

Report Title: IT Strategic Plan Summary

Agency: 132 Department of Elections

Date: 4/17/2017

Current Operational IT Investments

In this section, describe the high-level strategy the agency will use to manage existing operational IT investments over the next year to 5 years. This section should align with identified Business Requirements for Existing Technology (BReTs). At minimum, please address the following questions in your description of your agency's strategy for managing existing operational IT investments:

Are there existing IT investments that will require additional funding over the next year to 5 years, such as license renewals, re-competition of current IT contracts, or system enhancements required by the Agency Strategic Plan?

If there are systems that will no longer support the agency's business needs, either through poor performance or excessive cost, how does IT leadership in the agency plan to address the issues?

If the agency does not have the staff or funding to meet increasing demand for IT services, how will IT leadership fulfill the requests?

The Department of Elections (ELECT) operates two primary applications, the statewide voter registration and election management system (VERIS) and the statewide campaign finance disclosure system (COMET). Additional applications support the operations of these primary applications and other administrative needs of the agency. Over the next six years, ELECT's focus will be on making significant improvements to the infrastructure and applications that support election management and voter registration in the Commonwealth.

In fiscal year 2018, ELECT has received additional funding specifically geared towards improvements to VERIS and its underlying infrastructure. It is expected that this funding amount will continue in each future budget cycle through the end of fiscal year 2021. With this funding, ELECT intends to leverage additional resources and procure new services to assist with improving various areas of its applications.

Additionally, procurement and maintenance of voting systems (ballot tallying, printing, scanning, etc.) are a locality responsibility in Virginia. There is no state funding for the purchase or maintenance of these systems. The state does provide a certification path for the systems used in Virginia through the Department of Elections and State Board of Elections. The state also maintains purchasing contracts with the certified voting system vendors that the localities can use when making purchases.

Factors Impacting the Current IT

In this section, the agency will describe the changes in their business environment that will require or mandate changes to the agency's current IT investments. These are requirements and mandates from external sources, such as other agencies or business partners, the agency's customer base, product and service providers, or new federal or state legislation or regulations. The agency must identify the business value of the change, any important deadlines that must be met, and the consequences if the deadlines are not met. In your discussion, be sure to note whether the proposed enhancements are funded or not. If the agency's existing current IT investments will not need enhancement due to requirements or mandates from external sources in the foreseeable future, the agency should enter the following text rather than leave the Factors Impacting the Current IT section blank

For each mandated change, summarize your agency's response from your Agency Strategic Plan, and is it the opinion of agency IT leadership that the IT portion of the response is adequately funded?

Do the mandated changes effect IT in other Commonwealth agencies, or in other states? If so, how?

1) Laws relating to elections are in a constant state of flux, thereby impacting the IT investments of this agency. Each year, approximately 10% of the proposed legislation introduced by the General Assembly

impacts this agency. The agency is committed to ensuring that fiscal impact statements are as accurate as possible and include funding requirements for the ongoing operational needs to support the proposed legislative changes.

- 2) Continuous legal challenges filed against ELECT impact IT investments. Unfortunately, changes required due to legal outcomes do not include funding and typically have very short timelines for implementation. Several large challenges have impacted IT investments because the ELECT IT staff has been called upon to implement the required changes (e.g. – redistricting changes, felon rights restoration, etc.).
- 3) At the end of calendar year 2016, the Department of Homeland Security (DHS) designated voting systems and voter registration systems as critical infrastructure. Details as to what this means for election technology systems and programs is still unclear at this time.
- 4) ELECT will exhaust its final federal funding source in fiscal year 2018. Efforts to completely replace the funding stream with general fund money were not fully successful during the 2017 General Assembly session and the agency will be operating a budget deficit of approximately \$1,000,000 per year lower than our original request for funding replacement.
- 5) Recruitment of qualified technical staff remains an obstacle for ELECT. ELECT IT was unable to fill two IT vacancies during calendar year 2016 because the salary levels provided by the Commonwealth were not competitive with the private sector. ELECT anticipates continued struggles in this area as it seeks to fill additional IT vacancies in the coming years.
- 6) The IT Infrastructure Transition from Northrop Grumman to a multi-sourced vendor environment is impacting ELECT IT operations as well. Uncertainty over timing and service offerings is making planning of future improvements and systems difficult. For example, a number of internal agency administrative functions can likely be improved through services available through the new messaging services contract, however the delayed implementation of the contract has those improvements on hold. Additionally, moving service offerings to the SaaS and PaaS providers is attractive, but the approval processes to use these providers is in flux and is very time consuming, and often expensive.

