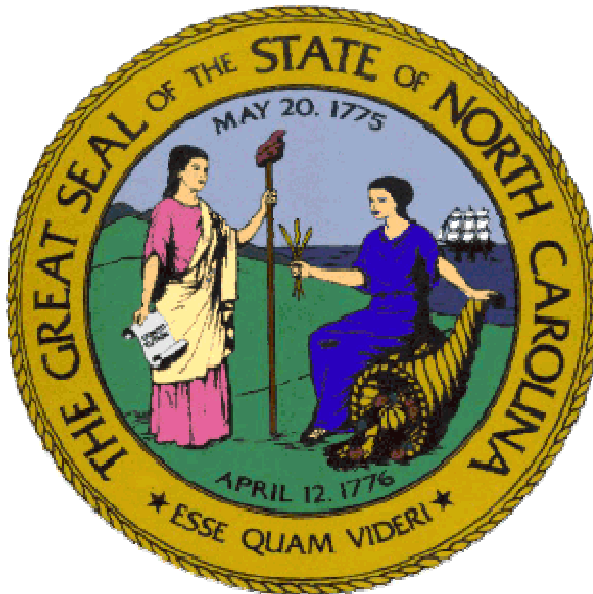


Use of Electronic Forms and Digital Signatures Report

As directed by Senate Bill 202, Section 6.16

March 2010



Prepared By:

Office of State Budget and Management

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I. EXECUTIVE SUMMARY

National and State legislation has been enacted to sanction the electronic processing of transactions and recording of documents. This legislation paves the way for State agencies to take advantage of document automation. Since forms represent 83%¹ of all business documents, they are an important aspect of document automation.

While the State has changed many paper forms to electronic transactions, there is ample opportunity to automate these forms further. In this study, each State Agency, Board and Commission submitted their top candidates for further automation to OSBM (Office of State Budget and Management). Selected forms were discussed with Agency owners.

This report contains an overview related to the entire subject and an evaluation of the barriers to making a business case for form automation. The report also proposes a plan to increase the use of electronic forms and digital signatures (or other means of authentication) in State government.

II. INTRODUCTION

Scope of Study

Section 6.16 of Senate Bill 202 directed the Office of State Budget and Management (OSBM), in coordination with the Office of Information Technology Services (ITS), to submit a plan to increase the use of electronic forms and digital signatures throughout State government. Analysis determined a methodology for assessing State government needs, inventoried an agency-generated prioritized list of projects and recommended policy. Section 6.16 reads as follows:

USE OF ELECTRONIC FORMS AND DIGITAL SIGNATURES

SECTION 6.16.(a) The Office of State Budget and Management shall develop a plan to increase the use of electronic forms and digital signatures throughout State government. In developing the plan, first the Office of State Budget and Management shall conduct an inventory of all paper or electronic forms currently in use by executive branch agencies. The Office of State Budget and Management may hire temporary help for the collection and compiling of the data for the inventory.

SECTION 6.16.(b) After completing the inventory, the Office of State Budget and Management and the Office of the State Chief Information Officer shall

¹ Source: "Organizational Cost Impact", Gartner Group

develop a plan for converting one or more paper forms to an electronic format. The plan shall include a detailed business case for the conversion, including cost, cost savings, cost avoidance, and any impact on productivity.

SECTION 6.16.(c) The Office of State Budget and Management shall assess the potential cost of converting all identified forms in the inventory to an electronic format and establish a timetable for achieving conversion as soon as practicable.

SECTION 6.16.(d) The Office of Information Technology Services shall provide technical assistance to the Office of State Budget and Management in the development of the plan to increase the use of electronic forms and digital signatures.

SECTION 6.16.(e) Executive branch State agencies shall provide all information requested by the Office of State Budget and Management and the Office of the State Chief Information Officer in conducting the inventory and in all other issues related to the development of this plan.

SECTION 6.16.(f) The Office of State Budget and Management and the Office of the State Chief Information Officer shall submit the plan to the Joint legislative Oversight Committee on Information Technology on or before March 1, 2010.

III. METHODOLOGY

To conduct this study, the following was done:

- Research was conducted on current federal and state laws, practices, and policies related to electronic forms (e-forms)
- State agencies, boards and commissions were surveyed to identify their top thirty e-form candidates
- Selected form owners were interviewed
- Issues, plans, and comments were collected
- An electronic form automation project was assessed

IV. OVERALL CONTEXT RELATED TO E-FORMS

Government is an information processing organization. It collects information from businesses and the public, processes and analyzes the information, and produces policy, payments, contracts, and regulations – all information. This chain of information is repeated, in one form or another, for every business process of government. Over the last thirty years we have started to move from paper based methods of this process to electronic methods. Electronic business processes have increased efficiency across government and the private sector. However, many, if not most, government processes still have a paper based component.

E-Forms are a method of collecting information at the beginning of the information chain in an electronic form. It often replicates the original paper based form in an electronic form. This can often be very useful but it can also be limiting. An E-form that is not part

of an end to end electronic business process transformation may lose the efficiencies of starting electronic. An electronic business process also has very different properties than a paper based process. Moving from paper to electronic requires an examination of the entire business process so that it can be re-engineered to take advantage of the benefits of being electronic. In addition, the whole notion of a form may be antiquated as products like TurboTax have shown us.

Analysis of the information chain often focuses on the efficiency of the process inside government. Unfortunately, that analysis leaves out the burden placed on the public for information collection. While making a form electronic can have a beneficial effect on the public it is often the electronic back-end process that can have a greater effect. Sadly, government often collects information it already has. Tax forms are the most often cited culprit. Government collects wage information from employers and the employees. If back-end processes were more efficient that information would only need to be collected once. In addition, much information is collected without proper justification. Surveys are assembled with good intentions but without proper statistical review the data collected can be completely worthless.

Case Study: The Federal Paperwork Reduction Act of 1980 and the Government Paperwork Elimination Act of 1998

The Office of Information and Regulatory Affairs (OIRA) in the Office of Management and Budget was created in 1980 with the passage of the Paperwork Reduction Act (PRA). Since then the PRA has been amended to account for the movement toward electronic information. OIRA reviews every collection of information by the federal government. The PRA requires every collection of information to have an OMB tracking number. Without such a number, the federal government is prohibited from requiring the public to provide the information to receive or access any benefit. Analysts review every collection through a series of questions like:

- Can this same information be gathered from another source already in government?
- If this information is going to be analyzed to make policy decisions, is it being collected in a statistically significant way?
- Can the business process be redesigned to reduce burden on the public or improve the efficiency of government?

None of these questions are electronic specific questions but are more fundamental. However, as we have seen, electronic processes can have a significant impact on these questions. OMB specified the linkage between information collection and electronic processes early on in the federal-wide regulation, OMB Circular A-130. The circular further references the Federal Enterprise Architecture, which includes maps of all the major business processes and information flows in the federal government.

In this context, the federal Government Paperwork Elimination Act (GPEA) was signed into law on October 21, 1998. As noted in the Federal Register:

“GPEA is an important tool to improve customer service and governmental efficiency through the use of information technology. This improvement involves transacting business electronically with Federal agencies and widespread use of the Internet and its World Wide Web.

As public awareness of electronic communications and Internet usage increases, demand for on-line interactions with the Federal agencies also increases. Moving to electronic transactions and electronic signatures can reduce transaction costs for the agency and its partner. Transactions are quicker and information access can be more easily tailored to the specific questions that need to be answered. As a result data analysis is easier. These access and data analysis benefits often have a positive spillover effect into the rest of the agency as awareness of the agency's operations is improved. In addition, reengineering the work process associated with the transaction around the new electronic format can give rise to other efficiencies.”

The Act (GPEA) required “Federal agencies, by October 21, 2003, to provide individuals or entities the option to submit information or transact with the agency electronically and to maintain records electronically when practicable. GPEA specifically states that electronic records and their related electronic signatures are not to be denied legal effect, validity, or enforceability merely because they are in electronic form. It also encourages Federal government use of a range of electronic signature alternatives.

Sections 1703 and 1705 of GPEA charge the Office of Management and Budget (OMB) with developing procedures for Executive agencies to follow in using and accepting electronic documents and signatures, including records required to be maintained under Federal programs and information that employers are required to store and file with Federal agencies about their employees. These procedures reflect and are to be executed with due consideration of the following policies:

- a. maintaining compatibility with standards and technology for electronic signatures generally used in commerce and industry and by State governments;
- b. not inappropriately favoring one industry or technology;
- c. ensuring that electronic signatures are as reliable as appropriate for the purpose in question;
- d. maximizing the benefits and minimizing the risks and other costs;
- e. protecting the privacy of transaction partners and third parties that have information contained in the transaction;
- f. ensuring that agencies comply with their recordkeeping responsibilities under the FRA for these electronic records. Electronic record keeping systems reliably preserve the information submitted, as required by the Federal Records Act and implementing regulations; and
- g. providing, wherever appropriate, for the electronic acknowledgment of electronic filings that are successfully submitted.”

GPEA also recognized that building and deploying electronic systems to complement and replace paper-based systems should be consistent with the need to ensure that investments in information technology are economically prudent to accomplish the agency's mission, protect privacy, and ensure the security of the data. Moreover, a decision to reject the option of electronic filing or record keeping should demonstrate, in the context of a particular application and upon considering relative costs, risks, and benefits given the level of sensitivity of the process, that there is no reasonably cost-effective combination

of technologies and management controls that can be used to operate the transaction and sufficiently minimize the risk of significant harm. Accordingly, agencies should develop and implement plans, supported by an assessment of whether to use and accept documents in electronic form and to engage in electronic transactions. The assessment should weigh costs and benefits and involve an appropriate risk analysis, recognizing that low-risk information processes may need only minimal consideration, while high-risk processes may need extensive analysis.”

As can be seen in the above discussion, E-forms can be a key component of the broader issue of electronic business practices in state government, which can yield significant improvements to government, citizens, and businesses.

However, E-forms are only one approach to an improved business process through automation. Other methods include application-specific data entry screens, application programming interfaces that permit network connectivity (e.g. Web services) or data warehousing. These other methods can be used depending on how the business process is defined, what changes are needed, and existing technical skills and architectures. Benefits include improved public service with easier-to-use forms and faster response times, enhanced government productivity and efficiency through improved data quality, duplicate data entry elimination, and added government effectiveness by reducing the need to perform manual activities and tasks and permitting focus on innovation and service. However, there are many elements that must also be considered, as noted above in the GPEA information, and as follows.

V. DEFINITIONS

In order to ensure a clear understanding of the terms in this report, definitions of the various technologies associated with e-forms are included:

- a. **E-form:** An e-form is a computer program version of a paper form. When compared to paper forms, e-forms allow more focus on the business process or underlying problem for which they are designed (for example, expense reporting, purchasing, or time reporting). There are various levels of automation that can be programmed into the e-form. At a high level of automation, the e-form can understand the roles and responsibilities of the different participants of the process and, in turn, automate routing, filing, and much of the decision making necessary to process the form.
- b. **Business process:** A collection of interrelated activities, initiated in response to a triggering event, which achieves a specific, discrete result for the customer and other stakeholders of the process. The result of the business process, in addition to being discrete and countable, must be essential. That is, it is fundamentally necessary to the operation of the organization, not just a consequence of the current implementation². An example of a business process could be: “Admit (or Reject) License Applicant”.

² Workflow Modeling, McDermott P., Sharp, A.

- c. **Business process reengineering (BPR):** a management practice that aims to improve the efficiency of the business process.
- d. **Authentication:** The process of determining whether someone is, in fact, who the person declares to be. This is commonly done by the use of logon passwords. Other means of authentication, especially with regards to e-forms, include electronic signatures or notarization.
- e. **Electronic signature:** An electronic sound, symbol, or process, attached to or logically associated with a contract or other record and executed or adopted by a person with the intent to sign the record. An electronic check box, an “I agree to accept” button and a digital signature are examples of an electronic signature.
- f. **Digital signature:** An electronic signature that can be used to authenticate the identity of the sender of a message or the signer of a document, and possibly to ensure that the original content of the message or document that has been sent is unchanged. Digital signatures are easily transportable, cannot be imitated by someone else, and can be automatically time-stamped. The ability to ensure that the original signed message arrived means that the sender cannot easily repudiate it later.
- g. **Non-repudiation:** The assurance that someone cannot deny something. It refers to the ability to ensure that a party to a contract or a communication cannot deny the authenticity of their signature on a document or the sending of a message that they originated.
- h. **Digital certificate:** A digital certificate is an electronic "credit card" that establishes your credentials when doing business or other transactions on the Web. It is issued by a certificate authority (CA). It contains your name, a serial number, expiration dates, a copy of the certificate holder's public key (used for encrypting messages and digital signatures), and the digital signature of the certificate-issuing authority so that a recipient can verify that the certificate is real.
- i. **Public key:** A value provided by some designated authority as an encryption key that, combined with a private key derived from the public key, can be used to effectively encrypt messages and digital signatures.
- j. **Notary public:** A notary public (or notary or public notary) is a public officer constituted by law to serve the public in non-contentious matters usually concerned with estates, deeds, powers-of-attorney, and foreign and international business. For signature purposes, the notary serves to witness and authenticate the person who signed (or executed) of certain classes of documents. The authentication typically occurs when the person who signed the document shows his proof of identity to the notary.
- k. **Electronic notary (E-notary):** A notary public, who has had additional training, is appointed by the Secretary of State, and who obtains an electronic signature product from an authorized electronic notary solution provider. The solution provider must meet the Department of Secretary of State’s technical and legal standards.

VI. FORMS INVENTORY

As noted in the introduction, the special provision called for OSBM to inventory forms. OSBM surveyed the State's agencies, boards and commissions to identify their top candidates having the highest potential for form automation. Each State entity was also asked to provide additional information related to these forms:

- Name of form
- Purpose of form
- Form administrator
- Form location
- Form format
- Authoritative Source
- Form benefit
- Form frequency
- Format of filing
- Whether multiple personnel handle
- Whether resources are available to automate the form
- Whether a signature is required and printed out
- Whether a signature notarization is required

For purposes of the survey, an E-form is defined as a form completed and submitted on-line without the need to print or use e-mail or another step to submit the form. The data on the form is electronically filed into an agency's data repository to be used for further analysis or processing. OSBM selected this definition because many of the State's paper forms have already been converted to an electronic format. State forms are typically available for download on an agency's website. However, they are often filled out, transmitted and/or filed in paper format.

A total of 575 forms were submitted by twenty-four (24) State entities. Appendix A provides this list of forms by agency and identifies the top 50 forms statewide based on volume. For various reasons, agencies did not provide all data requested. For example, OSP indicated it did not know the number of job applications across the State because it is administered at the agency level. The following statistics summarize the survey:

- 575 forms "nominated" by 24 state entities
- 85% (459 of 539) of the forms require a signature.
- 9% (42 of 444) of the forms require a notarized signature.
- 32% (140 of 435) of the forms could be automated with the agency's current resources.
- 83% (439 of 526) of the forms involved multiple personnel

The data above shows that signatures are an important component of forms. It also indicates a potential for productivity improvement if forms or associated business processes were automated, but that agencies are in need of assistance to meet this goal.

State entities were also surveyed to identify automation projects already initiated. The majority of the large entities already had undertaken some projects that automated forms and workflow. In doing so, agencies have used the technology and skills in place, with the intent to maximize their use of that investment. Several agencies have explored vendor options for new e-form products. Others are implementing software applications that have the potential to reduce the number of forms needed. No consistent statewide strategy for forms automation was evident.

VII. ELECTRONIC AUTOMATION CHALLENGES

The State faces challenges, both statewide and within agencies, in adopting higher levels of electronic automation.

1. Lack of governance

As seen from the detail below, information policy (collection, analysis, and use of information) and BPR is scattered among many agencies. The Secretary of State, Cultural Resources, the State Chief Information Officer, the Office of State Budget and Management, and State Controller all have pieces but none has the ownership to make the pieces work together.

2. Lack of a consistent, visible strategy, initiative and methodology

The State does not have a common strategy and methodology specifically for automation. There is no systematic review or central technical assistance resource to help agencies prioritize and implement electronic automation. Different agencies have different priorities, approaches, opinions, and understanding of form automation and the alternatives that exist. Each agency must figure out how to accomplish form automation, and there is no mechanism to communicate and share best practices. As a result, there is no consistent, visible initiative to promote electronic automation statewide.

3. Lack of perceived acceptability of electronic processes

As noted in the inventory results, 85% of the forms required a signature and 9% had to be notarized. Agencies considered this a deterrent to form automation. However, the State has authorized electronic signatures, notaries, commerce, and records with a number of rulings, as described below.

In 1999, the Uniform Electronic Transactions Act (UETA) was approved at the national level. 47 states including North Carolina have adopted UETA. Then, in 2000, the federal Electronic Signatures in Global and National Commerce Act (E-Sign) was adopted. These two acts give legal effect to transactions that are executed and transmitted electronically, and allow them to be enforced between the parties to the transaction. Documents resulting from electronic transactions

are, therefore, valid and enforceable between parties³.

In 2004, the Uniform Real Property Electronic Recording Act (URPERA) was adopted, and enacted in North Carolina in 2005. This act gave recorders of information the option to receive and record documents and information in electronic form.

The North Carolina General Assembly has passed various bills that support the use of e-forms in State government. These General Statutes allow for electronic signatures to have the same force as manual signatures (under certain conditions), allow for fees to be charged for electronic transactions, permit electronic notarization of signatures, permit electronic records to be maintained when the record is required to be in its original form, and allow electronic records to be admissible evidence in proceedings.⁴

4. Inadequate electronic authentication infrastructure

Because many forms require a signature, the decision to use an e-form is dependent on the decision on how to authenticate the user. Inherent in this decision is the judgment that the security associated with that authentication is sufficient to covers the risk inherent to the associated business process.

The State provides NCID, an authentication method using passwords. This form of does not meet all agencies' requirements. For example, CCPS had a requirement that a citizen's password would continue to be maintained, with password reminder prompts, if forgotten. NCID does not presently offer this capability. In another example, the Secretary of State's office indicated a need for signature non-repudiation as a requirement to automate an e-form. Signature non-repudiation (independent verification) can be performed using such methods as a certificate authority or an electronic notary. Vendor tools are enabled with digital certificates using a certificate authority. Presently, the State does not provide a certificate authority service, but it is offered by vendors. Ten years ago, the State assessed how it could become its own certificate authority, but dismissed it because of the "clunky" technology and a lack of agency demand for the service at the time. While no cost estimate is available for this service, it would likely cost millions of dollars if the state offered digital certificates to the entire state. The State of Illinois decided to provide an infrastructure using digital certificates. It outsources the issuance of the digital certificates to a vendor and has created its own set of policies for their registration and control. It has seen gradual acceptance in the state.

