

**Secretary of State**  
***FY10 Information Technology***  
***Plan***



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***Prepared by Edward B. Sigman  
Director, Information Technology  
Office of the Secretary of State***

# **FY10 IT Plan - New Mexico Secretary of State**

## **I. Executive Summary**

The Information Technology Division of the New Mexico Secretary of State's Office is committed to providing state-of-the-art technology and infrastructure support to support legacy applications as well as developing new systems that are appropriate to its environment and application demands. We are focused on serving the public and upholding the laws of the state of New Mexico providing day-to-day functionality and support to the agency and the citizens of the state on an on-going basis.

Agency IT staff has worked hard for a number of years to implement the statewide Voter Registration and Elections Management system (VREMS) as mandated by the Help America Vote Act (HAVA) and the Secretary of State Knowledge Base (SOSKB) system. The implementation of the VREMS system offers our users and the general public a state-of-the-art IT system. The SOSKB system was originally developed in the 1990's and is sorely in need of replacement. In addition, the infrastructure of the SOS IT capability is significantly lacking in people resources, technical skills, and hardware and software infrastructure. Expectations are far greater than the ability of the people resources to deliver the results required and to provide the necessary and required processes to protect the assets of the Secretary of State and the people of the State of New Mexico. Years of underfunding, and neglect have spread the resources of this agency too thin and have created a fragile environment in which to conduct business and provide services. The following projects are a beginning to address these issues and put the agency on course in concert with the overall DOIT Information Technology Strategic Plan.

### VREMS and SOSKB maintenance

Additional base budget on statewide VREMS and SOSKB maintenance will be required for continued support and development of these existing applications and systems environment long term. In particular, the annual support fees for the statewide voter registration system will be approximately \$650,000 in FY10 with the current configuration. The recurring annual support fees for the SOSKB environment is now at \$320,000 in FY10. We will also discuss our recommendation to take the initiative to replace the SOSKB system over the next two years.

### Upgrade and Enhance VREMS capacity for the 2010 Election Year

The purpose of this project is to enhance VREMS capacity for the 2010 election year. This would include increasing server and storage capacity; additional Citrix licenses; upgrading and expanding front end firewall and switch technology. And these upgrades would be targeted for

both the primary processing center in the Simms Building managed by DOIT in Santa Fe, NM and the business processing recovery center managed by OSO Grande Technologies in Albuquerque, NM. The initial estimate of these costs is \$400,000 which includes the costs of the hardware upgrades, maintenance, and the increase in Oracle licenses.

Put into place an effective disaster recovery and business continuity process.

The purpose of this project is to produce a written disaster recovery and business continuity plan for the Office of the Secretary of State that will include all SOS Operational Systems and will result in a duplication of equipment in an alternate processing location such as the Simms Building or OSO Grande Technology; and a live test to prove the capabilities. In addition, this will also include the development of an updated written plan for VREMS and a coordinated test with ES & S that will switch operations to our alternate processing facility at OSO Grande Technologies. And the last part of this plan will include defining the temporary relocation of the SOS Office to an alternate location for business processing resumption should 325 Don Gaspar not be inhabitable.

The Office of the Secretary of State currently has no written plan for disaster recovery or the business continuity of the SOS Operational Systems such as UCC Filings, Notary, Trademarks, Ag Liens, Appostilles, Partnerships, Campaign Finance Reporting, the SOS website and general public information. Although there is an alternate processing site for VREMS and the data is replicated between the two Oracle based systems, there are no written procedures for switching to the alternate site from ES & S and a formal test was conducted in 2007 and needs to be done again. State requirements dictate that all agencies protect the assets of the agencies and have plans of action to deal with recovery and continuity of the Agency's ability to process work.

It is estimated that to put together a written plan reflecting the proper work procedures and processes to restore system operations along with the equipment required in alternate processing sites, the cost will be \$350,000. In addition, it is estimated that annual testing will incur an additional \$25,000 per year.

Political Financial Reporting System (PFRS)

The SOS has pursued the re-design and implementation of a strategic Political Financial Reporting System (PFRS), based on agency and legal requirements to ensure accurate and timely reporting on an on-going basis. The intent of the system was to allow candidates and political committees to file campaign reports as required by law. Upgrades to this system were initially installed that cost \$400,000 in 2004. An additional \$112,000 was spent in 2008 for enhancements but these enhancements could not complete the system to make it effective for candidates, the media and the public. The purpose of this project is to replace the Personal Finance Reporting System with a new Campaign Information System (CFIS). The current PFRS System was developed by FileONE and delivered as an incomplete system. A new CFIS is desired in order to allow all candidates for public office within the State of New Mexico to present electronically, the appropriate financials of their campaigns to include contributions, loans, expenditures, in-kind contributions, amendments, and to allow searches of this information by media, citizens, and individual organizations. It is also intended that the new system will reduce the amount of effort it takes for filers to complete the information required as well as reduce the amount of labor within the SOS that it takes to administer the current system which requires a high degree of manual intervention.

In 2004, the SOS contracted with FileONE to provide a Personal Finance Reporting System to be used by all candidates for public office within the State of New Mexico. The System was delivered incomplete without any administrative tools to manage or change the system. Candidates since that time who have tried to use this system have been frustrated with its complexity; disgusted with its performance, reliability, and availability; and retarded by its inflexibility. In most cases the users of this system have opted for a hardship status to file with paper instead of electronically. Administratively, the SOS has to contract with FileONE for all changes to the system since the application was not delivered with any administrative tools. This is performed at the current rate of \$175 per hour and these changes are annualized at \$60,000 per year above and beyond the annual maintenance expense of \$100,000 per year. The SOS has no internal support capability. Migrating to a more robust application with another provider will eliminate the stranglehold that FileONE has upon this agency and allow the negotiation of a more beneficial agreement with a new vendor that will provide the capability and ongoing performance required to sustain this service to the people running for public office. In selecting the new system we will involve members of the State Legislature and members of the media to provide input as to the requirements of the new system. This was not done in the past.

