to measure how well our customers are able to access information. Source (Agency survey results combining a number of questions)	
Objective 1.2 – Provide quality data available from the Department.		
1.2.1 – Agency customer surveys to indicate record accessibility.	Strategy	<i>Ensure data provided is relevant and reliable to customers</i>
	The Department conducts regular customer service related surveys. Results of those surveys will be utilized to measure how well our customers are able to access information. Source (Agency survey results combining a number of questions)	
Goal 2 – Deploy a state of the art IT infrastructure.		
Objective 2.1 – Deploy a modernized IT infrastructure that enables secure, efficient, and reliable access to information resources.		
2.1.1 - IT status reports to indicate maximum accessibility and performance and % employees completing IT security training.	IT Strategy	<i>Ensure departmental website and SOSKB database is secure and reliable.</i>
	The Department will conduct periodic network penetration testing, disaster recovery testing, employee training and other activities to ensure IT resources are secure and reliable. SOURCE (IT pen test results records, disaster recovery testing records, and HR LRS IT security training completion records.)	
2.1.2 – IT status reports to indicate maximum availability and performance.	IT Strategy	<i>Ensure IT hardware and software are upgraded as necessary.</i>
	The Department will upgrade hardware and software to the latest IT infrastructure and IT security necessary to provide efficient, secure, and reliable IT services for the customers. SOURCE (IT resources availability records and IT purchasing records.)	
Goal 3 – Maximize accessibility and efficiency by advancing the delivery of e-government services.		
Objective 3.1 – Provide and promote electronic solutions so that customers can perform their business functions with the Department in an efficient and cost-wise manner.		
3.1.1 – Agency annual reports filing compliance rate.	Strategy	<i>Ensure the public has a reliable electronic format to file annual reports.</i>
	The Department will measure the percentage of annual reports filed online compared to submission directly to the Department in paper. The online filing of annual reports provides businesses an electronic means to update their records in real-time. An	

	<i>analysis of the trendline shows an overall increase in online filings. SOURCE (KB database)</i>	
Objective 3.2 – Continuous monitoring and identifying improvements to online customer services and electronic interfaces with the Department.		
3.2.1 – Agency customer surveys to indicate improvement.	Initiative	<i>Ensure constant improvement through customer feedback.</i>
	<i>Department will add a small survey post customer online actions to identify improvements in electronic interfaces with the Department. SOURCE (Agency customer survey results)</i>	
Goal 4 – Fulfill the service expectations of citizens and businesses by providing knowledgeable, efficient, and courteous customer service.		
Objective 4.1 – Provide timely, professional, courteous and effective employee responses to customer filings, inquiries, and complaints.		
4.1.1 – Agency customer surveys to indicate record accessibility.	Strategy	<i>Ensure employee responses to customers are timely and professional.</i>
	<i>The Department conducts regular customer service related surveys. Results of those surveys will be utilized to measure how well our customers are able to access information. Source (Agency survey results combining a number of questions)</i>	
Objective 4.2 – Strive to be a workplace that attracts and retains talented people		
4.2.1 – Agency turnover rates.	Strategy	<i>Ensure agency turnover rates improve over time.</i>
	<i>The Department will track the turnover of agency employees and note reasons for leaving. Source (Agency BEACON reports and exiting interviews.)</i>	
Goal 5 – Educate people and businesses about commercial and financial choices and how the Department and its data can assist in achieving economic success.		
Objective 5.1 – Educate the public to prevent financial fraud and promote economic development.		
5.1.1 – Educational opportunities provided.	Strategy	<i>Provide educational opportunities to public in fraud deterrence and economic development.</i>
	<i>The Department will provide its customers with educational opportunities through electronic and in person situations. Source (Securities Division stats in Legal Files)</i>	
5.1.2 – Agency customer surveys to indicate success of educational programs.	Strategy	<i>Ensure Department is successfully delivering quality educational programs to public.</i>
	<i>The Department will measure success by its customers of the educational opportunities through electronic and in person situations. Source (Securities Division stats in Legal Files)</i>	