An electronic notary performs a similar form of authentication, except that the electronic notary performs the service in person. The document signer must personally appear before the electronic notary at the time of the notarization. The

³ Report from the North Carolina Electronic Recording Council, April 12, 2007

⁴ See appendix C to view general statutes and other authoritative sources.

notary must use an electronic signature service that is verified by the Secretary of State as being secure and legally enforceable. There are about 500 active e-notaries in the State (32 in State government) today. About ½ of the counties have at least one registered e-notary. This compares to about 170,000 notaries in the State. The use of e-notaries has been in place only about eighteen months. State and local governments have begun to use e-Notarization (appendix D). 25 community colleges offer e-notary classes at least once a quarter. The dearth of e-notaries and the lack of awareness of this service hinder the adoption of e-notarization.

5. Business Process Reengineering is hard

Making a business process electronic always involves some level of reengineering. But rethinking a business process is not a frequent activity for those that operate the process. It is hard to imagine the capability of software or electronic processes when one has only worked in a paper based environment. Even when a decision is made to automate, uncertainty leads to decisions that remove much of the benefit of automation. For example, as noted above, many want to require non-repudiation or routine verification of electronic signatures. However, print signatures are almost never put through these rigors.

6. Attachments Inhibiting Acceptance

Many form owners indicated that the requirement for paper attachments made automated forms less appealing. Examples of paper attachments mentioned were checks, transcripts, fingerprints, licenses from other states, etc.

7. Insignificant volume Limiting Cost-Saving Potential

Some of the boards and commissions indicated their volume of forms were too small to allow for a cost savings from converting to automated forms.

8. Payment Acceptance Capability Not Universal Among Agencies

Some of the entities did not have an ability to accept on-line payment processing or were concerned about incurring the credit card processing fees if they went to on-line payment processing. However, many State entities are accepting electronic payments with increasing frequency. During the 2009 fiscal year, the State had 7.6 million card transactions totaling \$703 million, compared to 6 million transactions totaling \$646 million the prior fiscal year. This reflects a 27% increase in the number of transactions. If stacked vertically, the stack of 7.6 million checks eliminated by the card transactions would have been 3,620 feet tall, equivalent to the height of nearly three Empire State Buildings.

According to the State's Electronic Commerce Task Force Report dated April, 2008, State General Government fiscal officers estimated that the cost of

processing of a check to be \$2.00, whereas a credit card transaction to be \$1.60 and an Automated Clearing House (ACH) payment to be \$1.00⁵.

For credit card and ACH payment processing, State entities have the option of using many choices with all the private sector work in this area. Two of the most common are ITS's shared service called Common Payment Services (CPS) and PayPoint, a vendor's solution available via a statewide term contract (signed March 2009). CPS is a gateway service to enable credit card payment processing and is used by 12 agencies and commissions, 3 Universities, and 1 local government. PayPoint is provided for those agencies with fewer resources and who need an (almost) off-the-shelf solution that can be configurable to their accounting system environments. One agency uses PayPoint today and several other agencies have signed up to use this service.

9. State law or rule or internal policy Inconsistent with Other Law related to E Form Usage

A number of entities mentioned a State law, administrative ruling, or internal agency procedure as reasons for not embracing e-forms or documents. For example, a General Statute relating to court documents permits electronic transmission of court proceedings, but requires a paper copy within seven days.

10. Lack of user acceptance of electronic processes

One agency mentioned the fact they have developed an automated process, but most of the users use paper because they are unwilling or unable to use computers. Also, the agency had an internal policy to require the paper form to be on the person. Another agency complained of large numbers of written complaint letters, rather than submitting feedback on-line. OSBM did not find any e-forms that were mandatory for electronic submission (paper submission is permitted).

11. Difficulty assessing the trade-off between business process reengineering and simple form automation

Current BPR projects or the possibility of future BPR projects may sway agencies not to pursue form automation. In some cases, form automation has been placed on hold because a BPR project is being considered or was considered in the past for fulfilling the need to automate forms, but not approved. It may be a valid business decision not to automate a form if the BPR project will render the form obsolete. However, if a project is not likely to be initiated in the foreseeable

⁵ Generally, the larger the volume of transactions an agency processes, the lower the "cost per transaction" for each payment alternative. Also, credit card processing fees are directly related to the dollar amount of the transaction. As a result, Universities and Community Colleges which have had a historically higher average payment amount per transaction, the average credit card processing cost higher than the other two payment alternatives.

future (such as within 2-3 years), it may be appropriate to consider automating a form today.

For example, the Office of State Personnel (OSP) owns the State job employment application. It can be filled out on-line, but must be printed out to be signed by the applicant. OSP indicated that during the prior governor's administration, a proposal for \$6-7 million was initiated with the Office of State Controller to integrate the job application form with the BEACON system. This proposal was rejected for budgetary reasons and OSP has not pursued it since. The OSP official indicated that a signature is not necessary at the time of application, and could be obtained from those applicants who were interviewed, so it is easier to automate because it could avoid the signature requirement. In the meantime, the State's Crime Control and Public Safety (CCPS) agency has developed an automated job application program for less than \$100,000. Although CCPS job interviewees are still required to sign a paper form, the agency has eliminated the requirement that all job interviewees sign a paper form. Most other agencies still use the OSP form for job applicants.

Another agency was asked about how it decides whether or not to pursue form automation. It indicated that the Department Secretary decides what is important and mentioned the current strategic project is consuming all resources.

12. Organizational issues Affecting Resources and Interest in Analyzing Potential

Issues related to the organization involved a lack of cooperation within an agency and between agencies. Traditionally, IT has its own budget which is separate and distinct from the line of business budget. IT is physically separated from the rest of the business and the CIO does not always participate in business decisions that can affect IT. One CIO said that "the businesses do not want me telling them how to run their business."

In another situation, the agency indicates it enters the data that is readily available from another agency's system. When asked why it hasn't been addressed he said that it costs "at least one million dollars" every time he asked IT for an estimate to improve the information system.

At the same time, there are a number of common or similar forms and processes among agencies for which electronic processes could be developed once and propagated to other agencies. Examples of these common forms and processes include the collection of licenses or permits and fees, travel expense forms, contractor expense forms, and job applications. However, there is no central forum to work on these common issues.

VIII. E-FORM OPPORTUNITIES

There are many benefits that can be realized in choosing to further electronic automation. Aside from eliminating the cost of printing, storing, and distributing pre-printed forms, and the waste of obsolete forms, electronic transactions can be filled out faster because the programming associated with them can automatically format, calculate, look up, and validate information for the user. With electronic submission of information, the cost of rekeying data can be eliminated as can the associated errors (according to Gartner Group, the percentage margin of error for every instance of data reentry is 7%⁶). These benefits are worthy on their own but changing the business process and/or handling the transformation and routing of the information as it flows to back-end enterprise systems is even more valuable. For example, Adobe Systems has estimated 10% to 20% error rate of its internal expense reports and the cost to fix each rerouted form to be \$150 in employee time⁷. The associated benefits include a more efficient and controlled business process.

Electronic forms differ in their value-add based their level of maturity (see appendix B for an e-form maturity model). Each successive level of electronic form provides increasing value-add to the agency. This value may be in the form of manual work reduction, improved ease-of-use, greater acceptability, less paper, higher data quality, etc. and can be translated into cost savings and cost avoidance. Both the characteristics of the form and the business process related to the form should be considered before choosing which level of e-form, if any, provides the appropriate return on investment. Factors such as the cost of converting the form: the form frequency, complexity, and handling; any ancillary document requirements; local and/or federal government requirements; and steps involved in the business process are relevant in the decision-making process.

IX. ASSESSMENT

The issues which limit progress towards greater implementation of electronic solutions to forms use can be summarized into three broad areas:

- Agency and statewide organizational barriers, including separation of IT and business requirements and lack of governance.
- Lack of understanding or urgency among agency managers of potential impacts of automating agency-critical forms, including cost savings, easier, more streamlined processes, easier citizen and business transactions, reduced error rates
- Absence of central technological solutions, policy, and assistance services to expedite conversion

Resources, including funding are also issues because they could be required for the creation of a center of competency and promotion program. The State of Minnesota has decided to handle common licensing requirements with a new on-line licensing system through a temporary license surcharge of 10% and minimum of \$5. A similar licensing surcharge could be used for automation in the State of North Carolina.

⁶ Gartner AI Conference 2000

⁷ "Forms at Adobe, A Case Study", Adobe Systems Incorporated

X. RECOMMENDATIONS

Based on the findings of this study, related to statewide and agency-specific issues, as well as what is happening in both federal and other state governments, the following recommendations are proposed:

1. More centralization for state information policy and infrastructure

Payment, security, authentication, record, and privacy policy authority and infrastructure is scattered across several “lead” state agencies. Unfortunately, these policies must work together to enable successful electronic transactions. Changing business processes to become electronic requires rethinking these information policy areas at every stage. Having uncoordinated statewide policy and infrastructure makes the transformation much more difficult. Specifically, the state should enforce the use of a single electronic payment method for all state entities. By using a single electronic payment method the State will gain economies of scale thereby reducing the cost associated with implementing this type of service.

2. Build technical expertise at ITS

As a part of its role in providing services to local government, ITS is confronted with the requirement to enable forms online. This provides an ideal venue for the development and testing of an enterprise E-forms solution. Provided with adequate funding, ITS can create a solution that may be leveraged more broadly in the future, can do so more quickly than the current project plan allows, and can deploy this solution in a pilot phase as a proof of concept. ITS could use the adopted e-Forms solution to serve as a proof of concept for government-to-government transactions and build expertise for agency services. Features of the solution would include:

- Expert system - making it simple for customers figure out what they need to fill out
- Normalization of data - leverage existing centralized & trusted data sources to avoid filling out the same information multiple times
- Ease of use - e-Forms will be implemented using the best of Web 2.0, facilitating quick and simple web-based data entry
- Validation - e-Forms will be validated real-time, ensuring that only good data is forwarded to the State for processing
- Workflows - after a form is filled out, the form may have multiple stages of review & approval before processing is completed

3. Map an as-is state business process and information architecture

BPR first requires know the process you are trying to improve. Automating processes would be far more efficient if related processes and information flows were well understood by agencies. ITS should map all the high level business processes and

information flows across state government as a companion to their state IT architecture. This information, if maintained, will allow the state to target BPR, reduce redundancy, and improve services.

4. Create an incentive to automate forms

The federal government requires all information collections to be explicitly approved by OMB to be valid. This requirement incentivizes review, updating, and automation of forms. As a result, the federal government has an inventory of all information collections and plan to make the use of each more efficient. However, this requirement also creates a review burden on agencies when starting or changing an information collection.

More attention on program performance would also provide an incentive to automate forms. Automation improves response time and accuracy – key measures for program performance. If program performance is stressed those programs with forms (the most important because they are interacting with the public) will automate. The Governor's Executive Order #3 moves in this direction.

5. Dedicate resources

Centralization of information policy would require some function consolidation across the state. An ITS forms pilot could probably be implemented mostly within the normal ITS service structure. But building an information and business architecture will require one to two new FTE that could not be legitimately billed to agencies. Information collection review and tracking would also require resources. Interviews with OMB staff indicate two FTE and some moderate technical funding would be required to implement a similar system at the state level. Any serious acceleration of form automation will require resources to facilitate adoption.

Appendix A1: Forms numbers by entity

Government agency	Number of Candidate Forms Reported
Administration	29
Agriculture	21
Auditor	29
Commerce	49
Community College System	7
Controller	30
Correction	30
Crime Control & Public Safety	30
Cultural Resources	26
Employment Security Commission	20
Environment and Natural Resources	30
Health and Human Services	30
Housing Finance Administration	21
Information Technology Services	20
Insurance	25
Juvenile Justice & Delinquency Prevention	28
Labor	3
Lottery	3
Personnel	2
Public Instruction	41
Revenue	13
Secretary of State	30
Transportation	30
Treasurer's Office	28
Total	575

Appendix A2: Top 50 forms (based on those for which quantities were submitted)

Agency	Division	Form Number	Form Name	Form location	Quantity per week
Health and Human Services	DSS/EFS/FNS	DSS-8207	Application for Food and Nutrition Services	http://info.dhhs.state.nc.us/olm/forms/dss/dss-8207.pdf	13809
Revenue	Taxpayer Assistance	E-500	Sales and Use Tax Return	http://www.dornc.com/electronic/index.html	6185
Revenue	Taxpayer Assistance	NC-5	Withholding Return	http://www.dornc.com/electronic/index.html	4899
Revenue	Personal Taxes	NC-3M	Annual Withholding Reconciliation - Monthly	http://www.dornc.com/electronic/index.html	4511
Health and Human Services	Social Services	DSS-1402	CPS Intake Form	http://info.dhhs.state.nc.us/olm/forms/dss/dss-1402.pdf	4385
Employment Security Commission	ESC	NCUI 500S	Fact Finding Report Supplement		4000
Revenue	Personal Taxes	CD-401S	S Corporation Tax Return	http://www.dornc.com/electronic/index.html	3424
Revenue	Personal Taxes	NC 5Q	Withholding Quarterly Reconciliation	http://www.dornc.com/electronic/index.html	3127
Environment and Natural Resources	DFR	4409-2	Burn Permit	DFR Central Office Raleigh, 429 other locations	2917
Health and Human Services		DSS-5010	Structured documentation tool for CPS	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5010.pdf	2000
Health and Human Services		DSS-5106	NC MRS Case Tracking Form	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5106.pdf	2000
Health and Human Services		DSS-5231	Safety assessment	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5231.pdf	2000

Revenue	Personal Taxes	CD-405	C Corporation Tax Return	http://www.dornc.com/electronic/index.html	1902
Health and Human Services		DSS_5203	Kinship Care Initial Assessment	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5203.pdf	1500
Commerce	N.C. Industrial Commission	Form 19	Employer's Report of Employee's Injury to the Industrial Commission	http://www.ic.nc.gov/forms.html	1200
Health and Human Services		DSS-5239	In Home Family Services Agreement	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5239.pdf	1200
Revenue	Personal Taxes	NC-3	Annual Withholding Reconciliation	http://www.dornc.com/electronic/index.html	1188
Correction	Controller	DC-481	Independent Contractor Time Report	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	1000
Correction	Controller	DC-702	Direct Processing Form	na	1000
Transportation	DMV - License & Theft	None	Seizure Of Plates	Division of Criminal Information	1000
Treasurer's Office	Retirement Systems	6 Series (9 different forms)	Retirement Forms	http://www.nctreasurer.com/DSTHome/RetirementSystems/Retirement+Application+Forms.htm	1000
Treasurer's Office	Retirement Systems	6 Series (9 different forms)	Retirement Forms	http://www.nctreasurer.com/DSTHome/RetirementSystems/Retirement+Application+Forms.htm	1000
Treasurer's Office	Retirement Systems	HM	Selecting Health Coverage	http://www.nctreasurer.com/NR/rdonlyres/92D3D908-69D3-49B9-B6C8-013355934F6D/0/HM.pdf	1000
Secretary of State	Corporations	BE-06	Statement of Change of Registered Office and/or Registered Agent		855
Treasurer's Office	Unclaimed Property	On-line claim form	On-line claim form	www.nccash.com	850
Health and Human Services		DSS-5204	Kinship Care Comprehensive Assessment	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5204.pdf	800

Health and Human Services		DSS-5228	Case Decision Summary Initial case plan	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5228.pdf	800
Health and Human Services		DSS-5229	Family assessment of strengths and needs	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5229-ia.pdf	800
Health and Human Services		DSS-5240	Out of Home Family Services Agreement	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5240.pdf	800
Correction	Controller	DC-704	Request Approval to Purchase	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	750
Transportation	DMV - License & Theft	LT 262	Notice of Unclaimed	Paper Request or http://www.ncdot.org/dmv/forms/licensetheft/download/LT262.pdf (ON LINE PYMT FUNCTIONALITY NEEDED To support)	700
Employment Security Commission	ESC	NCUI 506E	Work Search Record	http://www.ncesc1.com/individual/downloads/downloadMain.asp#employeeForms	650
Health and Human Services	DSS/EFS/FNS	DSS 2624	Food and Nutrition Services Referral Form	http://info.dhhs.state.nc.us/olm/forms/dss/dss-2624-ia.pdf	550
Revenue	Taxpayer Assistance	NC-BR	Business Registration Application for Income Tax Withholding, Sales and Use Tax, and Machinery, Equipment, and Manufacturing Fuel Tax	http://www.dornc.com/electronic/index.html	506
Commerce	N.C. Industrial Commission	Form 28	Return to Work Report	http://www.ic.nc.gov/forms.html	500
Commerce	N.C. Industrial Commission	Form 28T	Notice of Termination of Compensation by Reason of Trial Return to Work	http://www.ic.nc.gov/forms.html	500

Commerce	N.C. Industrial Commission	Form 28B	Report of Employer or Carrier/Administrator of Compensation and Medical Paid and Notice of Right to Additional Medical Compensation	http://www.ic.nc.gov/forms.html	500
Commerce	N.C. Industrial Commission	28C	Report of Employer or Carrier/Administrator of Compensation or Medical Compensation Paid Pursuant to a Compromise Settlement Agreement	http://www.ic.nc.gov/forms.html	500
Correction	Controller	DC-114	Travel Reimbursement Form	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	500
Treasurer's Office	Retirement Systems	7 Series (11 different forms)	Disability Forms	http://www.nctreasurer.com/DSTHome/RetirementSystems/Disability+Application+Forms.htm	500
Treasurer's Office	Retirement Systems	7 Series (11 different forms)	Disability Forms	http://www.nctreasurer.com/DSTHome/RetirementSystems/Disability+Application+Forms.htm	500
Environment and Natural Resources	DFR	4409-3	Burn Permit	DFR Central Office Raleigh, 120 other locations	435
Correction	MIS	na	Statement of Understanding Concerning Unauthorized Use of Computer and Software by Department of Correction Employees	http://internal.doc.state.nc.us/ISO/forms.html	400
Health and Human Services		DSS_5230	Family risk assessment of abuse and neglect	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5230-ia.pdf	400
Revenue	Sales and Use Tax	E-585	Nonprofits and Governmental Entity Claim for Refund Form	http://www.dornnc.com/electronic/index.html	368