After reviewing the marketplace for replacement systems, it is estimated that the purchase and the installation of a new product will incur the following costs:

- 1000 hours of off-site customization
- 480 hours of on-site requirements gathering including travel
- 40 hours of on-site server setup including travel
- 200 hours of off-site documentation development
- 80 hours of on-site training including travel
- 600 hours of off-site conversion effort
- 840 hours of project management and functional lead support including travel

A total “out of the box” solution would cost New Mexico a price of \$800,000. This includes the cost of the base license, base implementation and customization, conversion.

#### Replace all SOSKB applications over a two year period

The purpose of this project is to replace all SOSKB operational applications including UCC Filings, Ag Liens, Trademarks, Appostilles, Partnerships, and Notary over a two year period. This will not only include the replacement of these applications but the replacement of associated hardware and associated software; the elimination of FileONE, as the primary maintenance provider to the SOS; a reduction of influence and monopoly which ES & S has over the SOS office since they own FileONE; and provide new technology, functional enhancements and access for customers of the SOS such as banks, financial institutions, and legal firms.

The SOS has acquired these applications through a consortium of States developed by the State of North Carolina in 2003. The technology and the software are over 5 to 10 years old and are based on a Novell Platform with COBOL code. The applications and the server technology are beginning to fail and there is very little knowledgeable support available including FileONE to help resolve problems and provide continuity of operation. FileONE is introducing a new product and has announced that it will no longer support these applications. The SOS has no internal support capability. Migrating to new technologies over the next two years will super

cede this dependency and provide an opportunity to employ technologies and enhanced functionality to the public that the SOS supports.

Progressive replacement of the SOSKB systems is estimated to be \$1,000,000 per year over three years for the purchase of these systems for a total cost of \$2,000,000. The following would be the plan for replacement:

- RFP and install replacement for UCC and Ag Liens, Notary – 12/2009.
- RFP and install replacement for Apostilles and Partnerships – 12/2010.

#### Replace all SOS server and storage capacity located in 325 Don Gaspar

The purpose of this project is replace all SOS server and storage capacity located in 325 Don Gaspar which are now supporting all of the current SOS operational systems including: UCC Filings, Notary, Trademarks, Ag Liens, Apostilles, Partnerships, the SOS website, Campaign Finance reporting, and general public information. In addition, it is intended that these new servers and storage devices will also serve as the base for the position of new replacement applications when the SOSKB applications are replaced by new application functionality over the next two years.

The current technology and the software are over 5 to 10 years old and specifically the SOSKB application is based on a Novell Platform with COBOL code. The server technology is beginning to fail and the SOS has experience extended outages over its operational applications for periods up to 7 business days with multiple occurrences which inhibits internal SOS operational personnel from completing their job assignments. In addition, external customers such as financial institutions and those who file campaign reporting information cannot enter data, submit reports, and retrieve information cannot have access to the applications and the services the SOS provides. The opportunity here is to begin this replacement providing a higher degree of equipment/technology availability and performance. And, as files are expanding, a basic requirement to provide increase storage capacity is also paramount so that systems will not come to a halt when files are full.

It is estimated that it will cost \$300,000 for replacement servers, data storage, back up storage, and software.

#### Replacement of all SOS Printers and personal computer workstations

The purpose of this project is to begin the planned replacement of all printers and personal computer workstations within the Office of the Secretary of State. The SOS has not invested in printers in 8 years. It is intended to begin a program for printer replacement and also for the replacement of all personal computer workstations over the next three years.

The SOS has had most of its current printer technology installed for over eight years. The cost of providing maintenance to these printers is almost equal to what it would cost to purchase a new printer. In addition, the bulk of the personal computer workstations are over 4 year's old and lacking sufficient memory, hard drive capacity and are operating on the Windows XP operating system. The opportunity being presented is to either purchase or lease new printers for the SOS and reduces the maintenance expense currently being expended on an annual basis to keep these printers in service. In addition, we are finding that these costs or repair are increasing due to the fact that replacement parts are becoming scarce. The list of these printers includes not only the

standard office printer but specialty printers which are used to generate GIS Maps for the Counties which outline voting districts and precincts.

Increment the Agency IT Division by three additional Staff

The purpose of this request is to add one IT staff member for the next fiscal year. The IT staff is understaffed with respect to Agency application support and maintenance of the technical infrastructure of the SOS business environment. Proposed changes and upgrades to SOS operational Applications over the next three years, the implementation of the a full disaster recovery and business continuity plan, providing more direct IT customer service support to our State legislators and the public we serve, and taking more control over the internal applications of the SOS from a maintenance and enhancement position requires additional staffing. It is estimated that each additional staff member will cost \$87,000 per year including benefits.

## **II Agency Overview**

### **Statement of Agency Mission:**

The mission of the Office of the NM Secretary of State is to carry out its constitutional and statutory mandates by administering elections and governmental ethics in accordance with state and federal law; and to maintain and provide access to the laws, official acts and other instruments that are vital to the efficient operation of New Mexico State Government. It is also the mission of the Office of the NM Secretary of State to file and maintain records vital to the interest of commerce and industry and in accordance with statutory requirements.

### **B. Statement of Agency Goals:**

#### **I. AGENCY GOALS BY ACTIVITY:**

##### **1. BUREAU OF ELECTIONS AND ETHICS ADMINISTRATION**

To increase public confidence in the conduct of elections and in the electoral process; to successfully implement and carry out the provisions of the "Help America Vote Act;" to provide education and training to local election officials; to educate voters about their rights and responsibilities; to ensure compliance with governmental ethics laws through education and enforcement; to successfully implement electronic filing of campaign reports; to adopt any administrative rules necessary to comply with statute and ensure that the purpose of the Election Code is achieved.