Objective 5.2 – Educate businesses about how to use departmental data to improve their capitalization and reduce risk.		
5.2.1 - Agency data collection to measure view rate of online educational materials.	Strategy	<i>Determine whether more or less people have seen the tutorials.</i>
	<i>The Department will make an aggregate comparison from one year to the next on number of hits (% increase/%decrease) on tutorials and other educational materials provided online. The measure is an indicator of whether more or less people have seen the tutorials and if additional marketing or tutorials are needed.</i>	
Goal 6 – Safeguard individuals and businesses against fraud by ensuring the reliability of notarized signatures on legal, real estate, business and financial documents.		
Objective 6.1 – Ensure that commissioned notaries are trained to perform their duties in a professional, ethical, and lawful manner.		
6.1.1 – Number of notaries trained annually.	Strategy	<i>Determine the number of notaries trained each year.</i>
	<i>The Department will track and report on the number of notaries trained through the year. Source (Regular Notary Class Count)</i>	
6.1.2 – Number of enforcement actions taken annually.	Strategy	<i>Determine the number of enforcement actions taken against notaries each year.</i>
	<i>The Department will track and report on the number of enforcement actions taken against trained notaries each year. Source (Notary events by year report)</i>	
Objective 6.2 – Coordinate with other law enforcement agencies, including involvement in multistate, local and federal task forces to investigate issues involving notaries public.		
6.2.1 – Number of coordinated investigations.	Initiative	<i>Determine the number of investigations coordinated with multiple entities.</i>
	<i>The Department will attempt to put into place a tracking mechanism to track and report on the number of enforcement actions that are coordinated with multiple entities including the department against notaries. Source (Notary complaint system)</i>	
Goal 7 – Protect investors, donors, innovators, intellectual property owners and others from misrepresentations, unethical conduct, and fraud by supporting a competitive and ethical business climate.		
Objective 7.1 – Enforce the state’s criminal and civil laws related to intellectual property.		
7.1.1 – Agency data collection to measure number, type and retail value of counterfeit goods.	Strategy	<i>Measure the number, type and retail value of counterfeit goods seized.</i>
	<i>The Department will track through its trademark enforcement agents the seizures of counterfeit intellectual property with intent to sell and bring charges where appropriate. Source (Trademark Enforcement files,RMS or Police Pack)</i>	

Objective 7.2 – Enforce the state’s criminal and civil laws related to charitable donations.		
7.2.1 – Agency data collection to measure the number of enforcement actions taken and the number of violations corrected.	Strategy	<i>Measure the number of enforcement actions taken and the number of violations corrected.</i>
	<i>The Department will track investigation statistics stemming from enforcement actions disclosing the category and number of investigations completed for the fiscal year with data elements including letters issued, number of violations corrected, etc. Source (CSL annual reports)</i>	
Objective 7.3 – Enforce the state’s criminal and civil laws related to investor protection.		
7.3.1 – Agency data collection to measure IA’s and Stockbroker’s licensed in NC.	Strategy	<i>Measure the number of IA’s and Broker Dealers licensed in NC in accordance with NCGS.</i>
	<i>The Department will measure the number of Investment Advisors and stockbrokers licensed in NC. Source (Securities Files and CRD/IARD databases)</i>	
Goal 8 – Investigate, prosecute and resolve complex white collar crimes utilizing the Department’s law enforcement agents, professional staff, technology and partnerships with external stakeholders.		
Objective 8.1 – Investigate and enforce laws to prevent fraud and promote economic development.		
8.1.1 – Agency data collection to measure time to respond to complaints.	Strategy	<i>Respond to complaints from the public that may be a precursor to fraudulent activity.</i>
	<i>The Department will measure the time it takes to process a complaint from the day it is received, to the day it is completed. The measure indicates the effectiveness of staff in processing consumer complaints to the Agency. Source (SOSNET tip and complaint form)</i>	
Objective 8.2 – Ensure that the Department has a functioning and accredited Cybercrime Lab Staffed with certified professionals.		
8.2.1 – Agency data collection to measure financial fraud cases.	Strategy	<i>Investigate potential securities and financial fraud cases with use of lab.</i>
	<i>The Department will measure the number of securities and financial fraud cases investigated. The measure indicates an operational and accredited lab. Source (LegalFiles Datatbase)</i>	
Goal 9 – Administer miscellaneous programs and duties assigned to the Department.		
Objective 9.1 – Manage program filings and registrations including but not limited to: Calendar of Public Meeting; Business Opportunities; Loan Brokers; Campground Operators/Sellers; Telephonic Sellers; Invention Developers; Gender equity Appointment Reporting; Ticket Resales; North Carolina Manual and State Cable Franchises.		
9.1.1 – Agency customer surveys to	Strategy	<i>Ensure programs are being delivered in accordance with customer expectations.</i>