Revenue	Taxpayer Assistance	D-410	Application for Extension for Filing Individual Income Tax Return	http://www.dornc.com/electronic/index.html	364
Commerce	N.C. Industrial Commission	Form 18	Notice of Accident to Employer and Claim of Employee of His Personal Representative or Dependents	http://www.ic.nc.gov/forms.html	350
Health and Human Services		DSS-1809	Affidavit of parentage	http://info.dhhs.state.nc.us/olm/forms/dss/dss-1809-ia.pdf	350
Health and Human Services		DSS-2250	Adoption assistance payment authorization notice	http://info.dhhs.state.nc.us/olm/forms/dss/dss-2250-ia.pdf	350
Secretary of State	Certification and Filing		Notary Public Reappointment Application		342

Appendix A3: Agency forms

Agency	Division	Form Number	Form Name	Form location	Quantity per week
Administration	Fiscal Management	n/a	Contract Tracking Sheet for Signatures	http://www.doa.nc.gov/fiscal/documents/forms/contracttracking.xls	50
Administration	Fiscal Management	SO20	Budget Authorization Form	http://www.doa.nc.gov/fiscal/documents/forms/budauthorization.xls	30
Administration	Facility Management	DOA-SO-00025	Application to use buildings and or grounds	http://www.doa.nc.gov/facility/documents/permit.doc	5
Administration	Parking Division	DOA-SBD-PP-115	Parking Form	http://www.doa.nc.gov/parking/documents/forms.aspx	5
Administration	Facility Management	FMD Flag	Flag Request	http://www.doa.nc.gov/facility/documents/flagreq.doc	2
Administration	Fiscal Management	n/a	Fixed Asset Input	http://www.doa.nc.gov/fiscal/documents/forms/FAS260.xls	1
Administration	Purchase and Contract	n/a	Vendor Complaint Form	http://www.pandc.nc.gov/Documents/vendcom.doc	N/A
Administration	Youth Advocacy and Involvement	n/a	State Internship Application	http://www.doa.nc.gov/yaio/documents/interns/Intern%20Application%202010.doc	N/A
Administration	Youth Advocacy and Involvement	n/a	State Internship Project Proposal Form	http://www.doa.nc.gov/yaio/documents/interns/09Project%20Proposal%20Form%202010.doc	N/A
Administration	Youth Advocacy and Involvement	n/a	SADD Leadership Conference Registration	http://www.doa.nc.gov/yaio/documents/sadd/2009%20Registration%20forms.pdf	N/A
Administration	Youth Advocacy and Involvement	n/a	Application for Mini-Grant	http://www.doa.nc.gov/yaio/documents/minigrant/2009MiniGrantApp.doc	N/A
Administration	Youth Advocacy and Involvement	n/a	Youth Legislative Assembly Registration	http://www.doa.nc.gov/yaio/documents/yla/RegistrationPacket-YLA2009.doc	N/A
Administration	Facility Management	n/a	Alteration Request	http://www.doa.nc.gov/facility/documents/alteration.doc	N/A
Administration	Facility Management	n/a	Sign Request Form	http://www.doa.nc.gov/facility/documents/signreq.doc	N/A
Administration	Federal Surplus Property	PC-90	Application for Eligibility	http://www.doa.nc.gov/fsp/documents/forms/Application%20Pg%201.pdf	N/A

Administration	Federal Surplus Property	PC-FS-99	Authorized Representatives Form	http://www.doa.nc.gov/fsp/documents/forms/Authorized%20Rep%20Pg%201.pdf	N/A
Administration	Federal Surplus Property	n/a	Nondiscrimination Assurance	http://www.doa.nc.gov/fsp/documents/forms/Nondiscrimination%20Pg%201.pdf	N/A
Administration	Federal Surplus Property	n/a	Certification Regarding Department, Suspension, Ineligibility and Voluntary Exclusion - Lower Tier Covered Transactions	http://www.doa.nc.gov/fsp/documents/forms/Certification.pdf	N/A
Administration	Historically Underutilized Businesses	n/a	Quarterly HUB Purchasing Report	http://www.doa.state.nc.us/hub/forms.htm	N/A
Administration	Historically Underutilized Businesses	n/a	Outreach Training Request Form	http://www.doa.state.nc.us/hub/forms.htm	N/A
Administration	Fiscal Management	n/a	Use of Personal Vehicle Form	http://www.doa.nc.gov/fiscal/documents/forms/personalvehicle.doc	N/A
Administration	Fiscal Management	n/a	Marriage License Remittance	http://www.doa.nc.gov/fiscal/documents/forms/MLRemittForm.XLS	N/A
Administration	Non-Public Education	n/a	Notice of Intent to Operate a Home School	http://www.ncdnpe.org/documents/NewSchoolForm.pdf	N/A
Administration	Parking Division	n/a	State Employee Accessible Parking Request	http://www.doa.nc.gov/parking/documents/forms.aspx	N/A
Administration	Human Relations Commission	n/a	Housing Discrimination Form	http://www.doa.nc.gov/hrc/documents/Hud-1.pdf	N/A
Administration	State Property Office	n/a	DOI Risk Management	http://www.doa.nc.gov/spo/documents/forms/Property_Reporting_Form_On_Line.doc	N/A
Administration	State Property Office	n/a	Surplus Property Bid Form	http://www.doa.nc.gov/spo/documents/forms/surplus.doc	N/A
Administration	State Property Office	PO1	Acquisition of Real Property	http://www.doa.nc.gov/spo/documents/forms/PO1.doc	N/A
Administration	State Property Office	PO2	Disposal of Real Property	http://www.doa.nc.gov/spo/documents/forms/PO2.doc	N/A
Agriculture	Veterinary		AWS facility application	http://www.ncagr.gov/vet/aws/documents/FacilityLicenseForm.pdf	13
Agriculture	Veterinary		AWS Program of Veterinary Care	http://www.ncagr.gov/vet/aws/documents/ProgramofVeterinaryCare.pdf	13
Agriculture	Food & Drug Protection		Application for permit for sale of antifreeze	http://www.ncagr.gov/fooddrug/forms/antifreeze_forms_letter.pdf	10
Agriculture	Marketing / Goodness Grows		Goodness Grows Membership Application	http://www.ncagr.gov/markets/gginc/ggincapplication.pdf	3
Agriculture	Agronomic Services	AD1	Soil sample information	http://www.ncagr.gov/agronomi/pdf/issoil.pdf	N/A
Agriculture	Plant Industry		Application for a seed dealer's license	http://www.ncagr.gov/plantindustry/pdf/seedapplicationform.pdf	N/A

Agriculture	Plant Industry		Entophyte Testing Service	http://www.ncagr.gov/plantindustry/Seed/endoform.pdf	N/A
Agriculture	Standards Division		Application for registration limited petroleum device technician	http://www.ncagr.gov/standard/forms/LimitedPetroDevTech.pdf	N/A
Agriculture	Structural Pest Control & Pesticides		Application for structural pest control license	http://www.ncagr.gov/SPCAP/structural/forms/License_application.pdf	N/A
Agriculture	Structural Pest Control & Pesticides		Application for license examination	http://www.ncagr.gov/SPCAP/structural/forms/documents/LicenseExamApplicationRevised.pdf	N/A
Agriculture	Structural Pest Control & Pesticides		Application for structural pest control certified applicator's card	http://www.ncagr.gov/SPCAP/structural/forms/certapplicationv4.pdf	N/A
Agriculture	Structural Pest Control & Pesticides		Examination preregistration form	http://www.ncagr.gov/SPCAP/structural/pdf/preexamform.pdf	N/A
Agriculture	Structural Pest Control & Pesticides		Application for continuing certification units (CCU's)	http://www.ncagr.gov/SPCAP/structural/forms/App1.pdf	N/A
Agriculture	Structural Pest Control & Pesticides		Branch Office Registration Form	http://www.ncagr.gov/SPCAP/structural/forms/Branch_Office.pdf	N/A
Agriculture	Structural Pest Control & Pesticides		Registered Technician School application for enrollment	http://www.ncagr.gov/SPCAP/structural/forms/enrollment.pdf	N/A
Agriculture	Structural Pest Control & Pesticides		Application For Registration of New Pesticide Product	http://www.ncagr.gov/SPCAP/pesticides/documents/newprodregjune2009.pdf	N/A
Agriculture	Standards Division		Application for public weigh master license	http://www.ncagr.gov/standard/forms/documents/formWeighmasterApplication.pdf	N/A
Agriculture	Standards Division		Application for registration as a scale technician	http://www.ncagr.gov/standard/forms/ScaleTechApplication.pdf	N/A
Agriculture	Standards Division		Application for registration - petroleum device technician	http://www.ncagr.gov/standard/forms/PetroTechApplication.pdf	N/A
Agriculture	Standards Division		Application for registration of gasoline diesel fuel brand name	http://www.ncagr.gov/standard/forms/BrandName.pdf	N/A
Agriculture	Plant Industry Division	BS-2 (9/99)	Apiary Registration Form	http://www.ncagr.gov/plantindustry/plant/apiary/documents/2008ApiaryRegistrationForm.doc	N/A
Auditor	Human Resources	N/A	Staff Demographic	Internal SharePoint Portal	0
Auditor	Fraud Investigation	N/A	Hotline complaints via our website	http://www.ncauditor.net/HotTips/	N/A
Auditor	Training	N/A	Education Request Form	Internal SharePoint Portal	N/A
Auditor	Training	N/A	CPE Completion Form	Internal SharePoint Portal	N/A
Auditor	Budget	N/A	Travel authorization	Internal SharePoint Portal	N/A

Auditor	Budget	N/A	Reimbursement request	Internal SharePoint Portal	N/A
Auditor	Financial	N/A	Planning Memo	File Server	N/A
Auditor	Financial	N/A	Engagement Letter	File Server	N/A
Auditor	Financial	N/A	Entrance Conference Notes	File Server	N/A
Auditor	Financial	N/A	Time Summary	File Server	N/A
Auditor	Financial	N/A	Engagement Guide Sheet (Route Sheet)	File Server	N/A
Auditor	Financial	N/A	Distribution List	File Server	N/A
Auditor	Financial	N/A	Management Letter	File Server	N/A
Auditor	Financial	N/A	Representation Letter	File Server	N/A
Auditor	Financial	N/A	Legal Letter	File Server	N/A
Auditor	Financial	N/A	Audit Findings Fact Forms	File Server	N/A
Auditor	Financial	N/A	Draft Audit Report	File Server	N/A
Auditor	Human Resources	N/A	Application for Shared Leave	Internal SharePoint Portal	N/A
Auditor	Human Resources	N/A	Confidentiality	Internal SharePoint Portal	N/A
Auditor	Human Resources	N/A	Credible Service Form	Internal SharePoint Portal	N/A
Auditor	Human Resources	N/A	Direct Deposit Travel	Internal SharePoint Portal	N/A
Auditor	Human Resources	N/A	Direct Deposit Payroll Form	Internal SharePoint Portal	N/A
Auditor	Human Resources	N/A	Exit Interview Check list	Internal SharePoint Portal	N/A
Auditor	Human Resources	N/A	Personnel Profile	Internal SharePoint Portal	N/A
Auditor	Human Resources	N/A	Request for Approval Of Leave	Internal SharePoint Portal	N/A
Auditor	Human Resources	N/A	Request for Family and Medical Leave	Internal SharePoint Portal	N/A
Auditor	Human Resources	N/A	Separation Memo OSA	Internal SharePoint Portal	N/A
Auditor	Human Resources	N/A	Separation Questionnaire	Internal SharePoint Portal	N/A
Auditor	Public Information	N/A	EPS Sign Up	http://www.ncauditor.net/pub2/Register.aspx	N/A
Commerce	N.C. Industrial Commission	Form 19	Employer's Report of Employee's Injury to the Industrial Commission	http://www.ic.nc.gov/forms.html	1200
Commerce	N.C. Industrial Commission	Form 28	Return to Work Report	http://www.ic.nc.gov/forms.html	500
Commerce	N.C. Industrial Commission	Form 28T	Notice of Termination of Compensation by Reason of Trial Return to Work	http://www.ic.nc.gov/forms.html	500
Commerce	N.C. Industrial Commission	Form 28B	Report of Employer or Carrier/Administrator of Compensation and Medical Paid and Notice of Right to Additional Medical Compensation	http://www.ic.nc.gov/forms.html	500

Commerce	N.C. Industrial Commission	28C	Report of Employer or Carrier/Administrator of Compensation or Medical Compensation Paid Pursuant to a Compromise Settlement Agreement	http://www.ic.nc.gov/forms.html	500
Commerce	N.C. Industrial Commission	Form 18	Notice of Accident to Employer and Claim of Employee of His Personal Representative or Dependents	http://www.ic.nc.gov/forms.html	350
Commerce	N.C. Industrial Commission	Form 60	Employer's Admission of Employee's Right to Compensation	http://www.ic.nc.gov/forms.html	250
Commerce	N.C. Industrial Commission	Form 61	Denial of Workers' Compensation Claim	http://www.ic.nc.gov/forms.html	250
Commerce	N.C. Industrial Commission	Form 63	Notice to Employee of Payment of Compensation Without Prejudice to Later Deny the Claim	http://www.ic.nc.gov/forms.html	250
Commerce	N.C. Industrial Commission	Certification of Payment of Compromise Settlement Agreement Fee	Certification of Payment of Compromise Settlement Agreement Fee	http://www.ic.nc.gov/forms.html	225
Commerce	N.C. Industrial Commission	Form 25R	Evaluation for Permanent Impairment	http://www.ic.nc.gov/forms.html	175
Commerce	N.C. Industrial Commission	33	Request That Claim Be Assigned For Hearing	www.ic.nc.gov	160
Commerce	N.C. Industrial Commission	Form 62	Notice of Reinstatement of Compensation	http://www.ic.nc.gov/forms.html	150
Commerce	N.C. Industrial Commission	MSC4	Designation of Mediator	http://www.ic.nc.gov/mediation.html	150
Commerce	N.C. Industrial Commission	MSC4-Word Version	Designation of Mediator-Word Version	http://www.ic.nc.gov/mediation.html	150
Commerce	N.C. Industrial Commission	MSC5	Report of Mediator	http://www.ic.nc.gov/mediation.html	150
Commerce	N.C. Industrial Commission	MSC5-Word Version	Report of Mediator-Word Version	http://www.ic.nc.gov/mediation.html	150
Commerce	N.C. Industrial Commission	33R	Response to Request That Claim Be Assigned For Hearing	www.ic.nc.gov	135
Commerce	N.C. Industrial Commission	Form 22	Statement of Days Worked and Earnings of Injured Employee	http://www.ic.nc.gov/forms.html	100

Commerce	N.C. Industrial Commission	44	Application for Review (Workers' Compensation Claims)	www.ic.nc.gov	55
Commerce	N.C. Industrial Commission	Form 24	Form 24 Application to Terminate or Suspend Payment of Compensation (G.S. 97-18.1)	Paper and http://www.ic.nc.gov/forms.html	40
Commerce	N.C. Industrial Commission	Form 24 Certification of Up-Front Payment of Form 24 Application Processing Fee	Form 24 Certification of Up-Front Payment of Form 24 Application Processing Fee	http://www.ic.nc.gov/forms.html	40
Commerce	ABC Commission	N/A	Notice of Alleged Violation	Internal	30
Commerce	ABC Commission	N/A	Petition	Internal	15
Commerce	ABC Commission	N/A	Prehearing Statement	Internal	13
Commerce	N.C. Industrial Commission	Form 18M	Form 18M Application for Additional Medical Compensation (G.S. 97-25.1)	Paper and http://www.ic.nc.gov/forms.html	12
Commerce	N.C. Industrial Commission	MSC2	Petition for Order Referring Case to MSC	http://www.ic.nc.gov/mediation.html	10
Commerce	N.C. Industrial Commission	25N	Form 25N	http://www.ic.nc.gov/forms/form25n.pdf	10
Commerce	N.C. Industrial Commission	T-1	Claim For Damages Under Tort Claims Act	www.ic.nc.gov	10
Commerce	N.C. Industrial Commission	T-44	Application for Review (Tort Claims)	www.ic.nc.gov	10
Commerce	N.C. Industrial Commission	Form 18B	Claim by Employee or His Personal Representative or Dependents for Workers' Compensation Benefits for Lung Damage	http://www.ic.nc.gov/forms.html	8
Commerce	N.C. Industrial Commission	Form 51	Consolidated Fiscal Annual Report of "Medical Only" and "Lost Time" Cases	http://www.ic.nc.gov/forms.html	8
Commerce	N.C. Industrial Commission	(See Form Name)	Petition to Sue as an Indigent	www.ic.nc.gov	7
Commerce	ABC Commission	N/A	Notice of Settlement / Withdrawal of Petition	Internal	5
Commerce	N.C. Industrial Commission	Form 29	Supplementary Report for Fatal Accidents	http://www.ic.nc.gov/forms.html	5
Commerce	N.C. Industrial Commission	Form 30D	Notice of Death Award	http://www.ic.nc.gov/forms.html	5