##### **2. COMMERCIAL RECORDINGS:**

To increase accessibility to public records through good records management systems and electronic availability; to provide easier means to file trademarks and service marks, partnership registrations, and agricultural liens.

##### **3. ADMINISTRATION/ INFORMATION SYSTEMS:**

Provide administrative management and support to all agency functional areas including personnel, maintenance and supplies, information management, public relations and overall fiscal and budgetary services. Information Systems is focused on improving and developing state-of-the-art information technology hardware and software support and infrastructure so the agency can more efficiently carry out its duties and better serve public demand for information and services.

### **C. Agency Description:**

The Office of the Secretary of State has approximately 43 employees of which 41 work at the Capitol North Annex on Don Gaspar, just north of the Round House; one employee at an undisclosed location managing the Confidential Address Program (CAP) for victims of



domestic violence; and one employee at a satellite location in Crownpoint, NM working with the Navajo Nation.

The Office of the Secretary of State is organized into three activities, which are the Elections and Ethics Administration, Commercial Recordings, and Administrative Support, which includes Information Systems.

- A. The Secretary of State, by statutory authority, is the Chief Election Officer for the State of New Mexico. As such, and with the support of the **Bureau of Elections**, the Secretary ensures the secrecy of the ballot, the purity of elections and guards against the abuse of the elective franchise. Furthermore, the Secretary must maintain uniformity in the application, operation and interpretation of the Election Code, which is accomplished by the impartial administration of the Code. The Bureau of Elections also is responsible for the chaptering and receipt of signed or vetoed bills and the yearly distribution of session laws. Part of the Bureau of Elections, the **Ethics Administration** oversees the administration of the state's governmental ethics acts. This administration includes educating candidates and public officials in compliance with the Campaign Reporting Act, the Financial Disclosure Act and the Governmental Conduct Act. In addition, Ethics Administration is responsible for ensuring compliance, registering reports under the Lobbyist Regulation Act.
- B. **Commercial Recordings** maintains records vital to commerce and industry in New Mexico. This is accomplished by administering the following acts and processing the documents pertaining to them, including: Farm Products Secured Interest Act; Notary Public Commissions, Public Utility Filings; State Conservancy Districts; Trademark and Service Mark Registrations; Facsimile Signatures of Public Officials; Uniform Commercial Code Filings; Official Acts of the Governor (such as Executive Orders, Proclamations, Appointments and Commissions), Service of summons and complaints on corporations; General Partnerships and Limited Liability Partnerships.
- C. **Administration** is responsible for providing management and support services to the entire agency, including personnel matters, fiscal and budgetary functions, mail and supplies, public relations and desktop publishing services. **Information Technology** staff is also part of Administrative Support and they provide for all the Secretary of State's data processing needs, communications support services and the technical maintenance of in-house application programs and corresponding data bases in use by the agency. Information Systems provides day-to-day technical support to the agency, while moving ahead on long-term development projects to ensure timely and secure access to Secretary of State operational applications.



### **III. IT Plan Implementation for FY07-FY08**

#### **A. Description of IT Plan Implementation in prior FY08**

Major FY08 goals were the implementation of VREMS enhancements; upgrading network switch and firewall technology; enhancements to the Partnership module of SOSKB (under the Revised Limited Partnership Act of 2007) and managing the processing of PFRS reporting during the election year. Significant progress was made with each project, however, enhancements to PFRS proved to be inadequate. Significant technological and procedural advancements need to be made to further advance agency initiatives. The projects are and were being addressed in 2007 and 2008:

- Significant VREMS project enhancements were deployed in FY08 to support the primary and general election included: \$150,000 for application enhancements requested by the Counties and hardware and software enhancements to the VREMS Systems platform located in the Simms Building and OSO Grande Technologies in Albuquerque, NM.
- Switch and fire wall enhancements to the SOS operational applications located in 325 Don Gaspar to support UCC Filings, Ag Liens, Trademarks, Partnerships, Notary, the SOS website, campaign finance reporting and general public information.
- Upgrades and enhancements to the Partnership module of SOSKB under the Revised Uniform Limited Partnership Act of 2007 for \$150,000.
- PFRS enhancements for \$112,000.

#### **B. IT Strategic Plan Initiatives**

The projects mentioned in The Executive Summary, above, advance the objectives identified in the State IT Strategic Plan which include the following:

- Reduce the cost of governmental operations of information technology – continue to build upon the centralized VREMS system technology and application functionality to support the 33 counties and the citizens of the State of New Mexico. Upgrade and Enhance VREMS capacity for the 2010 Election Year.
- Reduce the cost of information technology operations through an Enterprise model – incrementing an agile IT workforce by Incrementing the Agency IT Division by one additional Staff.
- Improve delivery of services to the citizens of New Mexico – provide the maintenance to the major operational systems of the Secretary of State (VREMS and SOSKB) VREMS

and SOSKB maintenance; safeguarding the protection of the privacy and the security of individual information as well as of individuals using the Agency's IT systems, Put into place an effective disaster recovery and business continuity process; facilitating business interaction with state government, Political Financial Reporting System (PFRS); Replace all SOSKB applications over a three year period; Upgrade and Enhance VREMS capacity for the 2010 Election Year; Replacement of all SOS Printers and personal computer workstations; Incrementing the Agency IT Division by three additional Staff; Replace all SOSKB applications over a three year period; and Replace all SOS server and storage capacity located in 325 Don Gaspar.

- Support economic development – support the NM technology sector and make NM more attractive to business - Replace all SOSKB applications over a three year period.