indicate record accessibility.	The Department conducts regular customer service related surveys. Results of those surveys will be utilized to measure how well our customers are able to access information. Source (Agency survey results combining a number of questions)	
Objective 9.2 – Administer the North Carolina Electoral College and Constitutional Amendment Publication Commission.		
9.2.1 – Agency data and records on the performance of the NC Electoral College.	Strategy	<i>Provide records of the NC Electoral College being administered.</i>
	The Department performs this task every four years. The Department will track the event with video records of the Electoral College meetings, with lists of all the Electors and their alternates, notices to political parties showing timeliness and programs and seating charts.	
9.2.2 – Agency data and records on the performance of the NC Constitutional Amendment Publication Commission.	Strategy	<i>Provide records of the NC Electoral College being administered.</i>
	The Department performs this task as needed when proposed Constitutional Amendments will appear on a general election ballot. The Department will track the event with transcripts of the meetings, public meeting notices, notices of adopted summaries distributed to elections boards and press.	
Objective 9.3 – Promote international relations by collaborating with other entities to inform and introduce international groups to North Carolina.		
9.3.1 – Agency data measuring the number of meetings with international groups.	Strategy	<i>Ensure promotion of international relations by holding meetings and taking a leading role with international groups.</i>
	The Department holds a number of meetings with international groups annually and many times is the lead agency in a partnering environment. The Department will keep an account of all the meetings with international groups.	

3. Enterprise Opportunities

The purpose of this section is to learn about additional initiatives that your agency envisions, possible joint funding opportunities that the agency may be planning with other agencies, and other funding sources that could be utilized at the enterprise level. Please consider both IT and non-IT initiatives. Most initiatives that are enterprise in nature will likely require both business and IT resources.

3.1. Potential Initiatives

At this time the Department of the Secretary of State has no potential initiatives planned.

3.2. Collaborative Opportunities

At this time the Department of the Secretary of State has not identified any collaborative opportunities.

4. NC Department of the Secretary of State Vision, Mission, and Values

4.1 Vision

To be a national leader in facilitating financial capital formation, promoting intellectual property, and advancing E-Commerce services for the benefit and protection of the public.

4.2 Mission

To promote economic growth and protect the public from financial harm.

4.3 Values

Values of the North Carolina Department of the Secretary of State include the following:

1. Accountability & Ethical Behavior
2. Communication
3. Competence & Expertise
4. Customer Service
5. Diversity & Inclusion
6. Innovation
7. Professionalism
8. Teamwork & Collaboration

5. NC Department of the Secretary of State **Goals, Objectives, and Measures of Success**

GOAL 1 - Facilitate economic growth and investment in North Carolina by maintaining a state of the art system of reliable business, governmental and personal records.

OBJECTIVE 1.1 – Make records accessible online and otherwise in a timely manner.

MEASURE 1.1.1 – *Agency customer surveys to indicate record accessibility.*

OBJECTIVE 1.2 – Provide quality data available from the Department.

MEASURE 1.2.1 - *Agency customer surveys to indicate record accessibility.*

GOAL 2 – Deploy a state of the art IT infrastructure.

OBJECTIVE 2.1 – Deploy a modernized IT infrastructure that enables secure, efficient, and reliable access to information resources.

MEASURE 2.1.1 - *IT status reports to indicate maximum accessibility and performance and % employees completing IT security training.*

MEASURE 2.1.1 - *IT status reports to indicate maximum availability and performance.*

GOAL 3 - Maximize accessibility and efficiency by advancing the delivery of e-government services.

OBJECTIVE 3.1 – Provide and promote electronic solutions so that customers can perform their business functions with the Department in an efficient and cost wise manner.

MEASURE 3.1.1 – *Agency annual reports filing compliance rate.*

OBJECTIVE 3.2 – Continuous monitoring and identifying improvements to online customer services and electronic interfaces with the Department.