Commerce	N.C. Industrial Commission	Form 42	Application for Appointment of Guardian ad Litem	http://www.ic.nc.gov/forms.html	5
Commerce	N.C. Industrial Commission	Form 90	Report of Earnings	Paper and http://www.ic.nc.gov/forms.html	5
Commerce	N.C. Industrial Commission	Form 28U	Employee's Request for Reinstatement of Compensation after Unsuccessful Trial Return to Work (G.S. 97-32.1)	Paper and http://www.ic.nc.gov/forms.html	5
Commerce	N.C. Industrial Commission	N/A	Nurses Referral Form	http://www.ic.nc.gov/forms/nursesref.pdf	5
Commerce	N.C. Industrial Commission	25C	Form 25C	http://www.ic.nc.gov/forms/form25c.doc	5
Commerce	ABC Commission	N/A	Motion to Continue	Internal	3
Commerce	N.C. Industrial Commission	MSC6	Mediator's Declaration of Interest	http://www.ic.nc.gov/mediation.html	1
Commerce	N.C. Industrial Commission	MSC7	Report of Evaluator	http://www.ic.nc.gov/mediation.html	1
Commerce	N.C. Industrial Commission	MSC8	Mediated Settlement Agreement	http://www.ic.nc.gov/mediation.html	1
Commerce	N.C. Industrial Commission	(See Form Name)	Claim for Benefits Under the Law Enforcement Officers', Firemen's Rescue Squad Workers' and Civil Air Patrol Members' Death Benefits Act, G.S. 143-166, Et Seq.	www.ic.nc.gov	1
Commerce	REA	LL-EZ	2009 Liaison Expense Report	http://www.secretary.state.nc.us/lobbyists/lobforms.aspx	0
Commerce	Community Assistance	N/A	Workshop Registration Form	Internal	0
Commerce	Marketing	N/A	Registration for SEUS/Japan Conference	www.nccommerce.com/seusjapan	0
Community College System			Daily Cash Reporting	In-house	290
Community College System	Programs	N/A	Conference and training registrations for Basic Skills	In-house	192
Community College System	ALL	N/A	Invoice	In-house	25
Community College System	Business & finance		Cash certifications		13
Community College System	Programs	N/A	User ID and Password to the Legacy System (IIPS) for building programs of Study (POS)	In-house	2
Community College System	Human Resources	N/A	Request to advertise vacant position form	In-house	2
Community College System	Human Resources	N/A	Employee or Position action request form	In-house	2
Controller	HR/Payroll	N/A	Position Security Change Request Form	http://www.ncosc.net/BEST/support/forms_other.html	65

Controller	SAD	N/A	Cash Projections	http://www.osc.nc.gov/forms_policies/ccforms_cash_proj.html	40
Controller	FSD	N/A	Vendor Electronic Payment Form	http://www.osc.nc.gov/vendorepayform/	35
Controller	FSD	SEC01	NCAS Security Form	http://www.osc.nc.gov/sigdocs/sig_docs/documentation/forms/sigSecurity_Forms.html	15
Controller	SAD	N/A	Authorization to Access CMCS	http://www.osc.nc.gov/programs/disbursing/cmcs.html	12
Controller	SAD	N/A	Merchant Card Outlet Setup Form	http://www.osc.nc.gov/SECP/SECP_MerchantCard_Enrollment.html	8
Controller	SAD	N/A	Merchant Card POS Terminal Form	http://www.osc.nc.gov/SECP/SECP_MerchantCard_Enrollment.html	8
Controller	SAD	N/A	ClientLine Merchant Sign Up Form	http://www.osc.nc.gov/SECP/SECP_MerchantCard_Enrollment.html	8
Controller	FSD	SEC02	Operator Restriction form	http://www.osc.nc.gov/sigdocs/sig_docs/documentation/forms/sigSecurity_Forms.html	8
Controller	FSD	SEC03	Change Operator Security Profile	http://www.osc.nc.gov/sigdocs/sig_docs/documentation/forms/sigSecurity_Forms.html	8
Controller	FSD	SEC04	IE Security Request Form	http://www.osc.nc.gov/sigdocs/sig_docs/documentation/forms/sigSecurity_Forms.html	8
Controller	SAD	N/A	CMIA Monthly Worksheet / Instructions	http://www.osc.nc.gov/programs/disbursing/federal.html	6
Controller	SAD	N/A	Agency Payment Verification Form	http://internal.osc.nc.gov/pp_manual/forms_index.html#Fiscal	4
Controller	SAD	N/A	Statewide Accounts Receivable	http://www.osc.nc.gov/programs/accounts_receivable.html	4
Controller	SAD	N/A	Wachovia Connection Setup Form	http://www.osc.nc.gov/SECP/SECP_MerchantCard_Enrollment.html	3
Controller	FSD	N/A	NCAS Item Request Form	http://www.osc.nc.gov/sigdocs/sig_docs/documentation/forms/request/sigStock_Item_Request_Form00000795.html	3
Controller	SAD	FAS-2	Request for Transfer of Fixed Asset Inventory	http://www.osc.nc.gov/sigdocs/sig_docs/documentation/forms/FAS-2_Form.PDF	2
Controller	SAD	N/A	Wachovia Connection UserID Change Form	http://www.osc.nc.gov/SECP/SECP_MerchantCard_Enrollment.html	2
Controller	HR/Payroll	N/A	Agency BEACON Change Request Form	http://www.osc.nc.gov/BEST/support/change_control/Agency_CCB_RequestForm.doc	2
Controller	SAD	N/A	Laser check printing form	http://www.osc.nc.gov/sigdocs/sig_docs/documentation/forms/cpform.html	1
Controller	SAD	N/A	Trust keeper Validation Enrollment	http://www.osc.nc.gov/programs/risk_mitigation_pci.html	1

Controller	FSD	N/A	Emergency Special Hours Request Form	http://www.osc.nc.gov/sigdocs/sig_docs/documentation/forms/request/sigEmergency_Special_Hours_00001700.html	1
Controller	Administration	N/A	Foreign National Information System Data Gathering Form	http://www.osc.nc.gov/Foreign_Nationals	1
Controller	Administration	N/A	Foreign National Authorized Signature Form	http://www.osc.nc.gov/Foreign_Nationals	1
Controller	Administration	N/A	Foreign National Agency Contact Form	http://www.osc.nc.gov/Foreign_Nationals	1
Controller	SAD	N/A	Account Request	http://www.osc.nc.gov/sigdocs/sig_docs/documentation/forms/sigAccount_Request_Form00000874.html	0
Controller	SAD	N/A	Agency Participation Agreement (APA)	http://www.osc.nc.gov/SECP/SECP_MerchantCard_Enrollment.html	0
Controller	SAD	N/A	Delegation of Disbursing Authority Agency and University	http://www.osc.nc.gov/programs/disbursing/disbursing_accounts.html	N/A
Controller	SAD	N/A	Delegation of Disbursing Authority Community Colleges	http://www.osc.nc.gov/programs/disbursing/disbursing_accounts.html	N/A
Controller	SAD	N/A	Delegation of Disbursing Authority LEA	http://www.osc.nc.gov/programs/disbursing/disbursing_accounts.html	N/A
Correction	Controller	DC-481	Independent Contractor Time Report	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	1000
Correction	Controller	DC-702	Direct Processing Form	na	1000
Correction	Controller	DC-704	Request Approval to Purchase	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	750
Correction	Controller	DC-114	Travel Reimbursement Form	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	500
Correction	MIS	na	Statement of Understanding Concerning Unauthorized Use of Computer and Software by Department of Correction Employees	http://internal.doc.state.nc.us/ISO/forms.html	400
Correction	Controller	DC-272	Transfer of Equipment	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	250
Correction	Controller	CPSR-DOC	Cellular Phone Request Form	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	200
Correction	Office of Staff Development and Training	OSDT-2	Employee Training Request	http://internal.doc.state.nc.us/osdt/Forms/Forms_List.htm	100
Correction	Office of Staff Development and Training	na	Training Confirmation	http://internal.doc.state.nc.us/osdt/Forms/Forms_List.htm	100

Correction	Controller	DC-758	Disposition of Fixed Asset	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	100
Correction	Controller	DC-761	Need Equipment Tag Only	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	100
Correction	Enterprises	na	Employee Order Form	http://www.correctionenterprises.com/forms/	75
Correction	Enterprises	na	Account Application for State employees	http://www.correctionenterprises.com/forms/	50
Correction	Enterprises	na	Optical Order Form	http://www.correctionenterprises.com/forms/	50
Correction	Controller	DC-518	Missing Asset Form	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	50
Correction	Controller	DC-710	Employee Advance Request	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	50
Correction	Controller	DC-867	Purchase Order Change Form	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	50
Correction	MIS	MIS01	Request for User ID	http://internal.doc.state.nc.us/ISO/forms.html	50
Correction	Office of Staff Development and Training	OSDT-1	Class Roster	http://internal.doc.state.nc.us/osdt/Forms/Forms_List.htm	25
Correction	Office of Staff Development and Training	OSDT-30	Application for Promotional Examinations	http://internal.doc.state.nc.us/osdt/Forms/Forms_List.htm	25
Correction	Office of Victims Services	na	Victim Notification Request	http://www.doc.state.nc.us/victimservices/Victim%20Notification%20Request%20Form%203.16.04.pdf	25
Correction	Controller	na	NCAS-E-Procurement Security Form	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	25
Correction	MIS	MIS03	Site Security Administration Application Request Form	http://internal.doc.state.nc.us/ISO/forms.html	25
Correction	Purchasing	DC-754	Request for Item Return	http://internal.doc.state.nc.us/newpurchase/Central_Supply_Warehouse_Forms_and_MSDS.htm	25
Correction	Community Corrections	DCC-4	Case Plan	http://internal.doc.state.nc.us/Dapp/DCCforms/index2.htm	25
Correction	Purchasing	DC-879	Requisition/Repair for Communication Equipment	http://internal.doc.state.nc.us/newpurchase/transportation_comm_.htm	20
Correction	Community Corrections	DCC-10	Violation Report	http://internal.doc.state.nc.us/Dapp/DCCforms/index2.htm	20
Correction	Controller	na	E-Billing Security Access Form	http://internal.doc.state.nc.us/Controller/Frequently%20Used%20Forms.htm	5
Correction	Purchasing	DC-192	Driver's Report of Motor Vehicle Accident	http://internal.doc.state.nc.us/newpurchase/transportation_comm_.htm	5

Correction	Community Corrections	DCC-106	Serious Crime Report	http://internal.doc.state.nc.us/Dapp/DCCforms/index2.htm	5
Crime Control & Public Safety	Admin	CCPS-153	Budget Division Authorization	File Server	N/A
Crime Control & Public Safety	Admin	CCPS-50	Reimbursement of Travel and Other Expenses	File Server	N/A
Crime Control & Public Safety	SHP	CL-33	Notice of Transfer of Materials and Supplies	Form Flow	N/A
Crime Control & Public Safety	SHP	FTO-1	Field Training Officer Application	File Server	N/A
Crime Control & Public Safety	SHP	FTO-1A	Field Training Officer Application continuation	File Server	N/A
Crime Control & Public Safety	SHP	FTO-2	Field Training Officer Application Interview Rating Form	File Server	N/A
Crime Control & Public Safety	SHP	FTO-2A	Field Training Officer Application Interview Dimensions	File Server	N/A
Crime Control & Public Safety	SHP	FTO-3	Interview Board Summary Sheet	File Server	N/A
Crime Control & Public Safety	SHP	FTO-4	Daily Observation Report (DOR)	Form Flow, File Server	N/A
Crime Control & Public Safety	SHP	FTO-4A	Continuation form	Form Flow, File Server	N/A
Crime Control & Public Safety	SHP	FTO-5	Supervisor's Observation Report	File Server	N/A
Crime Control & Public Safety	SHP	FTO-6	Record of Evaluation Summary (MES)	File Server	N/A
Crime Control & Public Safety	SHP	FTO-7	Field Training Officer Critique by Probationary Trooper	File Server	N/A
Crime Control & Public Safety	SHP	FTO-8	Field Training Officer Critique by Field Training Supervisor	File Server	N/A
Crime Control & Public Safety	SHP	FTO-9	Eleventh Month Review Board Evaluation Guidelines	File Server	N/A
Crime Control & Public Safety	SHP	FTO-9A	Eleventh Month Review Board Summary Sheet	File Server	N/A
Crime Control & Public Safety	SHP	HP-13	Traffic Stop Form	File Server	N/A
Crime Control & Public Safety	SHP	HP-13A	Multi-Stop Form	File Server	N/A
Crime Control & Public Safety	SHP	HP-201	Weekly Report of Daily Activity	Form Flow	N/A
Crime Control & Public Safety	SHP	HP-201A	Weekly Report of Daily Activity	Form Flow	N/A
Crime Control & Public Safety	SHP	HP-205	Transfer Request	File Server	N/A
Crime Control & Public Safety	SHP	HP-205B	Civilian Transfer Request	File Server	N/A
Crime Control & Public Safety	SHP	HP-344	Use of Force/Assault	Form Flow	N/A

Crime Control & Public Safety	SHP	HP-344A	Use of Force/Assault Continuation Form	File Server	N/A
Crime Control & Public Safety	SHP	HP-345	Post Chase Report/Instructions revised 02/27/04	Form Flow	N/A
Crime Control & Public Safety	SHP	HP-721A	Report of Investigation/Patrol Vehicle Collision/Patrol Vehicle Incident	File Server	N/A
Crime Control & Public Safety	SHP	HP-725	Transcript of Basic School Grades	File Server	N/A
Crime Control & Public Safety	SHP	HP-740	Residence Form	File Server	N/A
Crime Control & Public Safety	SHP	HP-745	Secondary Employment Request	File Server	N/A
Crime Control & Public Safety	SHP	HP-745A	Continued Secondary Employment	File Server	N/A
Cultural Resources		N/A	Employee Travel Requests	N/A	20
Cultural Resources		N/A	Internal Budget Transfers	N/A	5
Cultural Resources		N/A	Employee Personnel Action	N/A	5
Cultural Resources		N/A	Employee Work Plan	N/A	5
Cultural Resources		N/A	North Carolina ARTS Grant Application(s)	N/A	5
Cultural Resources		RC-14	(Archives) Records Retrieval Form	http://www.records.ncdcr.gov/forms.htm	5
Cultural Resources		N/A	PRESERVATION FUND PASS-THROUGH GRANTS Application	http://www.hpo.ncdcr.gov/grants/grants2010.html	5
Cultural Resources		N/A	Document Conversion Request	N/A	5
Cultural Resources		N/A	Request Form for Highway Historical Marker	http://www.ncmarkers.com/docs/mkappl.pdf	3
Cultural Resources		N/A	<u>Application for Public Librarian's Certificate</u>	http://statelibrary.ncdcr.gov/ld/plcert/plcert1.html	3
Cultural Resources		RC-2	(Archives) Records Transfer Request Form	http://www.records.ncdcr.gov/forms.htm	3
Cultural Resources		GRB-99s	Public Records Listing Request	http://www.records.ncdcr.gov/forms.htm	3
Cultural Resources		N/A	Digital Image Request	N/A	3
Cultural Resources		N/A	Equipment Surplus Requests	N/A	2
Cultural Resources		N/A	Employee ID Requests	N/A	2
Cultural Resources		N/A	Media Contact Requests	N/A	2
Cultural Resources		N/A	Secondary Employment	N/A	2
Cultural Resources		N/A	NC Archaeological Site Registration	N/A	2

Cultural Resources	N/A	Parking Space Application form	N/A	2	
Cultural Resources	N/A	Equipment Transfer Requests	N/A	1	
Cultural Resources	N/A	Permit to recover submerged cultural resources	N/A	1	
Cultural Resources	N/A	Permit to conduct surface survey	N/A	1	
Cultural Resources	N/A	NC Amateur Archeological Site	N/A	1	
Cultural Resources	N/A	Parking Space Lease Agreement form	N/A	1	
Cultural Resources	N/A	Go-Pass Application form	N/A	1	
Cultural Resources	N/A	Museum/Facility Tour Request	N/A	N/A	
Employment Security Commission	ESC	NCUI 500S	Fact Finding Report Supplement	4000	
Employment Security Commission	ESC	NCUI 506E	Work Search Record	http://www.ncesc1.com/individual/downloads/downloadMain.asp#employeeForms	650
Employment Security Commission	ESC	IB-101	Notice of Interstate Appeal	65	
Employment Security Commission	ESC	ES-935	Claimant's Affidavit of Federal Civilian Service, Wages and Reason for Separation	40	
Employment Security Commission	ESC	IB-14	Interstate request for Reconsideration of Monetary Determinations/wage Credits	5	
Employment Security Commission	ESC	ETA 81	Initial Application for Disaster Unemployment Assistance (DUA)	http://escnet.esc.state.nc.us/ESCForms/eforms/ETA81.dot	N/A
Employment Security Commission	ESC	ETA 83	Weekly Request for Assistance (DUA)	http://escnet.esc.state.nc.us/ESCForms/eforms/ETA83.dot	N/A
Employment Security Commission	ESC	NCUI 500TW DUA	Vol. Election of Income Tax Withholding/Direct Deposit (DUA)	http://escnet.esc.state.nc.us/ESCForms/eforms/NCUI500TWDUA.dot	N/A
Employment Security Commission	ESC	DUA-2	Applicant Certification of Prevention From Beginning Work Due to Direct Effects of Disaster	http://escnet.esc.state.nc.us/ESCForms/eforms/DUA2.dot	N/A
Employment Security Commission	ESC	DUA-3	DUA Eligibility Review of Self-Employed Individual	http://escnet.esc.state.nc.us/ESCForms/eforms/DUA3.dot	N/A
Employment Security Commission	ESC		Power of Attorney	http://www.ncesc1.com/business/downloads/downloadmain.asp	N/A
Employment Security Commission	ESC	NCUI 692	Debit ACH payment	http://escnet.esc.state.nc.us/ESCForms/eforms/NCUI692.dot	N/A