#### **IV. Agency and Technical Inventory (online)**

## V. Environment and Infrastructure

### A. Current IT Environment, Organization Structure, Strategies, and Goals:

Agency IT staff has been focused on implementation of the statewide voter registration and SOSKB since 2000. The voter registration system involves increased and on-going responsibilities and workload for IT to ensure a stable environment. The Agency IT environment has suffered due to organizational changes and lack of manpower. It is critical that the IT Division be sufficiently staffed and cross trained to ensure legacy and strategic systems are maintained on an on-going basis in order to properly administer, deploy and secure the Agency's IT assets. And, more and more, on a daily basis, the IT personnel interacts with the public assisting in the use of online applications and augmenting changes to support the increase of users and personnel outside the agency.

Current IT staff at the Office of the Secretary of State now consists of an IT Director, two Computer Specialists, and two IT Generalists and one IT Project Manager. One of the Computer Specialists runs the GIS system and works very closely with the Bureau of Elections. The Information Systems Department is reports directly to the Deputy Secretary of State and the Secretary of State.

Title	Total Number of Staff
IT Director	1
Computer Specialist	2
IT Generalist	3
IT Project Manager	1

Existing network infrastructure was aging (end-of-life) and the equipment was obsolete. This equipment was replaced during 2008 and will be key to maintaining a current, reliable and strategic network infrastructure to support existing and future application development and services.

Existing critical server and data storage equipment installed is aging and needs to be replaced. This equipment has exceeded obsolescence standards in both hardware and software requirements. The technology in place is between 5 and 8 years old and supports all SOS operations including UCC Filings, Ag Liens, Notary Trademarks, Appostilles, Partnerships, the SOS website, campaign finance reporting, and general public information. Because, both the equipment and the applications are dated, a deterioration level has been realized and becoming more increased effective SOS operations and its ability to support the public. Outages are more frequent with the last outage we experience lasting five business days due to both a corrupt data file and a total server failure.

Plans, policies and work-flow process documentation have not been kept current. A revived focus on developing standard operating procedures and training manuals for each division within the SOS has been realized. Adequate documentation is lacking but will be established to ensure business continuity and cross training at all levels. In addition there is no documentation for disaster recovery and business continuity of the existing application and technology suite and therefore the request to implement a new plan including the equipment to support recovery and processing in an alternate site location such as the Simms Building. It has been reported that the last disaster recovery plan was created or updated in 2003.

### **a) Contingency Strategy**

Continuity and Disaster Recovery Plan (DRP) instructions are available through ES & S and include programmatic and computer components for the VREMS system. However, we do have written instructions that deals exclusively with the statewide voter registration system located in the Agency. The two plans will be discussed separately.

#### **Voter Registration and Election Management System (VREMS) Disaster Recovery Plan**

A VREMS Disaster Recovery Plan was created in 2006, and has been created to provide information necessary for the continuity, restoration, and recovery of critical data and systems that facilitate the technical operation of VREMS. Data is routinely backed up and copies maintained at an offsite location. A hot site system is maintained in OSO Grande Technologies, Albuquerque, NM and can be used in the event of a disaster. The hot site can also be used when the primary system is offline due to a significant failure or during a system upgrade that renders the primary system inaccessible. What are lacking are clear and precise cutover procedures for use by both ES & S and the IT Division of the SOS. Therefore, this is part of our request to enhance this process for the State of New Mexico and provide the proper documentation and procedures for recovery and continuity of VREMS.

In summary the disaster recovery strategy for VREMS pertains specifically to a disaster disabling operations at the main data center (Simms Building) where the primary VREMS system is located. If the estimated outage is relatively short, recovery will be initiated under normal recovery procedures. If the outage is estimated to be longer, then the Secretary of State's office will activate the disaster recovery process. This almost occurred during the Primary Election on June 3, 2008 when all communications were lost to the Simms Building. What we have to learn is how to make this cutover as expeditious and seamless as possible so that all communications can be redirected to the Albuquerque.

For example if a serious system failure occurred today, such as a catastrophic fire where the VREMS primary system is located (SIMMS datacenter), the disaster recovery plan would be activated and VREMS functionality would be accessed on the hot site system. Since the VREMS application is web based and accessible via the Internet, users would access the hot site system by placing the address of the hot site system (URL) in their web browser. The Secretary of State's office would work with GSD/ISD to locate another facility where the primary VREMS system could be recovered. If GSD/ISD had difficulty providing another location that was

suitable, the agency would explore facilities available from other agencies and third-party vendors. During this time VREMS operations would continue on the hot site system.

Because the election process is cyclical in nature, the consequences of a serious VREMS system failure vary according to the time of the failure. The most serious time frame would be the month leading up to a major Federal election when early and absentee voting is taking place and counties need to print their poll books. A system failure of an hour would be difficult and with increasing consequences as the duration of the outage continued. This system has the highest priority in terms of minimizing down time and speedy recovery from system failure.

### **Agency Disaster Recovery Plan**

There is no viable disaster recovery and business recovery plan for the Office of the Secretary of State. Outside of the fact that all operational applications are backed up on a daily basis, there is no place, no hardware, and no process for recovery of those applications should a major disaster occur within the agency..

The consequences of Agency system failures are no less important than that of the voter registration system. The most significant outage would be to the Uniform Commercial Code system, as the time of filing determines priority in bankruptcy cases. Another application where system failure would be significant is Political Finance Reporting System in the days leading up to filing dates. This is the system candidates and political committees use to file campaign reports as required by law. The same is true of the remaining operational applications, such as Notary, Trademarks, Partnerships, Appostilles, SOS website, etc..

### **b) Executive Summary of the Agency's Security Program and Security Architecture**

The security architecture of both VREMS and the rest of the Agency configuration are designed to strike a balance between the centralization of IT services, simplicity, effective security, and the need for flexibility at the agency level.

Agency databases, especially VREMS, contain confidential and sensitive data such as social security numbers, birth dates and other. Therefore access to the systems is restricted and monitored.

