



**33rd Annual Conference**  
**Austin, Texas**  
**May 23 - 27, 2010**

***Taking Your Administration to a Great State***  
**Merit Award**  
**Application and Criteria**

**Completed applications must be received by: March 15, 2010**

**We are requesting all applications be submitted electronically.**

**Send completed application electronically to: Jenny Acker at [jennifer.acker@wisconsin.gov](mailto:jennifer.acker@wisconsin.gov).**

Criteria:

1. Any innovative changes in your office that have been implemented which allow the office to continue or increase its efficiency; or
2. Any technology innovation that improved the efficiency of the office, service to the customer or otherwise benefited the office.
3. Innovations submitted can include process/practice improvements, operational efficiencies, internal management procedures, fiscal management or work flow.
4. Only those innovations that have not been previously selected for recognition and which are presently in operation may be nominated (projects which are planned or currently under development are not eligible).
5. Application must be accompanied by a detailed description of the innovation and must demonstrate how it has enhanced your office. Award recipients will be given time at the 2010 IACA Conference to present their innovation.
6. While specific content of the submission is not mandated, application should include: an introduction, description, results of implementation, benefits (cost, production, or customer service), and lessons learned.

**Jurisdiction: Indiana**

**Submitted by: Liz Keele, Director Business Services**

**Date Submitted: March 12, 2010**

**Brief Description:** The ability to view, generate and download images of approved and filed business entity documents. This feature allows the customer to print the image or download certified copies without fees.

**Detailed Description:** On April 29, 2009 the Indiana Secretary of State's office launched to the general public the online feature to generate copies of filed business entity documents for active entities.

Beginning in 2003 the staff started the preparation and scanning of business entity reports filed from 1993 and forward for active entities. This portion of the project provided the SOS staff with digital images of over 1, 224,000 documents for a quick retrieval of information and archival purposes. The submission of request for proposal to scan all other corporate documents of active entities from vendors was due to our office by December 30, 2004.

By April 2005 the project had been negotiated and awarded to a specific vendor. For nearly three (3) years preparation of documents and scanning of remaining documents continued. On September 26, 2008 the SOS staff had the ability to begin scanning current documents and historical filings into the production database. During 2008 our staff and representatives from IN.gov (the state's web portal manager) began discussions on development of the generate copies online feature.

After several months in 2008 directed to development and testing the SOS offered on April 22, 2009 the link to the online feature to selected services companies, corporate law firms and several friends of the office who were located in different geographical locations throughout the state. This invitation to a select group provided a "soft" rollout of the feature. Results of this implementation provided identified features that needed to be updated prior to a full roll out of the feature to the general public.

Identified features included but not limited to the ability for the customer to notify the office when an image was not available for download. The documents not available for download may be of record for an inactive entity or the document had not been scanned and was a part of historical filings still to be processed.

*To describe the online feature,* the customer begins the process by conducting a business name search from our website. [https://secure.in.gov/sos/bus\\_service/online\\_corps/name\\_search.aspx](https://secure.in.gov/sos/bus_service/online_corps/name_search.aspx) After searching our database the results provided include the entity name the customer requested. The customer navigates to the current information of the entity searched and identifies the additional services available option to "Generate Copies of Business Entity Documents."

The customer views a listing of types of transactions approved and filed. The feature includes the number of images per transaction so the customer is aware of how many pages the transaction represents. One can either choose to preview the documents or generate copies either by image only or certified copy.

When previewing the images there is a watermark on the document for clarification that this feature is for viewing purposes only. Rather than viewing, the customer may choose the image only copy feature. When continuing with the download feature, a "shopping cart" of items ordered are ready for download is viewed on screen. The customer may delete an item to modify the order. If the customer is ready to download the order the images are compressed to a zipped folder to be opened or saved to their computer. Images are provided in pdf.file format.

Certified copies are downloaded in the same manner. The downloaded file will contain an additional page providing the name of the entity, control number (SOS unique identifier), transaction (Articles of Incorporation or Articles of Amendment etc.) and date filed along with number of pages for the transaction. The seal of the state of Indiana with Secretary Rokita's signature and the statement - "I hereby certify that this is a true and complete copy of this (2) page document filed in this office." This certificate page is dated and a certificate

number is noted for the authenticity of the documents. On the top of each page certified is the following statement “The Indiana Secretary of State filing office certifies that this copy is on file in this office.”

The online feature was enhanced to provide the capability to alert SOS staff which transaction a customer is ordering but is not yet scanned. When the customer conducts the name search, views the transactions filed to identify what documents need to be downloaded; if the documents have not been scanned for a particular reason (example entity inactive) the customer may insert their email in a web interface which gets directed to a reporting module for staff processing. This reporting module allows SOS staff to scan the transaction requested – and with a click of a button – notify the customer via email the image is now available and ready for download from the website. This module also allows SOS staff to track images that are not legible and need rescanning or need administrative editing due to other discrepancies.

Results of the implementation of only imaging active entities provided the opportunity to scan documents for inactive entities only upon request. The Inactive entities only represented up to 10% of the copy orders we had historically received.

The former manual process of the 12, 259 orders in 2007 the Business Services Division had one (1) employee who physically located the documents requested, photocopied each page, counted the number of pages for the completed order and data entered the information into the production database. The production database would generate an invoice for the transaction and the employee would prepare the order for delivery. Delivery could be pick-up, regular mail or express delivery.

From April 2009 the rise in orders and images downloaded from the website has increased over 800% since the days of physically locating the hard copy. The project’s final expenses ranged slightly over \$1 million dollars. This amount included costs for the years of labor and software development for the over 5,500,000 million images now available to the general public online. In the development stage it was determined in 2007 there were 12, 259 orders for copies. These orders averaged ten (10) pages each for a total of \$122,590 in revenue to the state’s General Fund. Four thousand four hundred and seven (4, 407) copies requested were certified for an additional revenue to the General Fund of \$66,105.

Secretary Rokita determined this online feature should be of no cost to the customer and would provide evidence in our objective to provide transparency in government.

To date we have had requests for only 3,755 missing images and just 55 images that needed correction. The number of images downloaded as of writing this application is 1,026,790 and counting!

Cost benefits to implementing this online feature includes but not limited to the decrease in costs for copy paper, toner, envelopes, postage, manpower and the former constant usage of the photo copier. You can not downplay the savings to the customer of first no processing fees and second the value to immediate access to certified copies for the court case that starts in five (5) minutes! ***Priceless!***

The one (1) Certifications Clerk continues scanning documents and administratively managing other order requests as needed. She is now crossed trained in other division services and available when needed.

From a recent customer “I love Indiana...I’ve lived here all my life and it’s just good people...good government. I just started a new nonprofit in Indiana to help patients to get medications that they can’t afford and I’m using my own social security disability payments monthly to help finance the entity and get it started...I love that your website is easy for even the novice....like me to use....keep up the great work. Thank you for thinking of my grandkids’ generation and using internet whenever possible instead of paper...”

**Lessons Learned:** During the three (3) years of working with a vendor on the process of scanning active entity documents the vendor had multiple project managers. Due to incompetency and turnover of project managers the objective was not kept on a timeline and consistencies in work processes varied by project manager. The SOS did not have a project manager assigned to the objective separate from the vendor's PM. The result of this delayed project and faulty management has prompted SOS to contract with one (1) project manager for oversight consistency and adhering to set timelines for final completion dates on other objectives. This particular objective took our administration to a great state – give it a try – you'll love it!

*Hey partners - thanks for considering Indiana!*