Employment Security Commission	ESC	NCUI 603	App. For Part. Trans. Of Exp. Rating Account	http://escnet.esc.state.nc.us/ESCForms/eforms/NCUI603.dot	N/A
Employment Security Commission	ESC	NCUI 607	Employer Status Change	http://escnet.esc.state.nc.us/ESCForms/eforms/NCUI607.dot	N/A
Employment Security Commission	ESC	NCUI 604	Employer Status Report	http://escnet.esc.state.nc.us/ESCForms/eforms/NCUI604.dot	N/A
Employment Security Commission	ESC	NCUI 614	Request for Termination of Coverage	http://escnet.esc.state.nc.us/ESCForms/eforms/NCUI614.dot	N/A
Employment Security Commission	ESC	UIA 16	Misc. Payments	http://escnet.esc.state.nc.us/ESCForms/eforms/UIA16.dot	N/A
Employment Security Commission	ESC	ADASU PP	Time Payment Agreement	http://escnet.esc.state.nc.us/ESCForms/eforms/ADASUPP.dot	N/A
Employment Security Commission	ESC	DUA 4	Waiver of Waiting Period Week	http://escnet.esc.state.nc.us/ESCForms/eforms/DUA4.dot	N/A
Employment Security Commission	ESC	ETA 82	Notice on Monetary Entitlement for DUA	http://escnet.esc.state.nc.us/ESCForms/eforms/ETA82.xls	N/A
Environment and Natural Resources	DFR	4409-2	Burn Permit	DFR Central Office Raleigh, 429 other locations	2917
Environment and Natural Resources	DFR	4409-3	Burn Permit	DFR Central Office Raleigh, 120 other locations	435
Environment and Natural Resources	DWQ	NDAR-1	Non-Discharge Application Report - Spray Irrigation Site(s)	http://h2o.enr.state.nc.us/lau/compliance.html	75
Environment and Natural Resources	DWQ	NDAR-2	Non-Discharge Application Report - High Rate Infiltration SITE(S)	http://h2o.enr.state.nc.us/lau/compliance.html	75
Environment and Natural Resources	DWQ	NDAR-3	Non-Discharge Application Report - Conjunctive use reclaim water siteTE(S)	http://h2o.enr.state.nc.us/lau/compliance.html	75
Environment and Natural Resources	DWQ	NDMR 1.1	Non Discharge Wastewater Monitoring Report	http://h2o.enr.state.nc.us/lau/compliance.html	75
Environment and Natural Resources	DWQ	NDMR	Non Discharge Wastewater Monitoring Report	http://h2o.enr.state.nc.us/lau/compliance.html	75
Environment and Natural Resources	DWQ	GW-59	Groundwater quality monitoring: Compliance Report Form	http://h2o.enr.state.nc.us/aps/gpu/documents/GW-59_v01-07.pdf	75

Environment and Natural Resources	Land Resources	N/A	Permit Application Base Form	Needs to be created - specific basic data field requirements known; ultimately we anticipate the electronic submittal of all technical documents, design plans and supporting data in an electronic format	36
Environment and Natural Resources	Land Resources	N/A	Permitted Mine Inspection Report	http://www.dlr.enr.state.nc.us/lqsinternal/	20
Environment and Natural Resources	DWM	No # currently assigned	Authorization to Discharge Seepage to a Wastewater Treatment Facility	www.wastenotnc.org/swhome/cla.asp	12
Environment and Natural Resources	DWM	No # currently assigned	Application for Permit to Operate a Seepage Management Firm	www.wastenotnc.org/swhome/cla.asp	10
Environment and Natural Resources	Land Resources	N/A	LQS Mining Application Checklist	http://www.dlr.enr.state.nc.us/lqsinternal/	10
Environment and Natural Resources	CSC		Request for Express Review	needs to move-currently http://www.envhelp.org/pages/stormwaterexpress.html	5
Environment and Natural Resources	Land Resources	N/A	Unpermitted Mine Inspection Report	http://www.dlr.enr.state.nc.us/lqsinternal/	5
Environment and Natural Resources	Office of Environmental Education	Not applicable	River Basin Materials Order Form	http://www.eenorthcarolina.org/public/ecoaddress/riverorder.htm	4
Environment and Natural Resources	Land Resources	N/A	NCGS Mining Application Checklist	http://www.dlr.enr.state.nc.us/lqsinternal/	3
Environment and Natural Resources	DWM	No # currently assigned	Yard Waste Notification Form	www.wastenotnc.org/swhome/cla.asp	2
Environment and Natural Resources	CSC		1-Stop Permit Meeting Request	Wilmington Regional Office	2
Environment and Natural Resources	CSC		1-Stop Permit Meeting Request	Wilmington Regional Office	2
Environment and Natural Resources	DWM	No # currently assigned	Land Clearing Debris Treatment and Processing Facility Annual Notification Form	www.wastenotnc.org/swhome/cla.asp	1
Environment and Natural Resources	Division of Parks and Recreation	Form PR-14, PR-15, PR-14C, SP-14B, PR-16, PR-16A	State Lake Pier Permits	Not available electronically	1
Environment and Natural Resources	DWM	No # currently assigned	BF LURU Model	H:\2009 LURU Models	1

Environment and Natural Resources	DWM	No # currently assigned	Authorization to Discharge Seepage to Seepage Land Application Site Permitted to Someone Other Than Yourself	www.wastenotnc.org/swhome/cla.asp	1
Environment and Natural Resources	DWQ	GW-30	Well Abandonment Record		N/A
Environment and Natural Resources	Land Resources	n/a	Financial Responsibility Ownership Form (Express Permitting)	http://www.dlr.enr.state.nc.us/pages/Financial%20Responsibility%20Form%20(Express%20Permitting)%2008012007.doc	N/A
Environment and Natural Resources	Land Resources	n/a	Financial Responsibility Ownership Form	http://www.dlr.enr.state.nc.us/pages/Financial%20Responsibility%20Form%2008012007%20Revision.doc	N/A
Environment and Natural Resources	Land Resources	n/a	Sedimentation Inspection Report	http://www.dlr.enr.state.nc.us/lqsinternal/LQ_sediment/Current%20Documents%2020061112/Generic%20Sedimentation%20Inspection%20Report.doc	N/A
Environment and Natural Resources	DMF	N/A	Pound Net Set Permits		N/A
Environment and Natural Resources	DMF	N/A	Scientific or Educational Collection Permit		N/A
Health and Human Services	DSS/EFS/FNS	DSS-8207	Application for Food and Nutrition Services	http://info.dhhs.state.nc.us/olm/forms/dss/dss-8207.pdf	13809
Health and Human Services	Social Services	DSS-1402	CPS Intake Form	http://info.dhhs.state.nc.us/olm/forms/dss/dss-1402.pdf	4385
Health and Human Services		DSS-5010	Structured documentation tool for CPS	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5010.pdf	2000
Health and Human Services		DSS-5106	NC MRS Case Tracking Form	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5106.pdf	2000
Health and Human Services		DSS-5231	Safety assessment	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5231.pdf	2000
Health and Human Services		DSS_5203	Kinship Care Initial Assessment	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5203.pdf	1500
Health and Human Services		DSS-5239	In Home Family Services Agreement	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5239.pdf	1200
Health and Human Services		DSS-5204	Kinship Care Comprehensive Assessment	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5204.pdf	800
Health and Human Services		DSS-5228	Case Decision Summary Initial case plan	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5228.pdf	800
Health and Human Services		DSS-5229	Family assessment of strengths and needs	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5229-ia.pdf	800
Health and Human Services		DSS-5240	Out of Home Family Services Agreement	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5240.pdf	800
Health and Human Services	DSS/EFS/FNS	DSS 2624	Food and Nutrition Services Referral Form	http://info.dhhs.state.nc.us/olm/forms/dss/dss-2624-ia.pdf	550

Health and Human Services		DSS_5230	Family risk assessment of abuse and neglect	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5230-ia.pdf	400
Health and Human Services		DSS-1809	Affidavit of parentage	http://info.dhhs.state.nc.us/olm/forms/dss/dss-1809-ia.pdf	350
Health and Human Services		DSS-2250	Adoption assistance payment authorization notice	http://info.dhhs.state.nc.us/olm/forms/dss/dss-2250-ia.pdf	350
Health and Human Services	DSS/EFS/Work First	DSS-6908	Client Participation Record	Employment Program Information System	340
Health and Human Services		DSS-1837	Interstate compact on the place of children request	http://info.dhhs.state.nc.us/olm/forms/dss/dss-1837-ia.pdf	300
Health and Human Services	DSS/EFS/FNS	DSS 2625	Food and Nutrition Services E&T Information Transmittal	http://info.dhhs.state.nc.us/olm/forms/dss/esc-2625-ia.pdf	250
Health and Human Services	DSS/EFS/Work First	EIS DSS-8124	Eligibility Information System (EIS) and Application for Work First Family Assistance, MA, Refugee, and SA	Eligibility Information System (EIS) and dhhs.state.nc.us/olm/forms	200
Health and Human Services		DSS-5227	Family Reunification assessment	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5227.pdf	200
Health and Human Services	DSS/EFS/Work First	EIS DSS_8125	EIS DSS_8125	EIS	190
Health and Human Services		DSS-5238	Referral for Early Intervention Services	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5238.pdf	120
Health and Human Services		DSS-5216	Authorization for Funds Access	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5216.pdf	100
Health and Human Services		DSS-5217	Request for Reimbursement Links Special Funds	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5217.pdf	100
Health and Human Services		DSS-1797	Inter-County Agreement on the Placement of Children	http://info.dhhs.state.nc.us/olm/forms/dss/dss-1797-ia.pdf	100
Health and Human Services		DSS-1798	Inter-Agency Adoption Agreement	http://info.dhhs.state.nc.us/olm/forms/dss/dss-1798-ia.pdf	100
Health and Human Services		DSS-5226	Family Risk Reassessment of Abuse/Neglect	http://info.dhhs.state.nc.us/olm/forms/dss/dss-5226-ia.pdf	100
Health and Human Services		DSS-1805	Revocation of Relinquishment for adoption by parent	http://info.dhhs.state.nc.us/olm/forms/dss/dss-1805-ia.pdf	61
Health and Human Services		DSS-1807	Order for report on proposed adoption	http://info.dhhs.state.nc.us/olm/forms/dss/dss-1807-ia.pdf	61
Health and Human Services	DSS/EFS/Refugee	DSS-6237	Client Rights	http://info.dhhs.state.nc.us/olm/forms/forms.aspx?dc=dss	60
Housing Finance	NCHFA	n/a	IDALP Workbook	Agency network - provided electronically upon award	2
Housing Finance	NCHFA	n/a	NHLP Workbook	Agency network - provided electronically upon award	3
Housing Finance	NCHFA	n/a	SHLP Workbook	Agency network - provided electronically upon award	5
Housing Finance	NCHFA	n/a	IDALP Membership application	http://www.nchfa.com/Nonprofits/HPidaprogram.aspx	0
Housing Finance	NCHFA	n/a	SHLP Membership application	http://www.nchfa.com/Nonprofits/HPselfhelploan.aspx	0
Housing Finance	NCHFA	n/a	NHLP Membership application	http://www.nchfa.com/Nonprofits/HPnewhomesloan.aspx	0

Housing Finance	NCHFA	n/a	Single Family Rehabilitation application	Agency network - hosted to web 1x/year	1
Housing Finance	NCHFA	n/a	Single Family Rehabilitation Activity Report	Agency network	2
Housing Finance	NCHFA	n/a	Single Family Rehabilitation requisitions	Agency network	4
Housing Finance	NCHFA	n/a	Urgent Repair Program application	Agency network-posted to web 1x/year	1
Housing Finance	NCHFA	n/a	Urgent Repair Program Project Management Report	Agency network	2
Housing Finance	NCHFA	n/a	Duke Home Energy Loan Pool application	http://www.nchfa.com/Nonprofits/HRRdukehome.aspx	0
Housing Finance	NCHFA	n/a	Duke Home Energy Loan Pool workbook	Agency network	0
Housing Finance	NCHFA	n/a	Supportive Housing Development Program application	http://www.nchfa.com/Nonprofits/RRforms.aspx	0
Housing Finance	NCHFA	n/a	Promissory Note	http://www.nchfa.com/Nonprofits/RRforms.aspx	3
Housing Finance	NCHFA	n/a	Deed of Trust	http://www.nchfa.com/Nonprofits/RRforms.aspx	3
Housing Finance	NCHFA	n/a	Request for Notice of Sale	http://www.nchfa.com/Nonprofits/RRforms.aspx	3
Housing Finance	NCHFA	n/a	Assignment	http://www.nchfa.com/Nonprofits/RRforms.aspx	3
Housing Finance	NCHFA	n/a	Grant Agreement	http://www.nchfa.com/Nonprofits/RRforms.aspx	1
Housing Finance	NCHFA	n/a	Owner Affidavit	http://www.nchfa.com/Nonprofits/RRforms.aspx	3
Housing Finance	NCHFA	n/a	Program Check Requests	Agency network	30
Information Technology Services	Telecommunication Services	TO-5	Telephone Order Service Request	http://www.its.state.nc.us/Support/General/Forms.asp	300
Information Technology Services	Financial		Request for Billing Code	http://www.its.state.nc.us/Support/General/Forms.asp	20
Information Technology Services	Telecommunication Services	TO-4	Telecommunications Cable Service Request	http://www.its.state.nc.us/Support/General/Forms.asp	12
Information Technology Services	Telecommunication Services	STS-WSQ	WAN Service Quote Request (PDF and Word)	http://www.its.state.nc.us/Support/General/Forms.asp	10
Information Technology Services	Telecommunication Services	STS-09Q	Remote Access Service Quote Request (PDF and Word)	http://www.its.state.nc.us/Support/General/Forms.asp	10
Information Technology Services	Financial		Employee Reimbursement Request	ITS P: drive	10
Information Technology Services	Financial		Direct Pay Form	ITS P: drive	10

Information Technology Services	Telecommunication Services	STS-01	WAN Service (PDF and Word)	http://www.its.state.nc.us/Support/General/Forms.asp	6
Information Technology Services	Telecommunication Services	STS-09	Remote Access Service (PDF and Word)	http://www.its.state.nc.us/Support/General/Forms.asp	6
Information Technology Services	Telecommunication Services	None	LAN Services Request (PDF and Word)	http://www.its.state.nc.us/Support/General/Forms.asp	5
Information Technology Services	Telecommunication Services	VNS01	Video and Multimedia Service Request Form	http://www.its.state.nc.us/Support/General/Forms.asp	4
Information Technology Services	Financial		Travel Authorization/Advance Request	ITS P: drive	3
Information Technology Services	PMO / Service Transition	3002	Office of Information Technology Services Computing Services / Services Coordination Section Service / Support Order Authorization	https://edm.its.state.nc.us/webtop/drl/objectId/09ffffe8519e1a0	3
Information Technology Services	Service Delivery	STS-06	Security Services Request Form	http://www.its.state.nc.us/About/Divisions/TS/Forms/STS-06.pdf	2
Information Technology Services	Financial		Budget Revision Requests	ITS P: drive	2
Information Technology Services	Telecommunication Services	STS-04	Shared Service Agreement (PDF and Word)	http://www.its.state.nc.us/Support/General/Forms.asp	1
Information Technology Services	Telecommunication Services	None	Payphone Service Request	http://www.its.state.nc.us/Support/General/Forms.asp	1
Information Technology Services	Administration/Personnel Services		Request to Post	https://intranet.its.state.nc.us/Personnel/Forms.asp#General	1
Information Technology Services	Telecommunication Services	None	IP Address Request Template (PDF and Word)	http://www.its.state.nc.us/Support/General/Forms.asp	N/A
Information Technology Services	Telecommunication Services	None	Request for Consulting Services	http://www.its.state.nc.us/Support/General/Forms.asp	N/A
Insurance	Consumer Svc's		Complaint Form	Consumer Services Division and two NCDOT regional offices.	90
Insurance	Consumer Svc's		Complaint Form	http://www.ncdoi.com/Consumer/consumer_complaint_info.asp	70
Insurance	Agent Services		Professional Bail Bondsman Monthly Report	http://www.ncdoi.com/asd/asd_applications_forms.asp	39
Insurance	OSFM (F&R)		Agreement of Payment	TBD	7
Insurance	OSFM (F&R)		Conflict of Interest	TBD	7
Insurance	OSFM (F&R)		Serial Number - Record	TBD	7

Insurance	Agent Services		Complaint Forms	http://www.ncdoi.com/asd/asd_applications_forms.asp	3
Insurance	PIO		Project Request Form	TBD	1
Insurance	Agent Services		Bail Bond Ce Extension-exemption Form		0
Insurance	Agent Services	D1	Adjuster Appointment	http://www.ncdoi.com/asd/documents/applicationsandforms/insurance/licensing/agent%20-%20adjuster%20company%20appointment%20form.pdf	N/A
Insurance	Agent Services	D2-06	Adjuster Termination	http://www.ncdoi.com/asd/documents/applicationsandforms/insurance/licensing/agent%20-%20adjuster%20company%20termination%20form.pdf	N/A
Insurance	Agent Services		Change of Address Form	http://www.ncdoi.com/asd/documents/applicationsandforms/insurance/licensing/licensee%20change%20of%20address%20form.pdf	N/A
Insurance	Agent Services		Application for 1033 waiver	www.ncdoi.com	N/A
Insurance	Agent Services		Mailing List Order Form	www.ncdoi.com	N/A
Insurance	Agent Services		Business Entity Accommodation License Renewal Form	http://www.ncdoi.com/ASD/Documents/BusinessEntityRenewalRequestForm.pdf	N/A
Insurance	Agent Services		Individual Accommodation License Renewal Form	http://www.ncdoi.com/ASD/Documents/IndividualLicenseRenewalRequestForm.pdf	N/A
Insurance	Agent Services		Surplus Lines Accommodation License Renewal Form	http://www.ncdoi.com/ASD/Documents/Individual_9-1_LicenseRenewalRequestForm.pdf	N/A
Insurance	Agent Services	NC - CA	Collection Agency New Application	http://www.ncdoi.com/asd/documents/applicationsandforms/collection%20agencies/licensing/nc-ca%20application.pdf	N/A
Insurance	Agent Services		Collection Agency Rnwl Application	http://www.ncdoi.com/asd/documents/applicationsandforms/collection%20agencies/renewal/nc-ca%20balance%20sheet.pdf	N/A
Insurance	Agent Services	NC - PF	Premium Finance New Application	http://www.ncdoi.com/asd/documents/applicationsandforms/insurance%20premium%20finance%20companies/licensing/pfc%20application.pdf	N/A