The SOS utilizes layered security architecture. This approach incorporates effective security measures and controls that provide protection against risks and vulnerabilities. The current system design utilizes traditional user authentication and network security safeguards.

The layers of security have been incorporated into VREMS include:

- **Limited access through firewall technologies** - A Cisco PIX firewall and Intrusion Detection System (IDS) have been implemented in the past to restrict the type of network traffic, control the destination to specific servers (IP addresses) and applications (TCP Ports), and mitigate certain

types of attacks. IT recommends upgrading the Cisco PIX firewall with similar security policies using an ASA 5510 Security Appliance.

- **SSL/NLS** – The initial communication between a user's workstation and the VREMS login screen is facilitated via a web browser (Internet Explorer). The connection utilizes 128-bit encryption.
- **Citrix ICA Client** - The Citrix Independent Computing Architecture (ICA) Client is a web browser plug-in that facilitates the display and user's interaction with the VREMS application. It is the program that allows the client to access the VREMS application in a World Wide Web environment. This connection utilizes 128-bit encryption.
- **Citrix Secure Gateway** – The Secure Gateway manages the Citrix authentication and authorization and is responsible for creating a secure channel for the Citrix ICA protocol over SSL. The data exchanged between the clients and the Citrix enabled applications is transmitted over the secure channel.
- **User authentication** - Username/password authentication is being utilized to control user access to the data contained within VREMS. The authentication is used by Citrix and the VREMS application. Transmission of both the username and password occurs over a 128-bit encrypted connection. Strong password complexity is enforced and passwords expire and must be changed at set intervals.
- **Physical Security** – Security at the Simms Building in Santa Fe includes restricted entry to the server room using badge and key pad technology. Racks are kept locked except when hardware is being physically accessed by IT staff. The server room is equipped with video monitors and security personnel monitor the premises 24 X 7.

The layers of security have been incorporated into other Agency systems include:

- **Physical Security** - Key pad access to the server room at all times. Only IS staff has the code. This is reset when there is a staffing change or a reason to believe the code has been compromised. During non-office hours an LFC issued ID badge is required to enter the building then a key to enter the front doors. A list is kept of who has this restricted access.
- **IPX** - The Novell servers are IPX and no gateways from the windows network are currently open.
- **Limited access through firewall technologies** - A Juniper PIX firewall has been implemented to restrict the type of network traffic, control the destination to specific servers (IP addresses) and applications (TCP Ports), and mitigate certain types of attacks. Again, IT recommends upgrading the Cisco PIX firewall with similar security policies using an ASA 5510 Security Appliance.
- **SSL** – VeriSign SSL certificates are used on the IIS server for certain applications. The connection utilizes 128-bit encryption
- **User Authentication** - Username/password authentication is being utilized. Passwords expire and must be changed at set intervals.



- **Enterprise Security** – Another layer of security is afforded us as a part of the greater state network. We are the beneficiaries of such GSD/ISD security hardware and software systems as an additional firewall; email protection; Internet monitoring and restriction through Web Sense; and Intrusion Detection.

**c) Overview of the Agency's Records Retention Plan Regarding Internet/Email Policies.**

The Agency Internet Policy is a well thought out document that aims to educate the Agency staff about the Internet and Agency policies and procedures for using the Internet. It lists exactly what is allowed and what is not allowed on the Internet. The plan includes an Internet Access form that each employee completes and is kept on record in their file. The employee signs the form indicating that s/he is subject to disciplinary action if s/he does not abide by the Internet policies and procedures.

The Agency Email policy needs to be updated on an on-going basis.

**d) Major IT Issues and Concerns:**

We are particularly concerned about annual maintenance for the statewide voter registration system and election management system. Originally, federal money was used for annual maintenance for FY07, state funds for FY09 and FY010 in order to upgrade for the 2010 election year. A Project Request for \$400,000 is included in this IT plan to cover the anticipated shortfall.

The anticipated maintenance cost for the voter registration system for FY09 is \$650,000 in FY10. This money will need to come wholly from state funds. Typically agency budgets are limited to a small percentage increase annually, say 5%. We will need a total agency budget increase of close to 20% just to cover PowerProfile annual maintenance. The voter registration system is a critical, high profile system that must be funded annually.

Another important concern is the amount of work there is to be done. It is very difficult with a staff of six (when we are fortunate enough to be fully staffed with competent people) to provide day-to-day support to the agency. And, now, with the thirty three New Mexico Counties, the staff and support required to provide the necessary IT operational support of software and hardware, fulfill the ever growing burden of reporting and paperwork, stay abreast of new technologies in the IT world, and move ahead on new projects, is stressing an already limited staff. Another slant on this is: the more IT technology we implement, the more there is to maintain, and the less time there is to move ahead along with monitoring and managing the performance and availability of the VREMS and SOS operational applications. Making that transition with the same staffing as we have had for years is a push. Complicating the problem of doing more and more with the same resources is the problem of hiring and maintaining competent IT staff members. Without a competent IT staff, nothing gets done.

Both the LFC VREMS audit and the post implementation IV&V performed by Bency and Associates have underlined the critical need of additional FTE support for the VREMS project. We now administer and support a statewide voter registration system with the same number of staff members that has traditionally supported just the SOS office. At this point, not everything is getting done. It is imperative that we have the support to staff on a permanent basis the recommended position listed in this document.

#### **e) Status and Established Goals of the Agency IT Infrastructure**

Our building is wired with both copper (Cat 5) and fiber to desktop cabling. An assessment of the existing wiring and cabling has been done to ensure all cabling is consistent with the State Wiring Standard. New switch and firewall technology has been completed with the recommendations and the assistance of DOIT.

Agency Infrastructure has been improved as a result of the voter registration system project. The VREMS database is housed at the Simms building necessitating a good broadband connection to the Simms building. We installed our own Ethernet data circuit with ISD that bypasses LCS as a part of the VREMS project. This change speeds us up some and reduces the number of points of possible failure.

