

# Report Title: IT Strategic Plan Summary

Agency: 132 Department of Elections

## 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 three primary applications, the statewide voter registration and election management system (VERIS), the electronic pollbook program (EPB) and the statewide campaign finance disclosure application (COMET). Additional applications support the operations of these primary applications and other administrative needs of the agency.

Over the prior biennium, the Department embarked on several significant initiatives to address key issues in these systems and improve elections in the Commonwealth. These efforts share a common approach of bringing control of core solutions within the agency in order to better support, maintain and improve these critical systems.

- List Maintenance – ELECT implemented a List Maintenance improvement program to enhance processes and procedures for keeping Virginia's voter registration list accurate and up-to-date. The agency developed and implemented a Registered Voter List Maintenance Program that included cataloging and documenting 33 separate processes, identifying opportunities for process improvement to increase accuracy and efficiency of the List Maintenance processes and providing regularly scheduled activity reports on key efforts and the related results. The following is a link to the last four Annual List Maintenance Reports released by the agency: <http://www.elections.virginia.gov/resultsreports/maintenance-reports/>. A June 2017 post by Charles Stewart III, Professor of Political Science at MIT, on the Election Updates Blog, focused on current issues related to election management and technology, suggested Virginia has one of the best List Maintenance programs in the country (<https://electionupdates.caltech.edu/2017/06/21/learning-from-virginia-about-voter-list-maintenance/>).
- VERIS Support – ELECT completed a support transition effort in June 2015 to bring control of VERIS in-house, thereby enabling the agency to support the solution going forward. The prior sub-standard support arrangement with the VERIS solution provider was allowed to expire. By bringing control of VERIS in-house, the agency is able to stabilize the system, provide regular fixes and improvements to the solution and more quickly address issues as they arise.
- VERIS Improvements – once under agency control, ELECT created a support team to address significant VERIS system deficiencies. Under the prior 3rd party support arrangement, updates to VERIS were only applied twice per year in March and August with 36 fixes and 8 enhancements to the core solution as well as 14 data and reporting fixes and enhancements completed over the final 2 years of the contract. Since VERIS came under full agency control in June 2015, ELECT has applied 113 fixes and 81 enhancements to the core solution as well as 352 data and reporting fixes and enhancements

over a 2-year period ending June 30, 2017. Further, updates to VERIS related to legislative changes are now implemented in alignment with the beginning of the corresponding fiscal year when the law becomes effective, which was not possible under the prior support model.

- Electronic Pollbooks – ELECT developed and implemented a new electronic pollbook solution. The new solution is fully maintained by agency resources, enabling the agency to more easily, cost-effectively and rapidly modify the solution as needed to meet the requirements of new laws and court rulings.
- Election Night Reporting – to address repeated issues related to system performance, a new solution was developed and implemented using a modern, elastic technology solution that allowed for the reporting system to respond to the significant performance demands during peak election periods.
- Online Voter Registration – the agency implemented improvements to the prior online voter registration system to make the process more user-friendly and to include absentee ballot application processing. The new solution is fully maintained by agency resources, enabling the agency to more easily, cost effectively and rapidly modify the solution as needed to meet the requirements of new laws and court rulings.

Agency efforts to improve technology solutions for voter registration and elections management have resulted in the following awards and recognition over the past 5 years:

- 2017 – Governor's Technology Award Winner – Cross-boundary collaboration on IT service delivery initiatives for the electronic motor voter registration implementation with DMV
- 2017 – Harvard Kennedy School Ash Center for Democratic Governance and Innovation Bright Ideas Award Winner for the online absentee ballot application system
- 2016 – Governors Technology Award Winner – Government to Citizen Category for the online absentee ballot application system
- 2016 – The Pew Charitable Trusts Elections Performance Index for the November 2014 election (the last election currently measured) ranks Virginia 3rd among all 50 states and the District of Columbia for overall election administration (<http://www.pewtrusts.org/en/multimedia/data-visualizations/2014/elections-performance-index#indicator>)
- 2015 – Google award recognizing leadership in the use of technology for elections
- 2013 – Microsoft Dynamics CRM Customer Excellence Award – part of a team that implemented a shared service platform for Virginia
- 2013 – Google award recognizing ongoing efforts to participate in the Voter Information Project
- 2013 – Governors Technology Award Winner – Government to Citizen Category for the online voter registration portal
- 2012 – Governors Technology Award Finalist – Government to Citizen Category for the campaign finance disclosure system

Over the next six years, ELECT will implement significant improvements to the systems that support voter registration and election management. With key systems now supported in-house and under full agency control, ELECT will be better positioned to make needed changes in a timely manner.