SECURITY SHARED SERVICES

ELECT has engaged VITA for the shared ISO services. At this time ELECT plans to continue to use a third party to complete its audit requirements. ELECT requested funding for two security analyst positions in the 2017 General Assembly session and was granted one of those positions. As such, ELECT will have to heavily rely on the shared ISO services during its modernization efforts as the workload is too large for one employee.

INTERNET UTILIZATION

ELECT's software is 100% internet based. No expansion of internet usage is expected beyond normal growth.

CLOUD APPLICATION HOSTING

ELECT intends to move its applications to the cloud in order to accommodate the wild spikes in usage of ELECT's systems.

IT INFRASTRUCTURE TRANSITION

ELECT is involved in the Customer Advisory Council and is monitoring the IT infrastructure transition. ELECT is working to virtualize its remaining physical servers and/or move its infrastructure to the cloud as soon as possible to minimize business interruptions during the transition.

Proposed IT Solutions

In this section, describe the high-level strategy the agency will use to initiate new IT investments over the next year to 5 years in support of the agency strategic objectives documented in your

Agency Strategic Plan. The agency does not need to consider specific technologies at this time, however, the strategy should identify how the IT implementation will provide business value to the organization. This section should align with identified Business Requirements for New Technology (BRnTs). At minimum, please address the following questions in your description of your agency's strategy for initiating new IT investments:

What are the most important solutions, based on the priority assigned to the requirements by the business sponsors in your agency, and what is the approach to achieving these priority solutions?

If any new IT initiatives will be started in the upcoming budget biennium, is it the opinion of agency IT leadership that it is adequately funded?

Does the agency's current IT staff have the appropriate skill set needed to support future agency technologies? If not, what skill sets need to be acquired?

If the agency will be engaged in multiple new IT initiatives, how will agency IT staff and agency subject matter experts be used across the initiatives?

The following proposed IT solutions are currently underway in varying stages.

Voter Registration and Election Management – The primary application of the agency that supports all 133 localities and over 5.3 million registered voters has been in service for over 10 years. During the 2017 General Assembly session, it was determined that the agency should work to implement improvements to the system instead of replacing it in its entirety. As such, \$1,000,000 per year is expected to be included in the agency's budget through June 2021. This money will be used to enhance both the software and hardware that currently make up VERIS. Planned improvements include adding GIS functionality and constructing a data warehouse.

Electronic Pollbooks – From 2008 through June 2017, ELECT has provided software licensing for electronic pollbook software for use by the localities. With federal funding exhausted, the agency has developed its own electronic pollbook solution that is currently undergoing the State Board of Elections certification process. Localities have the choice of using any of the certified electronic pollbook solutions or they can use paper pollbooks.

Overseas Ballot Access – Federal funding for the military and overseas electronic ballot delivery tool ended in last 2016. General fund funding has been provided to replace the federal funding for this system for the 2018 fiscal year.

Information Security – The agency is working to establish an information security program that is fully compliant with the requirements of the Commonwealth's Information Security Standards. Funding for one full time staff position was granted for fiscal year 2018 and ELECT will work to fill this vacancy. The position will be used to provide additional security monitoring and configuration support services for the agency's applications.

Citizen Portal – Voters use the citizen portal to register to vote, apply to vote absentee, view the status of their registration, look up their polling place and view what information is on their ballot. Plans are in place to move the portal to a cloud-based hosted environment to accommodate the massive spikes in usage that are becoming more and more common. In addition, ELECT is working with accessibility experts to make improvements to the current citizen portal.