We do have a number of infrastructure concerns and desires regarding the VREMS system:

- 1) DOIT is our single ISP connection today and is a shared access.
- 2) We need redundant fiber lines from DOIT in Santa Fe out to the rest of the world.
- 3) DOIT needs to implement a hot site that is on the state backbone to meet the needs of the voter registration system and other critical state systems.
- 4) More broadly, broadband infrastructure in the countryside needs to continue to be upgraded to enhance county connections to the voter registration system.
- 5) We anticipate that with approval of our disaster recovery and business continuity project, that we will build a hot site for all SOS operational applications within the Simms Building.

#### **f) Resource Sharing and Cross Agency Collaboration:**

The Office of the Secretary of State participates in significant inter-agency collaboration as a result of the VREMS project. Deceased voters are removed from the voter file based on an update file received from Vital Records. We receive felon information from JID. Eventually, we will be in position to verify SSNs via data from the MVD database.

We are very involved in collaboration with and between counties. The VREMS project places all 33 county databases into one large database housed in Santa Fe. The SOS statewide voter database is now the on-line database utilized by the 33 counties. This streamlines many operations that took weeks or months to complete manually. For example, resolving duplicate voter registrations in multiple counties and voter residence moves from one county to another now can happen in a matter of seconds.

### **g) Maintenance and Upgrade Strategies of Applications, Databases and Hardware.**

The Agency network has two separate network operating systems. Legacy COBOL applications plus file and print functions are run on four dual Pentium file servers running Novell Netware 4.3. Our goal is to gradually migrate to a Windows 2008 Server NOS as we retire legacy applications and replace them with Windows applications. As part of the SOSKB project we purchased Windows Servers to run SQL Server and IIS Web Services. We will be able to run all SOSKB modules on these servers. We have 50 personal computers, including laptops, and 32 printers. We are currently predominately a Windows XP shop with a few older Windows 2000 machines. And we have 10 Windows Vista laptops and workstations.

We are proposing to replace all SOSKB applications over the next two years in order to migrate to new application functionality and current technology offerings. Our legacy systems are failing and the down time is destructive to providing our services to the public. These legacy programs are 16-bit DOS COBOL applications with embedded SQL calls to Pervasive (formerly known as Btrieve) databases. All mission critical applications except VREMS will be migrated to state of the art products offered to Secretary of State Offices that support these functions.

We have a goal of replacing 25 Agency personal computers, 50 per cent of the total, each year for the next two years and migrate to a predominately Windows Vista environment. This goal is important as old computers limit our software options and reliability becomes more and more of a problem as they reach the end of their useful lives. New workstations are purchased loaded with Windows OS and we add standard core office products plus Enterprise Norton Anti-Virus software.

We have a goal of replacing and upgrading capacity of VREMS every other year. We have used Federal money in the past to upgrade VREMS servers from Windows 2000 to 2003 and to upgrade Citrix to the latest release. It is critical that state funding be available to upgrade the VREMS hardware platforms to support both statewide elections and Federal elections every other year. In addition, on an alternating year basis from the hardware, it is necessary to provide and install software enhancements as required by the 33 counties in the future as the need arises. This funding will also have to be required and is purchased directly from ES & S.

### **h.) Current and Prior FY IT Project Accomplishments and Lessons Learned**

Our current year projects have involved the following activities:

- PFRS enhancements – 15 enhancements were recently successfully completed. These changes had little impact on the acceptance and usability of this product as demonstrated in the recent filings of the 2008 Primary Election. What was found were more serious system inadequacies that provided more limitations for those filing and for those administering the system. The conclusions drawn from this exercise is not to put anymore funds into upgrading a system that is incomplete, does not work correctly, and has serious performance and availability issues.
- Limited Liability Limited Partnership Enhancements – This is a project pending definition of the Statement of Work by FileONE. It is anticipated that these

enhancements will provide the functionality as stipulated under the Revised Uniform Partnership Act of 2007. This appropriation is \$150,000.

- VREMS application enhancements for 2008 – these enhancements are currently scheduled to be implemented in the 9.4 release of VREMS currently resident on our Training platform of the VREMS system. Upon completion of satisfactory testing, these enhancements will be moved into production. This appropriation was \$150,000.
- Email expansion – it was originally defined to move the SOS to an exchange server separating the SOS from the statewide email system. After reviewing the operating costs of DOIT and comparing the functionality of the two approaches, it was decided to remain with the DOIT statewide email system.

**i.) Current Servers Installed at 325 Don Gaspar**

The SOS currently has installed 22 servers. Of the 22 servers, eleven (11) are over five (5) years old. Five (5) of the eleven (11) or 9 per cent of the total servers installed are over 7.2 years old. We have displayed a list of all of the SOS servers and their respective ages in order to illustrate this situation. Thirteen of these servers have no service remaining. Should deterioration and a hardware failure take place on any one of these servers, which is highly probable, the SOS would have to remedy this individual problem. Instead of responding randomly and waiting for the problem to occur, the SOS is actively pursuing a proactive management plan to replace all servers over five years and begin a maintenance plan that would protect the assets of the Office of the Secretary of State.