Funding for most of the information technology investments over the past several years has been obtained through federal dollars. Given these funds will be exhausted in FY18, general funds were allocated during the 2017 General Assembly session to cover all costs for technology in elections. Without continued investment by the General Assembly, ELECT will not be able to continue to support the business of elections as well as the growing demands of citizens for access to election and candidate information.

### **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?***

ELECT faces unique challenges as compared to other state agencies with a similar relative size and mission that have a significant impact on the agency's ability to support, maintain and improve key elections IT systems. In general, the agency's IT budget and corresponding staffing make-up is not sufficient or built to accommodate all of these factors.

New legislation impacts IT operations – 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 the agency. ELECT 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.

Special elections require significant IT operational support – although the name suggests otherwise, special elections are a regular occurrence throughout the year. Like standard elections, special elections comprise a cycle of activities across approximately a 60-day period leading up to and following election day. The Governor and various judges can call special elections at any time to fill needed office vacancies. ELECT is often not consulted on the scheduling of special elections and has little time to prepare. Given the frequency and unpredictable timing of special elections, these factors create a substantial strain on IT staff to support the administration of the full election cycle.

Third party requests present substantial disruption to normal agency operations – the agency's IT organization is inundated with unforeseen requests from external, third party entities for system functionality, reports, data extracts, litigation discovery requests, and FOIA requests to name the most common examples. These requests often come with heavy political pressure that results in delays to timelines for critical, in-progress IT projects. In addition, system changes required due to these requests rarely include additional funding, requiring the agency to constantly re-prioritize their workload and often de-prioritize critical efforts.

Challenges partnering with local General Registrars (GRs) to meet IT demands – there is a lack of clarity of roles, responsibilities, process governance, and root cause of IT issues between local GRs and the Department. ELECT lacks the ability to enforce uniformity and compliance at the local level which leads to multiple system enhancement requests for individual locality-specific business processes. As a further example, GRs and localities have the responsibility for procuring and maintaining local information technology and voting infrastructure. However, ELECT IT staff are often leveraged to provide technical support for local technology and emergency response support related to the ever increasing security issues and concerns with voting infrastructure.

Critical Infrastructure Designation for election technology impacts security needs – elections technology has been identified as critical infrastructure by the Department of Homeland Security. The details of this designation are not fully known at this time and what security requirements may come forward as a result.

The Commonwealth's new IT Infrastructure multi-sourcing effort could impact agency operations – the lack of clarity around the future changes in IT infrastructure sourcing in the Commonwealth presents uncertainty and risk to ELECT that are not quantifiable at this time and could impact the agency's ability to execute its mission.

Future reliance on State funding as federal funds are no longer available after FY 18 – the loss of federal funding sources for the agency going forward will require regular sustained investment in agency IT resources by the General Assembly in order to proceed with in-progress work to improve voter registration and election management in the Commonwealth and provide a modern, maintainable, cost-effective election IT infrastructure.

### **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?***

As VERIS is now a 10-year-old solution, the agency evaluated replacing it with a Commercial Off-the-Shelf (COTS) solution. A COTS solution implementation could cost the Commonwealth approximately \$31M with a 5-year timeline to design, customize, test and deploy for production use. Further, there is no industry-standard solution leveraged by a majority of the U.S. given the unique nature of elections management in each state.

Given these factors, ELECT began an iterative VERIS modernization process. As noted above, VERIS is now supported and maintained by the agency. Bringing the solution in-house enables the agency to modernize individual components to VERIS over time, focusing on those with the most deficiencies while keeping others intact that do not require change. ELECT has already made a substantial number of fixes and improvements and the next phase of VERIS modernization includes enhanced security, infrastructure re-architecture, database restructuring, and application usability and performance enhancements. By leveraging the components of VERIS that function sufficiently with a focus on targeted modernization improvements, ELECT will revitalize the voter registration and elections management system with a lower investment cost and less disruption to the business of elections.