Report Title: Strategic Plan

Agency: Department of Elections

Date: 4/17/2017

Current IT Services

Category	Costs Year 1		Costs Year 2	
	GF	NGF	GF	NGF
Projected Service Fees	\$281,366	\$1,106,042	\$3,209,498	\$1,292,362
VITA Infrastructure Changes	\$0	\$0	\$0	\$0
Estimated VITA Infrastructure	\$281,366	\$1,106,042	\$3,209,498	\$1,292,362
Specialized Infrastructure	\$0	\$0	\$0	\$0
Agency IT Staff	\$459,674	\$60,831	\$1,358,124	\$60,831
Non-agency IT Staff	\$257,755	\$1,750,274	\$257,755	\$851,824
Cloud Computing Service	\$0	\$0	\$0	\$0
Other Application Costs	\$0	\$0	\$0	\$0
Total	\$998,795	\$2,917,147	\$4,825,377	\$2,205,017

Proposed IT Investments

Category	Costs Year 1		Costs Year 2	
	GF	NGF	GF	NGF
Major IT Projects	\$0	\$0	\$0	\$0
Non-Major IT Projects	\$0	\$0	\$0	\$0
Agency-Level IT Projects	\$0	\$0	\$0	\$0
Major Stand Alone IT Procurements	\$0	\$0	\$0	\$0
Non-Major Stand Alone IT Procurements	\$0	\$0	\$0	\$0
Agency-Level Stand Alone IT Procurements	\$0	\$0	\$0	\$0
Procurement Adjustment for Staffing	\$0	\$0	\$0	\$0
Total	\$0	\$0	\$0	\$0

Projected Total IT Budget

Category	Costs Year 1		Costs Year 2		Total Costs
	GF	NGF	GF	NGF	
Current IT Services	\$998,795	\$2,917,147	\$4,825,377	\$2,205,017	\$10,946,338
Proposed IT Investments	\$0	\$0	\$0	\$0	\$0
Total	\$998,795	\$2,917,147	\$4,825,377	\$2,205,017	\$10,946,338

Report Title: Business Requirements For Technology

Agency: Department of Elections (ELECT)

Date: 4/17/2017

ELECT BReT - Campaign Finance Reporting System

BRT Type: Business Requirement for Existing Technology

Date Submitted: 1/26/2015

Mandate: No

Mission Critical: Yes

Description:

ELECT is required to collect fundraising and expenditure information from all political campaigns and committees on a reporting schedule based on election dates. This information then must be promptly shared with the general public.

ELECT uses the enterprise Microsoft Dynamics CRM solution as the back office solution with a web-based front end solution for use by the campaigns and committees.

ELECT BReT - Citizen Portal

BRT Type: Business Requirement for Existing Technology

Date Submitted: 1/26/2015

Mandate: No

Mission Critical: Yes

Description:

Online website that provides a means for voters to review and update their registration. In addition, the site provides a means for unregistered citizens to submit their voter registration form electronically.

ELECT BReT - Election Night Reporting

BRT Type: Business Requirement for Existing Technology

Date Submitted: 1/26/2015

Mandate: No

Mission Critical: Yes

Description:

ELECT gathers election results for each election from each of the 133 localities and posts the results on its website. In addition, results for past elections are also maintained online.

ELECT BReT - Electronic Pollbooks Hardware

BRT Type: Business Requirement for Existing Technology

Date Submitted: 12/31/2014

Mandate: No

Mission Critical: Yes

Description:

Pollbooks are lists of voters used at poll locations on election day for the purposes of identifying registered voters. Electronic pollbooks provide for more accurate lists and timely processing of voter credit post-election. When funding is made available, ELECT provides financial assistance to localities in obtaining laptops for use as electronic pollbooks.

ELECT BReT - Electronic Pollbooks Software

BRT Type: Business Requirement for Existing Technology

Date Submitted: 9/26/2014

Mandate: No

Mission Critical: Yes

Description:

Pollbooks are lists of voters used at poll locations on election day for the purposes of identifying registered voters. Electronic pollbooks provide for more accurate lists and timely processing of voter credit post-election. ELECT maintains a statewide license for the use of a vendor provided electronic pollbook software package for use by the localities.

ELECT is currently developing its own software solution and anticipates testing the solution during the June 2015 Primaries. The new solution will be fully maintained by agency resources, enabling the agency to more easily, cheaply and quickly modify the solution as needed to meet the requirements of new laws and court rulings.

ELECT BReT - Enterprise Data Management Connectivity

BRT Type: Business Requirement for Existing Technology

Date Submitted: 1/26/2015

Mandate: No

Mission Critical: No

Description:

Convert ELECT's current regular data feeds from DMV and VDH over to the EDM service offered by VITA. In addition, determine what other data sets available through EDM may be beneficial for ELECT's use.