Insurance	Agent Services		Premium Finance Rnwl Application	http://www.ncdoi.com/asd/documents/applicationsandforms/insurance%20premium%20finance%20companies/renewal/annual%20statement%20-%20overview,%20form%20and%20instructions.pdf	N/A
Insurance	Agent Services	ASD DOI-8	Premium Finance Branch Application	http://www.ncdoi.com/asd/documents/applicationsandforms/insurance%20premium%20finance%20companies/licensing/pfc%20branch%20office%20application.pdf	N/A
Insurance	Agent Services	DOI-5PF	PFC Supplemental Application	http://www.ncdoi.com/asd/documents/applicationsandforms/insurance%20premium%20finance%20companies/licensing/doi-5pf%20(statement%20of%20occupational%20activities).pdf	N/A
Insurance	Agent Services	SSDOI-3	Motor Club Application	http://www.ncdoi.com/asd/documents/applicationsandforms/motor%20club%20associations/licensing/motor%20club%20application.pdf	N/A
Insurance	Agent Services		Motor Club Branch Application	http://www.ncdoi.com/asd/documents/applicationsandforms/motor%20club%20associations/licensing/motor%20club%20branch%20office%20application.pdf	N/A
Juvenile Justice & Delinquency Prevention	Facility Operations	YC 003, YC 005, YC 006, YC 008, YC 009, YC 010, YC 011, YC 011b	Behavior Alert/ Infraction Tracking, Investigation, Hearing & Appeal (youth development)	http://www.juvjus.state.nc.us/department/ydc_general_forms.html	233
Juvenile Justice & Delinquency Prevention	Administrative Services	DJJDP7 001, DJJDP7 005, HR 009, DJJDP5 001	Statement of Understanding Policy, Policy Training Record, Training Course Record, Statement of Understanding Use of IT Resources	Under "(07) Written Policy System," http://www.juvjus.state.nc.us/department/departmental_policies.html	104
Juvenile Justice & Delinquency Prevention	Facility Operations and Clinical	YC MOC 028, YC 019 & YC 24	Service Plan, Post Release Supervision Plan, and Service Planning Team Summary Notes	http://www.juvjus.state.nc.us/department/ydc_general_forms.html	92

Juvenile Justice & Delinquency Prevention	Administrative Services	FS 1, FS 2, FS 3, FS 4, and FS 5	Travel Forms: Authorization, Reimbursement, Advance, Request to Sponsor a Conference, and Use of Personal Vehicle	http://www.juvjus.state.nc.us/department/departmental_policies.html	38
Juvenile Justice & Delinquency Prevention	Administrative Services	N/A	Blood borne Pathogen Policy Quiz (Training)	http://www.juvjus.state.nc.us/department/policy_training.html	35
Juvenile Justice & Delinquency Prevention	Human Resources	HR 007	Criminal Justice Screening Procedures	http://www.juvjus.state.nc.us/department/departmental_policies.html	20
Juvenile Justice & Delinquency Prevention	Community Programs	JCPC/PA 001, JCPC/PA 002 & JCPC/PR 001	(1) JCPC Program Agreement, (2) DJJDP Review and Comment Cover Sheet, & (3) JCPC Program Agreement Revision	http://www.juvjus.state.nc.us/jcpc/policy.html	12
Juvenile Justice & Delinquency Prevention	Community Programs	DJJDP13 001c	Conflict of Interest Disclosure Form for JCPCs	http://www.juvjus.state.nc.us/jcpc/policy.html	12
Juvenile Justice & Delinquency Prevention	Community Programs	JCPC/OP 002	JCPC Certification	http://www.juvjus.state.nc.us/jcpc/policy.html	12
Juvenile Justice & Delinquency Prevention	Facility Operations	YC 012, YC 013, & DC 031	Authorized Visitors List, Weekly Visitation Report, and Visitation Log	http://www.juvjus.state.nc.us/department/yc_general_forms.html and http://www.juvjus.state.nc.us/department/dc_general_forms.html	10
Juvenile Justice & Delinquency Prevention	Facility Operations	DC 013, DC 014, DC 016, DC 017, DC 021	Rule Violation Tracking, Investigation, Hearing, & Appeal (detention)	http://www.juvjus.state.nc.us/department/dc_general_forms.html	9
Juvenile Justice & Delinquency Prevention	Human Resources	HR 009	Training Course Record (note that policy related TCRs appear earlier in this spreadsheet)	http://www.juvjus.state.nc.us/department/departmental_policies.html	9
Juvenile Justice & Delinquency Prevention	Quality Assurance/Continuous Quality Improvement	DJJDP6 001	Incident Report (to include Body Check Form, Use of Force Form, Behavior Alert/Infraction Tracking Report, and Abuse/Neglect notification templates)	Under Operational Memo, Incident reporting: http://www.juvjus.state.nc.us/department/operational_memos.html	7
Juvenile Justice & Delinquency Prevention	Facility Operations	YC 017, YC 30, YC 30b & YC 051	Confirmation of Commitment Parameters Form, Recommendation for Extended Commitment, Request to Modify Recommendation for Extended Commitment & Request for Release	http://www.juvjus.state.nc.us/department/yc_general_forms.html	5

Juvenile Justice & Delinquency Prevention	Administrative Services	FS/PU 001	Service Contracts	http://www.juvjus.state.nc.us/resources/policy_manual/departamental_policies/20_fiscal_policies/DPFP-0036.pdf	3
Juvenile Justice & Delinquency Prevention	Community Programs	JCPC/PR 003 & JCPC/PR 002	JCPC Multi-County Program Agreement & Revision	http://www.juvjus.state.nc.us/jcpc/policy.html	2
Juvenile Justice & Delinquency Prevention	Clinical	N/A	Suicide Prevention Pre and Post Assessment (Training)	Under "(18) Suicide Prevention", and "Suicide Prevention Policy Training For Suicide Policy Trainers" at http://www.juvjus.state.nc.us/departement/departamental_policies.html	2
Juvenile Justice & Delinquency Prevention	Administrative Services	DJJDP9 001 & DJJDP9 002	Cellular Telephone Request Form & Mobile Telephone Usage Agreement	DJJDP7 001 at http://www.juvjus.state.nc.us/resources/policy_manual/departamental_policies/09_telephone/DPE-0003.pdf and DJJDP7 002- Currently under reconstruction	2
Juvenile Justice & Delinquency Prevention	Facility Operations & Court Services	YC 014	Commitment Package Information Listing	http://www.juvjus.state.nc.us/departement/ydc_general_forms.html	2
Juvenile Justice & Delinquency Prevention	Human Resources	HR 1.3 005	ADA Checklist	http://www.juvjus.state.nc.us/departement/departamental_policies.html	1
Juvenile Justice & Delinquency Prevention	Court Services	CS 030	Chief Court Counselor Designation	G:\Policies\ALL POLICY AND FORM FILES 2008\3-Division\Court Services	1
Juvenile Justice & Delinquency Prevention	Communications Office	MD8 001 and unpublished templates	Media Release Guidelines & Media Advisory	G:\Juvenile Photos	N/A
Juvenile Justice & Delinquency Prevention	Facility Operations & Court Services	MD4 001	Authorization to Apprehend an Escaped Juvenile	http://www.juvjus.state.nc.us/departement/ydc_general_forms.html	N/A
Juvenile Justice & Delinquency Prevention	Human Resources	Produced by Applicant Tracking System	Applicant Selection Log	ATS	N/A
Juvenile Justice & Delinquency Prevention	Human Resources	HR 1.3 001	Sample Letter to Physician to Request Medical Information	http://www.juvjus.state.nc.us/departement/departamental_policies.html	N/A
Juvenile Justice & Delinquency Prevention	Human Resources	HR 1.3 002	Request for Reasonable Accommodation	http://www.juvjus.state.nc.us/departement/departamental_policies.html	N/A
Juvenile Justice & Delinquency Prevention	Human Resources	HR 1.3 004	Request for Reasonable Accommodation for Mandatory Criminal Justice Training	http://www.juvjus.state.nc.us/departement/departamental_policies.html	N/A

Juvenile Justice & Delinquency Prevention	Human Resources	HR 11.3 001	Sample Academic Assistance Letter	http://www.juvjus.state.nc.us/department/departmental_policies.html	N/A
Labor	Elevator Bureau	IV.15.19 08	Application to Install & Certificate of Contract Cost	http://www.nclabor.com/elevator/online_forms/IV151908.pdf	41
Labor	Elevator Bureau	IV.15.19 51A & B	Amusement Device Data Collection Form	http://www.nclabor.com/elevator/online_forms/amusement_data_collection_form.pdf	13
Labor	Elevator Bureau	IV.15.19 59	Notification of Sale or Purchase of Amusement Equipment	http://www.nclabor.com/elevator/online_forms/amusement_notification_sale.pdf	1
Lottery	Administration	None	Winner Claim Form	http://www.nc-educationlottery.org	240
Lottery	Administration	None	Retailer Application	http://www.nc-educationlottery.org/retailer_application.aspx	20
Lottery	Human Resources	None	Application for Employment	http://www.nc-educationlottery.org/uploads/docs/EmploymentApplication.pdf	20
Personnel	OSP	PD107	Job Application	http://www.osp.state.nc.us/jobs/applications.htm	N/A
Personnel	OSP	PD107-A	Job Application Continuation Sheet	http://www.osp.state.nc.us/jobs/applications.htm	N/A
Public Instruction	Communication and Information Services	N/A	Requisition for Duplicating Services	B-55 (north basement) and throughout DPI	74
Public Instruction	Communication and Information Services	N/A	Web Services Request Form	http://www.ncpublicschools.org/webpublishing/start/instructions/	30
Public Instruction	Communication and Information Services	N/A	Requisition for Graphics Services	B-75 (north basement) and throughout DPI	10
Public Instruction	Communication and Information Services	N/A	External Publications Sales Form	http://www.ncpublicschools.org/publications/orderform/	10
Public Instruction	Communication and Information Services	N/A	Credit Card Purchase Form	B-75 (north basement)	5
Public Instruction	Financial Services	18AA-417	Travel Reimbursement Form	NCDPI Intranet	5
Public Instruction	Financial Services	Form 10-8	Travel Authorization Form	NCDPI Intranet	5
Public Instruction	Financial and Business Services Administration	Workshop, Meeting and Conference Approval Form	Workshop, Meeting and Conference Approval Form	NCDPI Intranet	5

Public Instruction	Communication and Information Services	N/A	Requisition for CD/DVD Duplication Services	B-55 (north basement) and throughout DPI	2
Public Instruction	Communication and Information Services	N/A	Media Use and Release Permission Form	http://www.ncpublicschools.org/docs/webpublishing/posting/photorelease/photoreleaseform.doc	1
Public Instruction	Communication and Information Services	N/A	Internal Publications Sales Form	http://www.ncpublicschools.org/publications/orderform/	1
Public Instruction	Communication and Information Services	N/A	Publications Sales Request Form	https://intranet.dpi.state.nc.us/forms.shtml	0
Public Instruction	Communication and Information Services	N/A	Online Accessibility Registration	http://www.ncpublicschools.org/webpublishing/marketing/analysis/	0
Public Instruction	Communication and Information Services	N/A	Online Accessibility Registration	http://www.ncpublicschools.org/webpublishing/developers/form/	0
Public Instruction	Exceptional Children	2009-10 Risk Pool Application	Children with Disabilities - Risk Pool Application 2009-10	http://www.ncpublicschools.org/ec/funding/riskpool/	N/A
Public Instruction	Exceptional Children	2009-10 Risk Pool Application	Risk Pool Year End Update (including Reversion Form Risk Pool)	http://www.ncpublicschools.org/ec/funding/riskpool/	N/A
Public Instruction	Exceptional Children	GF-1	Exceptional Children Division Group Home/Foster Home Application for Funds	http://www.ncpublicschools.org/ec/funding/gfh/	N/A
Public Instruction	Exceptional Children	Special State Reserve Application	Request for Special State Reserve Funds for Children with Disabilities 2009-10	http://www.ncpublicschools.org/ec/funding/ssrf/	N/A
Public Instruction	Exceptional Children	Special State Reserve Application	End of Year Update for Special State Reserve Funding (Including Reversion Form Special State Reserve Funds)	http://www.ncpublicschools.org/ec/funding/ssrf/	N/A
Public Instruction	Exceptional Children	2009-2010 CRC Application Packet	CRCF1- Request for Community Residential Funds (Ages 3 through 21) CRCF2-Community Residential Roster/Withdrawal Form	http://www.ncpublicschools.org/ec/funding/crc/	N/A
Public Instruction	Exceptional Children	2009-2010 CRC Application Packet	CRCF3-Request for Community Residential Transfer Funds (Ages 5 through 21)	http://www.ncpublicschools.org/ec/funding/crc/	N/A

Public Instruction	Exceptional Children	2009-2010 DDC Application Packet	DDCF1-Request for Developmental Day Funds (Ages 3 through 21) DDCF2-Developmental Day Roster/Withdrawal Form	http://www.ncpublicschools.org/ec/funding/ddc/	N/A
Public Instruction	Exceptional Children	2009-2010 DDC Application Packet	DDCF3-Request for Priority 3 Funds (Ages 3 through 21)	http://www.ncpublicschools.org/ec/funding/ddc/	N/A
Public Instruction	Exceptional Children	2009-2010 DDC Application Packet	DDCF4-Waiver of Participation Developmental Day Funds	http://www.ncpublicschools.org/ec/funding/ddc/	N/A
Public Instruction	Exceptional Children	Out of District Application	OOD1-2009-10 Out-of-District Placement Application	http://www.ncpublicschools.org/ec/funding/ood/	N/A
Public Instruction	Exceptional Children	Out of District Application	OOD2- Out-of-District Placement Reimbursement Invoice	http://www.ncpublicschools.org/ec/funding/ood/	N/A
Public Instruction	Exceptional Children	Out of District Application	OOD3- Out-of-District Placement Withdrawal Form	http://www.ncpublicschools.org/ec/funding/ood/	N/A
Public Instruction	Financial Services	Intent to Contract Form	Intent to Contract Form	NCDPI Intranet	N/A
Public Instruction	Financial Services	Sole Source Document	Sole Source Document	NCDPI Intranet	N/A
Public Instruction	IT Operations Support	Network Action Request	Network Action Request	https://intranet.dpi.state.nc.us/its/inf/network/LAN-AccountForm.doc	N/A
Public Instruction	IT Operations Support		Request for DPI Application Access	https://licsalweb.dpi.state.nc.us/AccessRequest.pdf	N/A
Public Instruction	IT Operations Support		New User Request for DPI Application Access Federal Data Collection - SES/Choice	https://fdc.dpi.state.nc.us/SES-Choice%20New%20User%20Form.pdf	N/A
Public Instruction	IT Operations Support		New User Request for DPI Application Access Federal Data Collection - Homeless	https://fdc.dpi.state.nc.us/Homeless%20New%20User%20Form.pdf	N/A
Public Instruction	IT Operations Support	RACF03	RACF03	https://intranet.dpi.state.nc.us/its/inf/network/doc/RACF03%20Access%20Maintenance%20Form.doc	N/A
Public Instruction	IT Operations Support	RACF02	RACF02	https://intranet.dpi.state.nc.us/its/inf/network/doc/RACF02%20Site%20Security%20Officer%20Form.doc	N/A

Public Instruction	IT Operations Support	AOCF001	AOCF001		N/A
Public Instruction	IT Operations Support	RACF06	RACF06	https://intranet.dpi.state.nc.us/its/inf/network/doc/RACF06%20DSN%20&%20Group%20Access%20Form.doc	N/A
Public Instruction	IT Operations Support	RACF05 Production Access for Analysts	RACF05 Production Access for Analysts	https://intranet.dpi.state.nc.us/its/inf/network/doc/RACF05%20Prod%20Access%20for%20Analysts.doc	N/A
Public Instruction	Personnel	DPI Lock & Key request form	DPI Lock & Key request form	https://intranet.dpi.state.nc.us/sso/prd/keys.shtm	N/A
Public Instruction	Personnel	Address/Name Change form	Address/Name Change form	https://intranet.dpi.state.nc.us/sso/prd/addressnamechange.shtm	N/A
Public Instruction	IT Operations Support	AOC153	AOC153	http://www.nccourts.org/Forms/Documents/1121.pdf	N/A
Revenue	Taxpayer Assistance	E-500	Sales and Use Tax Return	http://www.dorn.com/electronic/index.html	6185
Revenue	Taxpayer Assistance	NC-5	Withholding Return	http://www.dorn.com/electronic/index.html	4899
Revenue	Personal Taxes	NC-3M	Annual Withholding Reconciliation - Monthly	http://www.dorn.com/electronic/index.html	4511
Revenue	Personal Taxes	CD-401S	S Corporation Tax Return	http://www.dorn.com/electronic/index.html	3424
Revenue	Personal Taxes	NC 5Q	Withholding Quarterly Reconciliation	http://www.dorn.com/electronic/index.html	3127
Revenue	Personal Taxes	CD-405	C Corporation Tax Return	http://www.dorn.com/electronic/index.html	1902
Revenue	Personal Taxes	NC-3	Annual Withholding Reconciliation	http://www.dorn.com/electronic/index.html	1188
Revenue	Taxpayer Assistance	NC-BR	Business Registration Application for Income Tax Withholding, Sales and Use Tax, and Machinery, Equipment, and Manufacturing Fuel Tax	http://www.dorn.com/electronic/index.html	506
Revenue	Sales and Use Tax	E-585	Nonprofits and Governmental Entity Claim for Refund Form	http://www.dorn.com/electronic/index.html	368
Revenue	Taxpayer Assistance	D-410	Application for Extension for Filing Individual Income Tax Return	http://www.dorn.com/electronic/index.html	364
Revenue	Taxpayer Assistance	CD-419	Application for Extension for Franchise and Corporate Income Tax Corporate Income Tax	http://www.dorn.com/electronic/index.html	206
Revenue	Personal Taxes	NC-AC	Business Address Correction	http://www.dorn.com/electronic/index.html	19

Revenue	Personal Taxes	NC-BN	Out-Of-Business Notification	http://www.dornc.com/electronic/index.html	19
Secretary of State	Corporations	BE-06	Statement of Change of Registered Office and/or Registered Agent		855
Secretary of State	Certification and Filing		Notary Public Reappointment Application		342
Secretary of State	Certification and Filing		Notary Public Initial Application		257
Secretary of State	Certification and Filing		Notary Public Change of Name/Address/Contact		64
Secretary of State	Corporations	BE-07	Statement of Resignation of Registered Agent		37
Secretary of State	Corporations	BE-03	Application to Reserve a Business Entity Name		30
Secretary of State	Corporations	N-12	Statement of Change of Principle Office		17
Secretary of State	Corporations	BE-12	Agent's Statement of Change of Registered Office Address		14
Secretary of State	Corporations	BE-05	Designation of Registered Office Address and/or Registered Agent		7
Secretary of State	Corporations	BE-13	Application to Register a Business Entity Name by Foreign Entity		5
Secretary of State	Corporations	N-11	Designation of Principle Office Address		4
Secretary of State	Corporations	BE-11	Resolution of Foreign Corporation Adopting a Fictitious Name		1
Secretary of State	Corporations	BE-04	Notice of Transfer of Reserved Business Entity Name		1
Secretary of State	Corporations	BE-14	Application to Reserve Business Entity Name (10 Year Reservation)		0
Secretary of State	Charitable Solicitation Licensing		Annual Financial Report		N/A
Secretary of State	Charitable Solicitation Licensing		Fundraising Disclosure		N/A
Secretary of State	Charitable Solicitation Licensing		Solicitation Campaign Notice		N/A
Secretary of State	Charitable Solicitation Licensing		Solicitation Campaign Financial Report		N/A
Secretary of State	Certification and Filing		Notary Certificate of Moral Character		N/A
Secretary of State	Certification and Filing		Notary Complaint Form		N/A