	Today	07/16/08				
MFG	Service Tag	Server	Shipped	Age		
HP			5/10/2007	1.2	Years	Some Service
HP			5/10/2007	1.2	Years	Some Service
Dell	CS26C21	DNS2	1/26/2003		Years	No Service
Dell	DW04K81	NMWEBDB	9/23/2005	2.8	Years	101 days left
Dell	39D9MB1	NMSOSWEB	8/14/2006	1.9	Years	426 days left
Dell	3GMNB21	NMWEB1	1/24/2003		Years	No Service
Dell	2GMNB21	NMWEB2	1/24/2003		Years	No Service
Dell	5S26C21	NMDB1	1/25/2003		Years	No Service
Dell	5C21921	NMS1	1/13/2003		Years	No Service
Dell	7221921	NMS2	1/10/2003		Years	No Service
Dell	6VHMQG1	NMSOSDB	7/1/2008	0.0	Years	729 days left
Dell	0P741	SOSD	5/20/1999		Years	No Service
Dell	99597B1		6/27/2006	2.1	Years	345 days left
Dell	39D9MB1		8/14/2006	1.9	Years	393 days left
MFG	Service Tag	Server	Shipped	Age		
Dell	G40710B	SOSL	6/7/2000		Years	No Service
Dell	1DTU0	SOSF	6/30/1999		Years	No Service
HP	USM710025P	NMSOS-AD	5/10/2007	1.2	Years	Some Service
HP	USM7100250	Apache-WEB	5/10/2007	1.2	Years	
Dell	F3XYK01	NMUAT1	5/4/2001		Years	No Service
Dell	FYJJ981	KBTEST	8/28/2005	2.9	Years	No Service
Dell	HR14L01	NMPDC	5/9/2001		Years	No Service
Dell	69597B1	SOSBKP	6/27/2006	2.1	Years	345 days left
			Average	4.2	Years	
			50%	Over 5.5	Years	
			9%	Over 7.2	Years	

## VII. IT Plan Acknowledgement Signatures

I agree that this document represents the history and planned information-technology-related activities for our agency. The elements of this plan, delivered through information technology services, support the agency strategic plan and the State IT Strategic Plan.

**Agency Name: Secretary of State Agency Code: 370**

**Agency Head:** Mary E. Herrera **Date:** 7/30/2008  
Name: \_\_\_\_\_

Secretary of State  
Title

**Agency Technology Lead:** Edward B. Sigman **Date:** 7/30/2008  
Name: \_\_\_\_\_

Director, Information Technology  
Title

**Agency Financial Lead:** Dianne Brown **Date:** 7/30/2008  
Name: \_\_\_\_\_

Chief Financial Officer  
Title

## A. IT Plan and Funding Request Checklist

### **September 2, 2008 Deadline**

1.  Final IT plans
  - I. Executive Summary
  - II. Agency Overview
  - III. Description of IT plan implementation for prior fiscal year
  - IV. Agency and Technical Inventory
  - V. Agency IT Environment and Infrastructure
  - VI. Completed Forms: Appendix B, C, D, and E
  - VII. Signature form
2.  Complete Online Inventories
3.  Completed list of Base Budget IT project form
4.  Completed Form(s) C1
5.  Completed Form(s) C2 (if any)
6.  Completed Capital, Special, Supplemental Form(s) (if any)
7.  Completed and Full Business Case(s) (if any)
  - I. Executive Summary
  - II. Business Problems and Opportunity
  - III. Proposed Project Objectives/Performance Metrics
  - IV. Business Risks
  - V. Alternative Solution
  - VI. Cost Benefit Analysis
  - VII. Recommendation
8.  Assemble all required documents into a single electronic file and email to DoIT and the agency DFA and LFC budget analysts. When e-mailing DoIT, use the following e-mail address: [doit.itplans@state.nm.us](mailto:doit.itplans@state.nm.us). When e-mailing LFC, use the following e-mail address: [lfc.itplans@nmlegis.gov](mailto:lfc.itplans@nmlegis.gov). When e-mailing DFA, use the following e-mail address: [Cyndi.montoya@state.nm.us](mailto:Cyndi.montoya@state.nm.us).
9.  Prepare 5 hard copies of the assembled document with two going to DoIT, two to DFA and one to LFC.

***Final IT Plans and Funding Requests must be submitted by September 2, 2008.***

***Late submissions will not be accepted and no additional information will be requested. If the information is not contained in the final document, the request will be deemed insufficient for funding considerations.***

## II. Appendix B

### A. Section I.

### B. Proposed FY10 Projects Summary List

Agencies requesting funding for projects > \$100,000 are required to submit a One-Page Business Case(s) by **July 13, 2008** and a final Business Case(s) in their IT Plan by **September 2, 2008**.

Project Name	Project Purpose	Stakeholders	Funding Amount <small>(Include proposed source: Base, CSEF, Spec., Supp., Grant, etc. AND GF,FF, or OSF)</small>
VREMS & SOSKB Maintenance	Increased costs for the annual maintenance of both VREMS & SOSKB	Secretary of State, 33 Counties, citizens, financial institutions, and legal agencies.	Annual maintenance for VREMS will be \$650,000 per year. Annual Maintenance for SOSKB is \$320,000 per year.
Upgrade the VREMS Capacity for the 2010 Election Year	To support volume increases in server, storage, Oracle licenses, Citrix servers, Citrix licenses, front end firewall and switch technology.	Secretary of State, 33 Counties, and the citizens of the State of New Mexico	\$300,000 for hardware, software, and maintenance licenses. \$100,000 for increase in Oracle licenses.
Develop and implement a disaster recovery and business continuity plan, processes and off site hardware and software. Provide the capability to test and test on an annual basis.	There is no viable operational recovery and continuity plan for both VREMS and SOS operational applications. This is to put those plans as well as the technology into place to allow these systems to be restored in an orderly and controlled manner and in quickest time possible to minimize the impact of the outage incurred.	Secretary of State, 33 Counties, Citizens, financial institutions and legal agencies.	\$400,000 which includes the costs of the hardware upgrades, maintenance, and the increase in Oracle licenses for equipment and supportive software technology to be located at an offsite location such DOIT Simms Building.
Political	. The purpose of this	Secretary of	After reviewing the marketplace for