Due to in-house control, ELECT will also be able to respond to the multi-source IT infrastructure changes in the Commonwealth and implement enhanced functionality requested by local General Registrars such as ad hoc reporting, GIS integration for district and precinct management, improved candidate processing, improved online ballot access for military and overseas voters and removal of congressional district reporting from non-federal elections

# Report Title: Strategic Plan

Agency: Department of Elections

## Current IT Services

Category	Costs Year 1		Costs Year 2	
	GF	NGF	GF	NGF
Projected Service Fees	\$3,305,783	\$0	\$3,404,957	\$1,371,067
VITA Infrastructure Changes	\$0	\$0	\$0	\$0
Estimated VITA Infrastructure	\$3,305,783	\$0	\$3,404,957	\$1,371,067
Specialized Infrastructure	\$0	\$0	\$0	\$0
Agency IT Staff	\$1,418,755	\$0	\$1,418,755	\$0
Non-agency IT Staff	\$1,109,579	\$0	\$1,109,579	\$0
Cloud Computing Service	\$0	\$0	\$0	\$0
Other Application Costs	\$0	\$1,800,000	\$0	\$18,000,000
<b>Total</b>	<b>\$5,834,117</b>	<b>\$1,800,000</b>	<b>\$5,933,291</b>	<b>\$19,371,067</b>

## 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
<b>Total</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>	<b>\$0</b>

## Projected Total IT Budget

Category	Costs Year 1		Costs Year 2		Total Costs
	GF	NGF	GF	NGF	
Current IT Services	\$5,834,117	\$1,800,000	\$5,933,291	\$19,371,067	\$32,938,476
Proposed IT Investments	\$0	\$0	\$0	\$0	\$0
<b>Total</b>	<b>\$5,834,117</b>	<b>\$1,800,000</b>	<b>\$5,933,291</b>	<b>\$19,371,067</b>	<b>\$32,938,476</b>



**Report Title: Business Requirements For Technology****Agency:** Department of Elections (ELECT)**BReT End of Life 2008 Server ELECT****BRT Type:** Business Requirement for Existing Technology**Date Submitted:** 8/30/2017**Mandate:****Mission Critical:****Description:**

Agency will create a mitigation plan to address End of Life 2008 servers.

**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

<b>Mandate:</b>	No
<b>Mission Critical:</b>	Yes
<b>Description:</b>	
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.	
<b>ELECT BReT - Electronic Pollbooks Software</b>	
<b>BRT Type:</b>	Business Requirement for Existing Technology
<b>Date Submitted:</b>	9/26/2014
<b>Mandate:</b>	No
<b>Mission Critical:</b>	Yes
<b>Description:</b>	
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.	
<b>ELECT BReT - Information Security</b>	
<b>BRT Type:</b>	Business Requirement for Existing Technology
<b>Date Submitted:</b>	12/31/2014
<b>Mandate:</b>	No
<b>Mission Critical:</b>	Yes
<b>Description:</b>	
Establish a fully compliant information security program for ELECT.	
<b>ELECT BReT - Military and Overseas Online Ballot Delivery and Return</b>	
<b>BRT Type:</b>	Business Requirement for Existing Technology
<b>Date Submitted:</b>	1/26/2015
<b>Mandate:</b>	No
<b>Mission Critical:</b>	No
<b>Description:</b>	
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**

<b>BRT Type:</b>	Business Requirement for Existing Technology
<b>Date Submitted:</b>	12/31/2014
<b>Mandate:</b>	Yes
<b>Mission Critical:</b>	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 IT Sourcing BReT**

<b>BRT Type:</b>	Business Requirement for Existing Technology
<b>Date Submitted:</b>	12/16/2016
<b>Mandate:</b>	No
<b>Mission Critical:</b>	

**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 18 - 20 Report

**Agency:** Department of Elections (ELECT)

**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 18 - 20 Report

**Agency:** Department of Elections (ELECT)

**Agency Head Approval:**

No

There are no stand alone major procurements for this agency.