Secretary of State	Certification and Filing		Business Opportunity Sales Consent to Service of Processing		N/A
Secretary of State	Certification and Filing		Business Opportunity Surety Bond		N/A
Secretary of State	Certification and Filing		Loan Broker Trust Account		N/A
Secretary of State	Certification and Filing		Loan Broker Surety Bond		N/A
Secretary of State	Certification and Filing		Telephonic Seller Registration		N/A
Secretary of State	Certification and Filing		Telephonic Seller Surety Bond		N/A
Secretary of State	Certification and Filing		Membership Campground Operator Registration Renewal		N/A
Secretary of State	Certification and Filing		Membership Campground Salesperson Registration		N/A
Secretary of State	Certification and Filing		Notary Proof of Class Form		N/A
Secretary of State	Corporations	N-13	Statement of Change of Mailing Address.		N/A
Transportation	DMV - License & Theft	None	Seizure Of Plates	Division of Criminal Information	1000
Transportation	DMV - License & Theft	LT 262	Notice of Unclaimed	Paper Request or http://www.ncdot.org/dmv/forms/licensetheft/download/LT262.pdf (ON LINE PYMT FUNCTIONALITY NEEDED To support)	700
Transportation	DMV - Vehicle Registration	MVR-24A	Request for Address Change	URL Primary Location - Other Locations (2)	125
Transportation	DMV - Vehicle Registration	MVR-18A	Plate Turn in Verification	URL Primary Location - Other Locations (130)	120
Transportation	Highway		Funding Request	https://intranet.dot.state.nc.us/portal/Home/Teams/FinancialManagement/ProgramDevelopment/ProjectManagement/tabid/93/Default.aspx	100
Transportation	Highway		POC-ARRA Low Bid Award Form	https://intranet.dot.state.nc.us/portal/Home/Teams/FinancialManagement/ProgramDevelopment/ProjectManagement/tabid/93/Default.aspx	100
Transportation	Highway		ROW Authorization Certificate	https://intranet.dot.state.nc.us/portal/Home/Teams/FinancialManagement/ProgramDevelopment/ProjectManagement/tabid/93/Default.aspx	100
Transportation	Highway		State Minimum Criteria Check List	https://intranet.dot.state.nc.us/portal/Home/Teams/FinancialManagement/ProgramDevelopment/ProjectManagement/tabid/93/Default.aspx	100
Transportation	Fiscal	W-9	Vendor Registration Form	https://intranet.dot.state.nc.us/portal/Default.aspx?TabId=151&xsfid=248	60

Transportation	Mobility and Safety (Traffic Safety Unit)	None	Request for Crash Information	http://www.ncdot.org/doh/prec onstruct/traffic/safety/forms/crash_info.pdf	40
Transportation	Fiscal	ACH- VEN	Vendor Direct Deposit Form	https://intranet.dot.state.nc.us/portal/Default.aspx?TabId=151&xsfid=248	15
Transportation	Fiscal	ACH- EMP	Employee Direct Deposit Form	https://intranet.dot.state.nc.us/portal/Default.aspx?TabId=151&xsfid=248	10
Transportation	Fiscal	PR26	Cancellation of Agency Insurance	on DOT portal under electronic forms "PR26"	6
Transportation	Oversize/Over weight Permits	PF-25	Dealer/Transporter Monthly Report	www.ncdot.org/~osowpermits	5
Transportation	Oversize/Over weight Permits	PF-26	Manufacturer/Transporter Monthly Report	www.ncdot.org/~osowpermits	5
Transportation	Mobility and Safety (Traffic Safety Unit)	None	Request for TEAAS Support	No form yet - needed	3
Transportation	DMV - Vehicle Registration	521B	Motor Vehicle License Plate Agency Complaint Form	Assistant Director's Office for Vehicle Registration	2
Transportation	DMV - Vehicle Registration	No Form #	DMV Systems Change Request Form	Field Operations Support Unit - Primary Other Locations (5)	2
Transportation	Mobility and Safety (Traffic Safety Unit)	None	Application for Reasonable Access for STAA-Dimensioned Vehicles	http://www.ncdot.org/doh/prec onstruct/traffic/safety/Program s/access.pdf	1
Transportation	Fiscal	BD606	Budget Revision System Manual Entry	Currently have hard copy only	1
Transportation	Division of Highways	CCU- VCC01	Resident Engineer's Notice of Vertical Clearance Change	http://www.ncdot.org/doh/oper ations/dp_chief_eng/constructi onunit/vcc.xls	0
Transportation	Division of Highways	CCU- NSC01	Notice of New Structure Completion	http://www.ncdot.org/doh/oper ations/dp_chief_eng/constructi onunit/nsc.xls	0
Transportation	Mobility and Safety (Traffic Safety Unit)	None	Application for Route Designation for STAA-Dimensioned Vehicles	http://www.ncdot.org/doh/prec onstruct/traffic/safety/Program s/designation.pdf	0
Transportation	Transportation Mobility & Safety Division	Software Request Form	IT Software Request Form	http://www.ncdot.org/doh/form s/files/SoftwareRequest.doc	0
Transportation	Transportation Mobility & Safety Division	Hardware Request Form	IT Hardware Request Form	http://www.ncdot.org/doh/form s/files/HardwareRequest.doc	0
Transportation	Oversize/Overweight Permits		Internet Permit Service Application	www.ncdot.org/~osowpermits	N/A
Transportation	Geotechnical		Pile Driving Equipment Data Form	http://www.ncdot.org/doh/prec onstruct/highway/geotech/form det/PileDrivingEquipmentData Form.xls	N/A
Transportation	Information Technology		ProcurementHardwareRequest Form[1].doc	https://intranet.dot.state.nc.us/portal/Home/Teams/IT/Techni calServices/tabid/84/Default.aspx	N/A

Transportation	Information Technology		ProcurementPrinterRequestForm[1].doc	https://intranet.dot.state.nc.us/portal/Home/Teams/IT/TechnicalServices/tabid/84/Default.aspx	N/A
Transportation	Information Technology		ProcurementSoftwareRequestForm[1].doc	https://intranet.dot.state.nc.us/portal/Home/Teams/IT/TechnicalServices/tabid/84/Default.aspx	N/A
Treasurer's Office	Retirement Systems	6 Series (9 different forms)	Retirement Forms	http://www.nctreasurer.com/DSTHome/RetirementSystems/Retirement+Application+Forms.htm	1000
Treasurer's Office	Retirement Systems	6 Series (9 different forms)	Retirement Forms	http://www.nctreasurer.com/DSTHome/RetirementSystems/Retirement+Application+Forms.htm	1000
Treasurer's Office	Retirement Systems	HM	Selecting Health Coverage	http://www.nctreasurer.com/NR/rdonlyres/92D3D908-69D3-49B9-B6C8-013355934F6D/0/HM.pdf	1000
Treasurer's Office	Unclaimed Property	On-line claim form	On-line claim form	www.nccash.com	850
Treasurer's Office	Retirement Systems	7 Series (11 different forms)	Disability Forms	http://www.nctreasurer.com/DSTHome/RetirementSystems/Disability+Application+Forms.htm	500
Treasurer's Office	Retirement Systems	7 Series (11 different forms)	Disability Forms	http://www.nctreasurer.com/DSTHome/RetirementSystems/Disability+Application+Forms.htm	500
Treasurer's Office	Retirement Systems	5	Withdrawing Your Retirement Service Credit	http://www.nctreasurer.com/NR/rdonlyres/8B85AAAB-172D-4C06-8175-1AA44A0213A0/0/5.pdf	300
Treasurer's Office	Banking Ops		Fax Transmittal Requesting Wire Out	Word document that can be emailed	20
Treasurer's Office	Banking Ops	INV 24S	Fax Transmittal Form Confirming Wire Deposit Remittance	Banking Handbook/ word document to email	20
Treasurer's Office	Banking Ops	INV 96	Quarterly Report on Public Deposits (Pooling)	http://www.nctreasurer.com/NR/rdonlyres/52479594-0760-499A-BDFA-E1C3D9EE52FF/0/inv96110806.pdf	7
Treasurer's Office	Banking Ops		Payment Preauthorization/ CB\$ Electronic Warrant/ Wire Transfer	Banking Handbook online	5
Treasurer's Office	Banking Ops	INV 126	NC DST Signature Card	http://www.nctreasurer.com/NR/rdonlyres/974B4346-431F-4D26-BE46-B9CAF863AB3C/0/SignatureCard070009.pdf	2
Treasurer's Office	Banking Ops	INV 19	Affidavit and Indemnity Bond	Banking Handbook	2
Treasurer's Office	Banking Ops	INV 19A	Affidavit for Altered Warrant	Banking Handbook	2

Treasurer's Office	Banking Ops	INV 19C	Affidavit for Counterfeit Warrant	Banking Handbook	2
Treasurer's Office	Banking Ops	INV 97	(Annual) Report on Public Deposits	http://www.nctreasurer.com/NR/rdonlyres/4B8BA6C0-C26B-4F51-AAC3-1F25097B66F6/0/inv97.pdf	2
Treasurer's Office	Banking Ops	INV 98	Annual/ Quarterly Report on Collateral for Public Deposits	http://www.nctreasurer.com/NR/rdonlyres/A0E5643C-4EB9-4B65-8D44-59E1355C91E0/0/inv98.pdf	2
Treasurer's Office	Banking Ops	INV 99	Selected Financial Data Report	http://www.nctreasurer.com/NR/rdonlyres/25FF94D0-4E9F-45B2-B2AC-6F62937F2A69/0/inv9911806.pdf	2
Treasurer's Office	Banking Ops	INV 92	Election of Pooling Method	http://www.nctreasurer.com/NR/rdonlyres/A1C997B2-E6E8-477C-BB5C-18CA1A4380BC/0/inv92.pdf	1
Treasurer's Office	Banking Ops	INV 93A	Security Agreement w/ Resolution (used for Pooling Method)	http://www.nctreasurer.com/NR/rdonlyres/8A5D40E3-1926-48DE-BDC7-01B0DBEFA8D5/0/inv93a.pdf	1
Treasurer's Office	Banking Ops	INV 93B	Escrow Agent Agreement (for use under Pooling Method)	http://www.nctreasurer.com/NR/rdonlyres/67A68605-7929-43B5-BB34-126D204F8B26/0/inv93b.pdf	1
Treasurer's Office	Banking Ops	INV 94A	Security Agreement w/ Resolution (used for Dedicated Method)	http://www.nctreasurer.com/NR/rdonlyres/D8121734-80B5-4E49-8E01-0B9B00D40DC9/0/inv94a.pdf	1
Treasurer's Office	Banking Ops	INV 94B	Escrow Agent Agreement (for use under Dedicated Method)	http://www.nctreasurer.com/NR/rdonlyres/65B09FC4-3C4F-4E81-9840-10D8E36CCFC6/0/inv94b.pdf	1
Treasurer's Office	Banking Ops	INV 95	Request for Pledge And/ or Release Form	http://www.nctreasurer.com/NR/rdonlyres/F2161CB6-FE85-4B86-ACD6-25ADC1CD9B03/0/inv95.pdf	1
Treasurer's Office	Banking Ops		DST Application for STIF account	http://www.nctreasurer.com/NR/rdonlyres/6FA752D0-903A-403A-B5DB-94FAD8F4C879/0/STIFNewAccount092608b.pdf	1
Treasurer's Office	Banking Ops		NC DST CB\$ Admin Data Sheet	Word document that can be emailed	1
Treasurer's Office	Banking Ops	INV 91	Notification of Public Deposit	http://www.nctreasurer.com/NR/rdonlyres/7D780440-C732-4BB4-A8AF-FD8994624C9E/0/inv91.pdf	N/A
Treasurer's Office	Banking Ops		Audit Confirmation	Word document that can be emailed	N/A

Appendix B: Form Maturity Model:

Electronic forms differ in their value-add. The improvements can fall into several categories:

Intelligence: the ability of the form to use information inside and outside the form to minimize errors and reduce the respondent's workload; and

Interactivity: how responsive the form is to entries that the respondent makes.

Integration: the ability to programmatically extract the data from the form and transfer the data into a digital data repository (e.g. spreadsheet, database, or information system).

Six levels of electronic forms can be defined in order of increasing capability as follows:

1. "Static": This type of form must be printed out in order to be completed and submitted. An example is a PDF document that cannot be filled out on-line. While it does allow the agency to distribute its forms in an electronic fashion, it does not have intelligence, interactivity, or integration. It generally requires an additional manual step to input the data into a digital data repository.
2. "On-line data entry": This type of form allows the respondent to type information into the form, but the form does not direct how specific the input should be (intelligence), nor allow automatic input into a digital data repository (integration).
3. "Directed data entry": The use of form assistants, such as drop-down boxes, direct the input (intelligence), and allows data to be programmatically extracted into a digital data repository (integration). Examples can be PDF, Word or web forms.
4. "Rules-based validation": This form has rules built in the form that provide feedback in response to data entry (interactivity). It can report back if mandatory fields have been left unanswered and if data inputs are acceptable (intelligence) based on its rules. It allows data to be programmatically extracted into a digital data repository (integration).
5. "Conditional response": This form can change its questions based on response to earlier data inputs (interactivity and intelligence). It allows data to be programmatically extracted into a digital data repository (integration).

6. “Versatile”: This form can apply rules that rely on external data (e.g. check that an applicant applying for a renewal license already has a license) (interactivity and intelligence). It also permits data to be submitted directly to a digital data repository (integration).

Each successive level of electronic form provides increasing value-add to the agency. This value may be in the form of manual work reduction, improved ease-of-use, greater acceptability, less paper, higher data quality, etc. and can be translated into cost savings, cost avoidance and productivity improvements.

§ 66-58.2. Definitions.

The following definitions apply in this Article:

- (1) "Certification authority" means a person authorized by the Secretary to facilitate electronic commerce by vouching for the relationship between a person or public agency and that person's or public agency's electronic signature.
- (2) "Electronic signature" means any identifier or authentication technique attached to or logically associated with an electronic record which is intended by the party using it to have the same force and effect as the party's manual signature.
- (3) "Person" means any individual, firm, partnership, corporation, or combination thereof of whatsoever form or character.
- (4) "Public agencies" means and includes every public office, public officer or official (State or local, elected or appointed), institution, board, commission, bureau, council, department, authority, or other unit of government of the State or of any county, unit, special district, or other political subdivision of government.
- (5) "Secretary" means Secretary of State.
- (6) "Transaction" means an electronic transmission of data between a person and a public agency, or between public agencies, including, but not limited to, contracts, filings, and legally operative documents. (1998-127, s. 1.)

§ 66-58.3. Certification authority licensing.

All persons acting as a certification authority with respect to transactions under this Article shall be licensed by the Secretary prior to representing themselves or acting as a certification authority under this Article. Certification authority licensing standards set by the Secretary may include, but are not limited to, technical, physical, procedural, and personnel security controls, repository obligations, and financial responsibility standards. Upon payment of the required fees, a certification authority meeting the standards adopted by the Secretary by rule shall be licensed for a period of one year. Licenses of certification authorities complying with the standards adopted by the Secretary may be renewed for additional one-year terms upon payment of the required renewal fee. (1998-127, s. 1.)

§ 66-58.4. Use of electronic signatures.

All public agencies may use and accept electronic signatures pursuant to this Article, pursuant to Article 40 of this Chapter (the Uniform Electronic Transactions Act), or pursuant to other law. (1998-127, s. 1; 2003-233, s. 1; 2007-119, s. 1.)

§ 66-58.5. Validity of electronic signatures.

(a) An electronic signature contained in a transaction undertaken pursuant to this Article between a person and a public agency, or between public agencies, shall have the same force and effect as a manual signature provided all of the following requirements are met:

- (1) The public agency involved in the transaction requests or requires the use of electronic signatures.
- (2) The electronic signature contained in the transaction embodies all of the following attributes:
 - a. It is unique to the person using it;
 - b. It is capable of certification;
 - c. It is under sole control of the person using it;
 - d. It is linked to data in such a manner that if the data are changed, the electronic signature is invalidated; and
 - e. It conforms to rules adopted by the Secretary pursuant to this Article.

(b) A transaction undertaken pursuant to this Article between a person and a public agency, or between public agencies, is not unenforceable, nor is it inadmissible into evidence, on the sole ground that the transaction is evidenced by an electronic record or that it has been signed with an electronic signature.

(c) This Article does not affect the validity of, presumptions relating to, or burdens of proof regarding an electronic signature that is accepted pursuant to Article 40 of this Chapter or other law. (1998-127, s. 1; 2003-233, s. 2.)

§ 66-58.12. Agencies may provide access to services through electronic and digital transactions; fees authorized.

(a) Public agencies are encouraged to maximize citizen and business access to their services through the use of electronic and digital transactions. A public agency may determine, through program and transaction analysis, which of its services may be made available to the public through electronic means, including the Internet. The agency shall identify any inhibitors to electronic transactions between the agency and the public, including legal, policy, financial, or privacy concerns and specific inhibitors unique to the agency or type of transaction. An agency shall not provide a transaction through the Internet that is impractical, unreasonable, or not permitted by laws pertaining to privacy or security.

(b) An agency may charge a fee to cover its costs of permitting a person to complete a transaction through the World Wide Web or other means of electronic access. The fee may be applied on a per transaction basis and may be calculated

either as a flat fee or a percentage fee, as determined under an agreement between a person and a public agency. The fee may be collected by the agency or by its third party agent.

(c) The fee imposed under subsection (b) of this section must be approved by the Office of State Budget and Management, in consultation with the State Chief Information Officer and the Joint Legislative Commission on Governmental Operations. The revenue derived from the fee must be credited to a nonreverting agency reserve account. The funds in the account may be expended only for e-commerce initiatives and projects approved by the State Chief Information Officer, in consultation with the Joint Legislative Oversight Committee on Information Technology. For purposes of this subsection, the term "public agencies" does not include a county, unit, special district, or other political subdivision of government.