ELECT BReT - Information Security

BRT Type: Business Requirement for Existing Technology

Date Submitted: 12/31/2014

Mandate: No

Mission Critical: Yes

Description:

Establish a fully compliant information security program for ELECT.

ELECT BReT - Military and Overseas Online Ballot Delivery and Return

BRT Type: Business Requirement for Existing Technology

Date Submitted: 1/26/2015

Mandate:	No
Mission Critical:	No
Description:	
Federal and state law require the electronic delivery of unmarked ballots to self-identified military and overseas voters and their dependents 45 days prior to an election. ELECT has deployed an online ballot delivery tool to assist the localities in meeting this requirement.	
In 2014, SB11 was passed by the General Assembly. This bill requires an enactment vote in 2016 along with the completion of recommendations by a workgroup for the secure electronic return of marked ballots by uniformed overseas personal.	
ELECT BReT - Voter Registration and Election Management	
BRT Type:	Business Requirement for Existing Technology
Date Submitted:	12/31/2014
Mandate:	Yes
Mission Critical:	Yes
Description:	
ELECT is required to maintain a statewide voter registration system on behalf of the localities. The system is continuously being improved, with planned updates to include data warehousing and GIS capabilities.	
ELECT BReT - Voting Systems Replacement	
BRT Type:	Business Requirement for Existing Technology
Date Submitted:	1/26/2015
Mandate:	Yes
Mission Critical:	No
Description:	
Current voting systems used throughout the state have reached their end-of-life or are close to doing so. Significant complications due to faulty equipment are expected if the equipment is not replaced.	
Plans currently being discussed will have ELECT procure new voting systems on behalf of localities and/or reimburse localities for the procurement of certified systems.	
ELECT IT Sourcing BReT	
BRT Type:	Business Requirement for Existing Technology
Date Submitted:	12/16/2016
Mandate:	No
Mission Critical:	
Description:	
Messaging BReT: VITA is initiating disentanglement from NG messaging services in 2016. Messaging Services for email, enterprise collaboration services, and mobile device management are required for approximately 50 users in our agency. We also have 10 applications that have hooks into messaging services which will need to be	

tested. Workplace Collaboration Services (VITA provided SharePoint) ELECT uses WCS SharePoint. We have 1 application serviced via AirWatch which will need remediation.

IBM Mainframe BReT:

VITA is initiating disentanglement from NG IBM Mainframe services in 2016. ELECT has 0 applications on the IBM which will need to be migrated and tested during this transition.

Server/storage (including housing of equipment) BReT:

VITA is initiating disentanglement from NG servers and storage. ELECT has 28 servers which will need to be migrated and tested during this transition. 10 applications will be affected by this move and will need to be tested.

Authentication/directory services BReT:

ELECT has 10 applications which will need to be migrated and tested during the authentication/directory services transition. Number of users (internal and external) are 50 internal and 0 external.

End user computing BReT :

ELECT has 25 desktops and 59 number of laptops and 6 network printers which will need to be migrated.

Data networks BReT :

ELECT has 0 networks that are not mpls which will need to be migrated.

Voice Networks BReT:

ELECT has ??? UCaaS phone lines and ??? other phone lines which will need to be migrated.

Cloud Computing BReT:

ELECT is investigating moving 10 applications to a Cloud services vendor. The business reason for the move is to reduce costs, increase efficiencies, reduce IT agency footprint and provide a scalable infrastructure. Some applications are cloud ready. Agency will not need to bring in outside consulting to assess what needs to be done to the applications and supporting infrastructure in order to become cloud ready.

Security Services BReT:

To meet Commonwealth Security requirements, ELECT will engage VITA's Shared Security Services, use in-house resources and will procure outside security services from an outside vendor utilizing DPB funds.

Internet Usage BReT:

ELECT projects that internet usage will stay the same.

Report Title: Appendix A 16 - 18 Report

Agency: Department of Elections (ELECT)

Date: 4/17/2017

Agency Head Approval:

No

There are no Category 1, 2, or 3 IT Projects and no Budget Category: Major IT Projects for this agency.

Report Title: Appendix A 16 - 18 Report

Agency: Department of Elections (ELECT)

Agency Head Approval:

Date: 4/17/2017

No

There are no major procurements for this agency.