MEASURE 3.2.1 – *Agency customer surveys to indicate improvement.*

GOAL 4 – Fulfill the service expectations of citizens and businesses by providing knowledgeable, efficient, and courteous customer service.

OBJECTIVE 4.1 – Provide timely, professional, courteous, and effective employee responses to customer filings, inquiries, and complaints.

MEASURE 4.1.1 – *Agency customer surveys to indicate record accessibility.*

OBJECTIVE 4.2 – Strive to be a workplace that attracts and retains talented people.

MEASURE 4.2.1 – *Agency turnover rates.*

GOAL 5 - Educate people and businesses about commercial and financial choices and how the Department and its data can assist in achieving economic success.

OBJECTIVE 5.1 – Educate the public to prevent financial fraud and promote economic development.

MEASURE 5.1.1 – *Educational opportunities provided.*

MEASURE 5.1.2 – *Agency customer surveys to indicate success of educational programs.*

OBJECTIVE 5.2 – Educate businesses about how to use departmental data to improve their capitalization and reduce risk.

MEASURE 5.2.1 – *Agency data collection to measure view rate of online educational materials.*

GOAL 6 - Safeguard individuals and businesses against fraud by ensuring the reliability of notarized signatures on legal, real estate, business and financial documents.

OBJECTIVE 6.1 – Ensure that commissioned notaries are trained to perform their duties in a professional, ethical and lawful manner.

MEASURE 6.1.1 – *Number of notaries trained annually.*

MEASURE 6.1.2 – *Number of Enforcement actions taken annually.*

OBJECTIVE 6.2 – Coordinate with other law enforcement agencies, including involvement in multi-state, local and federal task forces to investigate issues involving notaries public.

MEASURE 6.2.1 - *Number of coordinated investigations.*

GOAL 7 – Protect investors, donors, innovators, intellectual property owners and others from misrepresentations, unethical conduct, and fraud by supporting a competitive and ethical business climate.

OBJECTIVE 7.1 – Enforce the state’s civil and criminal laws including those related to intellectual property.

MEASURE 7.1.1 – Agency data collection to measure number, type and retail value of counterfeit goods.

OBJECTIVE 7.2 – Enforce the state’s civil and criminal laws including those related to charitable donations.

MEASURE 7.2.1 – Agency data collection to measure the number of enforcement actions taken and the number of violations corrected.

OBJECTIVE 7.3 – Enforce the state’s civil and criminal laws including those related to investor protection.

MEASURE 7.3.1 – Agency data collection to measure IA’s and Stockbroker’s licensed in NC.

GOAL 8 - Investigate, prosecute and resolve complex white collar crimes utilizing the Department’s law enforcement agents, professional staff, technology and partnerships with external stakeholders.

OBJECTIVE 8.1 – Investigate and enforce laws to prevent fraud and promote economic development.

MEASURE 8.1.1 - *Agency data collection to measure time to respond to complaints.*

OBJECTIVE 8.2 – Ensure that the Department has a functioning and accredited Cybercrime Lab staffed with certified professionals.

MEASURE 8.2.1 - *Agency data collection to measure financial fraud cases.*

GOAL 9 - Administer miscellaneous programs and duties assigned to the Department.

OBJECTIVE 9.1 – Manage unfunded program filings and registrations including, but not limited to: Calendar of Public Meeting; Business Opportunities; Loan Brokers; Campground Operators/Sellers; Telephonic Sellers; Invention Developers; Gender equity Appointment reporting; Ticket Resales; North Carolina Manual and State Cable Franchises.

MEASURE 9.1.1 - *Agency customer surveys to indicate record accessibility.*

OBJECTIVE 9.2 – Administer the North Carolina Electoral College and Constitutional Amendment Publication Commission.

MEASURE 9.2.1 - *Agency data and records on the performance of the NC Electoral College.*

MEASURE 9.2.2 - *Agency data and records on the performance of the NC Constitutional Amendment Publication Commission.*

OBJECTIVE 9.3 – Promote international relations by collaborating with other entities to inform and introduce international groups to North Carolina.

MEASURE 9.3.1 - *Agency data measuring the number of meetings with international groups.*