(d) This section does not apply to the Judicial Department. (2000-109, s. 8; 2004-129, s. 27; 2005-92, s. 1.)

§ 66-321. Notarization and acknowledgment.

If a law requires a signature or record relating to a transaction to be notarized, acknowledged, verified, or made under oath, the requirement is satisfied if the electronic signature of the person authorized to perform those acts, together with all other information required to be included by other applicable law, is attached to or logically associated with the signature or record. (2000-152, s. 1.)

§ 66-322. Retention of electronic records; originals.

(a) If a law requires that a record be retained, the requirement is satisfied by retaining an electronic record of the information in the record which:

- (1) Accurately reflects the information set forth in the record at the time it was first generated in its final form as an electronic record or otherwise; and
- (2) Remains accessible for later reference.

(b) A requirement to retain a record in accordance with subsection (a) of this section does not apply to any information the sole purpose of which is to enable the record to be sent, communicated, or received.

(c) A person may satisfy subsection (a) of this section by using the services of another person if the requirements of that subsection are satisfied.

(d) If a law requires a record to be presented or retained in its original form, or provides consequences if the record is not presented or retained in its original form, that law is satisfied by an electronic record retained in accordance with subsection (a) of this section.

(e) If a law requires retention of a check, that requirement is satisfied by retention of an electronic record of the information on the front and back of the check in accordance with subsection (a) of this section.

(f) A record retained as an electronic record in accordance with subsection (a) of this section satisfies a law requiring a person to retain a record for evidentiary, audit, or like purposes, unless a law enacted after the effective date of this Article specifically prohibits the use of an electronic record for the specified purpose.

(g) This section does not preclude a governmental agency of this State from specifying additional requirements for the retention of a record subject to the agency's jurisdiction. (2000-152, s. 1.)

§ 66-323. Admissibility in evidence.

In a proceeding, evidence of a record or signature may not be excluded solely because it is in electronic form. (2000-152, s. 1.)

North Carolina Electronic Recording Standards:

Document submitters shall be recognized and authenticated as trusted submitters in accordance to G. S. §47-14(a1). The NCERC recommends that recorders require a form of electronic verification, whether username/password, digital signature, or similar process that provides a level of reliability and security for both parties. The goal of Trusted Submitter Registration is to establish a level of verifiable integrity within the electronic recording process.

Appendix D: E-notarization Examples

The Secretary of State has developed an e-form for lobbyist registration. Lobbyists are required to report expenditures on a quarterly basis. The use of the e-form for this registration has been increasing.

The State Bureau of Investigation (SBI) expects to use an e-notarization process in the 1st half of 2010 for crime lab reports. There is a general statute requiring notarized signatures on these reports. Currently, a forensic analyst stamps his fingerprint and signs the report in front of a notary and the paper copy is scanned into the system. With the new e-notarization process, the reports are queued in a batch for signature. When the analyst is ready to sign a batch of reports, he stamps his fingerprint and signs the reports electronically in front of the e-notary, the e-notary signs electronically, and the reports are ready for electronic storage. The e-notary is in close proximity to the forensic analysts and there are four other e-notaries for back-up. There are 1,500 to 3,000 reports generated per month. The new process will cut costs by saving paper costs, improves the administrative assistant's productivity and is less disruptive for the analyst, thereby improving analyst productivity.

The Johnston County Register of Deeds recently completed a successful pilot to electronically sign and record plat maps. This pilot is being conducted with the North Carolina Society of Surveyors under the purview of the Secretary of State.

Appendix E⁸

Scoring, Rank Ordering and Prioritizing

Analyze the value of the investment

Perspective	Weight (0-100%)	Score (0-100%)	Weighted Score (%)
Strategic Alignment	20	70	14
Direct Payback	20	30	6
Process Impact	30	40	12
Tech. Architecture	15	100	15
Risk	15	80	12

Score = 59

Score:

- Determines rank order
- Can be used against a defined hurdle rate (e.g., projects must score above 60 to be considered for funding)

GARTNER LEADER'S TOOLKIT

13

⁸ Gartner Article: Project Prioritization and Portfolio Management Starter Kit

Appendix F: Selected State Agency Governance & Prioritization Models

DPI	Governance	Portfolio Management Committee (PMC)	Voting Membership: State Superintendent, CIO, CFO, Chief Academic Officer, Deputy Chief Academic Officer, and Policy and Strategic Planning Director
	Meetings	Monthly - 2 step process; Quarterly Project State Update/ Review Meeting	Review New Initiative Request. If aproved, then review Business Sponsor Charter at next meeting.
	Documents	Project initiation form (2 pages); Business Sponsor Charter (project charter and business case)	prepared by the Business Sponsor and the IT Portfolio Manager assigned to the business unit. Associate Superintendentfor business unit presents both documents to the PMC for approval to move forward or not.
	Prioritization	Qualitative top to bottom after Business Sponsor Charter approved.	SBC priorities, state and federal mandates, business, risk, and interdependencies
	Portfolio Balancing	PMC determines and approves projects the IT Area works on based on agency business needs	Balancing affirmed at Quarterly PMC meeting where overall project health status/update/ review of all projects is presented.
	Challenges	Resource capacity; Expedite process	Operational vs. Project Work – available resources are spread across multiple work streams making staffing projects adequately a challenge.
	Coordinator	Program and Quality Management Office Director	Prepares agenda and supporting documentation. Chairs the PMC meetings. Assigns Project Managers to projects approved by the PMC.
DOT	Governance	Strategic Management Committee (SMC) ; IT Subcommittee	CIO, CFO, COO, Business Divisions
	Meetings	Quarterly - SMC. Monthly - IT	Business writes project requests, collected by Governance Office who prepares and runs meetings, IT projects are approved
	Documents	Business project request, once approved create project charter, put data into PPM tool then prioritize when ready for gate 1	Project prioritization at gate 1 ensures enough information to make a decision.
	Prioritization	Categorize but ask business sponsor for priority, all projects mapped to NCDOT goals	Business sponsor, mandated projects are priority 1, currently 23 priority 1 projects
	Portfolio Balancing	SMC looks at projects once a quarter and reprioritizes	Adjustments made as needed
	Challenges	Resource capacity; Prioritization - many priority one's	
	Coordinator	Governance Office	
ESC	Governance	Executive Committee	Chairman, COO, CFO, CIO, Business Director
	Meetings	Monthly	Review projects > \$100,000
	Documents	Service request form, high level cost, signed project charter	
	Prioritization	Business need, Congressional mandates, US Department of Labor (USDOL) regulations, State legislative mandates, and availability of USDOL grant monies, prioritize 1, 2, 3, 4, 5 etc.	Congressional mandates, USDOL regulations, and Legislative mandates 1st priority; Business Owner, prioritize by rank
	Portfolio Balancing	Agency CIO discusses projects at senior staff meeting, reprioritization is discussed as needed	
	Challenges	Resource capacity and time limits placed on expenditure of grant monies	
	Coordinator	PMO office, CIO	
ITS	Governance	Project Review & Prioritization Team	SDSCIO, DSCIO, DSCIO Direct Reports
	Meetings	Every two weeks	Review project charters and prioritize
	Documents	Project charter and project scoring spreadsheet	
	Prioritization	Based on scoring 14 categories under Goal & Strategic Alignment and Risk Assessment. Each category scored by team members 0-9 from no relationship/high risk to strong alignment/no risk.	Ranking based on combined total project score
	Portfolio Balancing	Done when resource constraints identified as issue during Review & Prioritization meeting Done when resource constraints identified as issue during Review & Prioritization meeting	

XI. E-FORM METHODOLOGY

As part of its study, OSBM proposes a standard methodology to assess potential benefits to a business process when considering form automation⁹ for use by agencies. The methodology can be described in five steps:

1. *Conduct a brainstorming session.* This meeting should include both IT and business representatives¹⁰ who are familiar with the business processes. It may involve multiple meetings with multiple business owners. Its purpose is to identify which forms and business processes contain heavy manual components or are duplicate or wasteful and could be automated to gain efficiencies or otherwise reduce costs. Each step in the business process should be considered for automation, but not all steps may be candidates for automation.

One company's approach to this session was to have each group assess where it was, identified the biggest problem the current workflow presented, and the changes that would save the most time and money with the smallest investment. Groups prioritized forms development by assessing frequency of usage, support calls generated, and development costs¹¹.

Consideration should also be given to the future. There may be strategic projects planned for implementation that may make a current business process obsolete. It would not be worth addressing these forms or processes, if they are to be changed by the future project. On the other hand, if no imminent project is expected, the current business process can be considered a candidate for form automation.

2. *Review the current process.* This includes conducting employee interviews, observing operations and recording the time of each step in the business process. It also includes the assignment of costs to the labor, materials, facilities associated with the current process. The end result is a list of steps in the current process and the resources needed to execute those steps.
3. *Plan the new process that reflects automation of the form and process.* Obtain the same types of data as in step 1. Business modeling tools can provide assistance in this new process evaluation by providing a clearer view of the potential outcomes of business process changes such as the prediction of where bottlenecks will likely occur. The extent of the form maturity planned (e.g. form intelligence,

⁹ Appendix E identifies additional factors used in the evaluation of IT projects.

¹⁰ Cooperation between IT and the business is critical in order to objectively assess a business process. Information technology projects are best aligned with business processes when lines of business and information technology units communicate and meet on a regular basis. Appendix F shows some of the State agency governance/ communication models.

¹¹ Forms at Adobe, A Case Study

interactivity and integration with back-end data sources) will impact the amount and types of savings expected. The end result is a list of steps in the new process and the resources needed to execute those steps.

4. *Compute financial payback.* Compare the costs and benefits of the new process with those of the old process, and input the data into a spreadsheet. Assign the initial investment in the new process to “year 0”. Assign the difference in benefits and costs to each of the next five years, thereby providing a net difference on an annual basis. This net difference can be equated to an investment’s annual return. Calculate a return on investment¹² and/or payback period to assess the financial worthiness of a project.
5. *Use the financial calculations as input into the IT project prioritization process.* The financial payback is not the only factor into an IT project priority, but it is an important consideration.

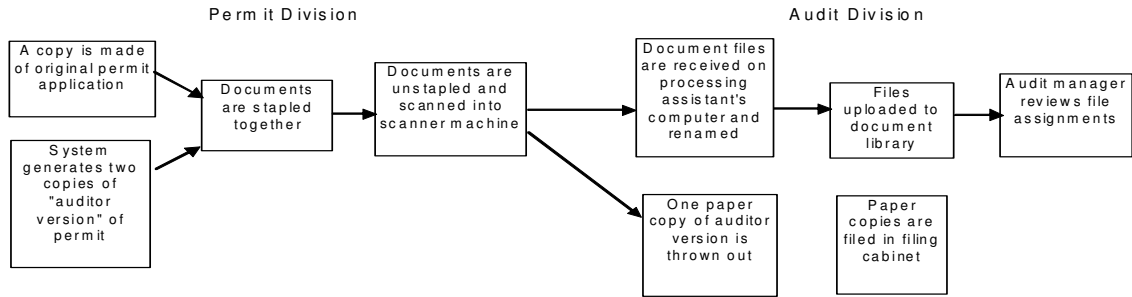
OSBM used these five steps to validate the methodology at the State Alcohol Beverage Control (ABC) Commission. OSBM met with the Director of Information Technology and a business representative to brainstorm on what forms would be candidates for automation. A couple of forms were identified. One involved another agency and would require a change to a North Carolina General Statute. The second form was related to the “retail permit audit process”, involving the assignment of permits to internal auditors. OSBM selected the second process for study.

A second meeting was held with the ABC Commission’s Permit Division and Audit Division supervisory and staff personnel to cover the study objectives and solicit feedback on the operation of the retail permit audit process. This meeting provided enough information to understand the steps in the current process and future process as shown in Exhibit 1.

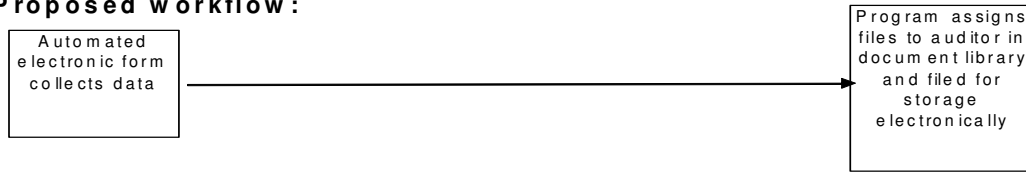
12

Exhibit 1: ABC Commission retail permit audit process

Current workflow :



Proposed workflow :



The next step is to observe the current process operation. The amount of time and number of documents involved in each step was documented. The data is unitized to calculate the time per document as shown in Exhibit 2. Observations should be conducted more than once to obtain an average amount of time for each step.

Exhibit 2: Steps in current process

Step	Description	Division	Participant	Time	Document Quantity	Average minutes / document
1	Original application copied (new paper copy)	Permit & Product Compliance	Processing Assistant	Steps: 1-3: 1 minute 15 seconds	3	0.4
2	System generates two paper copies of "audit copy"	Permit & Product Compliance	System			
3	Attach audit copies to application	Permit & Product Compliance	Processing Assistant			
4	Wait for scanner	Permit & Product Compliance	Processing Assistant	6 minutes	13	0.5
5	Unstaple application and audit copies	Audit	Processing Assistant	Steps: 5-7: 9 minutes	13	0.7
6	Throw away one audit copy	Audit	Processing Assistant			
7	Scan application & send file to Sharepoint account in Audit Division	Audit	Processing Assistant			
8	On computer, open files and rename them according to each of 4 divisions	Audit	Processing Assistant	Steps: 8-9: 42 minutes	13	3.2
9	Upload into Sharepoint document library	Audit	Processing Assistant			
10	Reviewed by audit supervisor to assure correct destination	Audit	Audit Manager	20 seconds per document	1	0.3
11	File Document	Audit	Processing Assistant	8 minutes	13	0.6
Total						5.8

An annual cost is determined based on the volume of documents processed in a year, supplies, and salary costs. An average salary by job classification can be used. Benefits are applied using a formula. Exhibit 3 illustrates the conversion to an annual cost.

Exhibit 3: Current process costs

Step	Description	Average minutes / document	Job Classification	Minimum Salary (OSP table)	Maximum Salary (OSP table)	Average Salary	Salary + benefits	Salary + Benefits / per minute	Cost per document	Annual Minutes	Annual Labor Costs
1	Original application copied (new paper copy)	0.4	Processing Assistant IV	\$ 25,705	\$ 38,759	\$ 32,232	\$ 42,031	\$ 0.40	\$ 0.17	521	\$ 207.30
2	System generates two paper copies of "audit copy"									0	
3	Attach audit copies to application									0	
4	Wait for scanner	0.5	Processing Assistant IV	\$ 25,705	\$ 38,759	\$ 32,232	\$ 42,031	\$ 0.40	\$ 0.18	577	\$ 229.62
5	Unstaple application and audit copies	0.7	Processing Assistant IV	\$ 25,705	\$ 38,759	\$ 32,232	\$ 42,031	\$ 0.40	\$ 0.28	865	\$ 344.44
6	Throw away one audit copy									0	
7	Scan application & send file to Sharepoint account in Audit Division									0	
8	On computer, open files and rename them according to each of 4 divisions	3.2	Processing Assistant IV	\$ 25,705	\$ 38,759	\$ 32,232	\$ 42,031	\$ 0.40	\$ 1.29	4038	\$ 1,607.37
9	Upload into Sharepoint document library										
10	Reviewed by audit supervisor to assure correct destination	0.3	Audit Manager	\$ 43,474	\$ 111,267	\$ 77,371	\$ 94,624	\$ 0.90	\$ 0.30	417	\$ 373.36
11	File Document	0.6	Processing Assistant IV	\$ 25,705	\$ 38,759	\$ 32,232	\$ 42,031	\$ 0.40	\$ 0.24	769	\$ 306.17
Total		5.8							\$ 2.45	7188	\$ 3,068.26

Other Costs		Cost per paper	Cost per form (4 pieces of paper)	Forms per year	Annual cost of paper
Paper cost	\$30.66 carton / 10 reams in carton / 500 sheets per ream = .6 cents per paper	0.006132	\$ 0.02	1250	\$ 30.66

The next step is to visualize the new process and determine the steps and costs in a similar manner. See Exhibit 4.

Exhibit 4: New process costs

Step	Description	Position	Min Salary	Max Salary	Average Annual Salary	Benefits	Salary + Benefits	Time (days)	Cost to create program
1	Document process, data	Business & Tech App. Analyst	\$39,816	\$98,718	\$69,267	\$15,887	\$85,154	1	\$387
2	Write, test program	IT Director	\$72,100	\$157,084	\$114,592	\$23,320	\$137,912	5	\$3,134
		Total							\$3,521

The difference in costs and benefits of the new process was compared to the current process. The annual benefits expected from the new process totaled \$3,099, comprised of \$3,068 in labor processing savings and \$31 in paper cost savings. These benefits are expected because the labor costs associated with the current process would not be necessary with the new process. This difference was assigned to each year over a five-year period. Exhibit 5 reflects the financial calculations¹³ involved in a five-year investment in the new process indicating it will save \$8,452 and take 1.5 years to recoup the cost required to automate the process.

Exhibit 5: Financial return calculation

	Year 0	Year 1	Year 2	Year 3	Year 4	Year 5	Total
New process benefits	\$0	\$3,099	\$3,099	\$3,099	\$3,099	\$3,099	\$15,495
New process costs	-\$3,521	-\$704	-\$704	-\$704	-\$704	-\$704	-\$7,043
Net costs / benefits	-\$3,521	\$2,395	\$2,395	\$2,395	\$2,395	\$2,395	\$8,452
Return on investment (ROI)	68%						
Payback period (years)	1.5						
5-year productivity savings (person months)	4.1						
5-year total benefits	\$11,973						
5-year net benefits	\$8,452						

¹³ Return on investment = annual return divided by initial investment (in year 0). If annual returns vary, the internal rate of return (IRR) can be used.

Payback period = initial investment divided by annual return

Annual productivity savings = the amount of personnel cost saved per document times the number of documents processed per year. The number of minutes is converted to person months and added up over 5 years

Total benefits = the sum of the benefits over five years

Net benefits = the sum of the benefits over five years minus the initial investment