<p>Financial Reporting System (PFRS) system replacement.</p>	<p>project is to replace the Personal Finance Reporting System with a new Campaign Information System (CFIS). The current PFRS System was developed by FileONE and delivered as an incomplete system. A new CFIS is desired in order to allow all candidates for public office within the State of New Mexico to present electronically, the appropriate financials of their campaigns to include contributions, loans, expenditures, in-kind contributions, amendments, and to allow searches of this information by media, citizens, and individual organizations. It is also intended that the new system will reduce the amount of effort it takes for filers to complete the information required as well as reduce the amount of labor within the SOS that it takes to administer the current system which requires a high degree of manual intervention.</p>	<p>State, New Mexico State Legislators, the media, Political Action Committees, and Citizens of the State of New Mexico.</p>	<p>replacement systems, it is estimated that the purchase and installation of a new product will incur the following costs:</p> <ul style="list-style-type: none"> <li>• 1000 hours of off-site customization</li> <li>• 480 hours of on-site requirements gathering including travel</li> <li>• 40 hours of on-site server setup including travel</li> <li>• 200 hours of off-site documentation development</li> <li>• 80 hours of on-site training including travel</li> <li>• 600 hours of off-site conversion effort</li> <li>• 840 hours of project management and functional lead support including travel</li> </ul> <p>A total “out of the box” solution would cost New Mexico a price of \$800,000. This includes the cost of the base license, base implementation and customization, conversion.</p>
<p>Replace all SOSKB applications over a three year period</p>	<p>The purpose of this project is to replace all SOSKB operational applications including UCC Filings, Ag Liens, Trademarks, Appostilles, Partnerships, and Notary</p>	<p>Secretary of State, Financial institutions, legal agencies, and the citizens of the State of New Mexico.</p>	<p>Progressive replacement of the SOSKB systems is estimated to be \$1,000,000 per year over two years for the purchase of these systems for a total cost of \$2,000,000. The following would be the plan for replacement:</p> <ul style="list-style-type: none"> <li>• RFP and install replacement for</li> </ul>

	<p>over a three year period. This will not only include the replacement of these applications but the replacement of associated hardware and associated software; the elimination of FileONE, as the primary maintenance provider to the SOS; a reduction of influence and monopoly which ES &amp; S has over the SOS office since they own FileONE; and provide new technology, functional enhancements and access for customers of the SOS such as banks, financial institutions, and legal firms.</p>		<p>UCC and Ag Liens – 12/2009.</p> <ul style="list-style-type: none"> <li>• RFP and install replacement for Appostilles and Notary – 12/2010.</li> <li>• RFP and install replacement for Partnerships – 12/2010.</li> </ul>
<p>Replace all SOS server and storage capacity located in 325 Don Gaspar</p>	<p>The purpose of this project is replace all SOS server and storage capacity located in 325 Don Gaspar which are now supporting all of the current SOS operational systems including: UCC Filings, Notary, Trademarks, Ag Liens, Appostilles, Partnerships, the SOS website, Campaign Finance reporting, and general public information. In addition, it is intended that these new servers and storage devices will also serve as the base for the position of new replacement applications when the SOSKB applications are replaced by new</p>	<p>Secretary of State, Financial institutions, legal agencies, and the citizens of the State of New Mexico.</p>	<p>The following estimated costs will apply: \$300,000 for replacement servers, data storage, back up storage, and software will apply on a one time basis.</p>

	application functionality over the next three years.		
Replacement of all SOS Printers and personal computer workstations	The purpose of this project is to begin the planned replacement of all printers and personal computer workstations within the Office of the Secretary of State. The SOS has not invested in printers in 8 years. It is intended to begin a program for printer replacement and also for the replacement of all personal computer workstations over the next three years.	Secretary of State, Financial institutions, legal agencies, and the citizens of the State of New Mexico.	Total Cost of Operations –The following estimated costs will apply: <ul style="list-style-type: none"> <li>• Printer replacement costs: \$100,000.</li> <li>• 25 Personal computer workstations and software: \$50,000.</li> </ul>
Increment the Agency IT Division by three additional Staff	The purpose of this request is to add one IT staff member. The IT staff is understaffed with respect to Agency application support and maintenance of the technical infrastructure of the SOS business environment. Proposed changes and upgrades to SOS operational Applications over the next three years, the implementation of the a full disaster recovery and business continuity plan, providing more direct IT customer service support to our State legislators and the public we serve, and taking more control over the internal applications of the SOS from a maintenance and enhancement position	Secretary of State, 33 Counties, Citizens, financial institutions and legal agencies.	It is estimated that each additional staff member will cost \$87,000 per year including benefits.

	requires additional staffing.		

**A. Section II.**

**B. IT Staff Summary List**

Provide a summary list by State Personnel Office TOOL title of the agency IT staff, including IT Full Time Equivalent (FTE) employees, temporary or term hires and contract staff:

<b>Position Category</b> (e.g. Mgr., DBA, Developer, PM, etc.)	<b>Position Count</b>	<b>Staff Category</b> (e.g. FTE, Temp, Term, Contract or Other)	<b>Infrastructure or Non-Infrastructure</b>
IT Director	1	FTE	Infrastructure
Systems Administrator	1 IT Generalist I	FTE	Infrastructure
IT Business Analyst	1 IT Business Analyst	FTE	Infrastructure
IT Database Manager	1 IT Generalist II	FTE	Infrastructure
Webmaster	1 IT Network Specialist II	FTE	Infrastructure
IT Business Analyst	1 IT Business Analyst	FTE	Infrastructure
IT Project Manager	1 IT Generalist I	FTE	Infrastructure

**A. Section III.**

**B. IT Budget Performance Data**

[http://www.doit.state.nm.us/itplan\\_guide.html](http://www.doit.state.nm.us/itplan_guide.html)

This link will allow you to download the form.

The following document was supplied by Dianne Brown, Chief Financial Officer of the Office of the Secretary of State. This document will be provided as a separate attachment.

## Appendix C

### c. IT Project History and Inventory

#### A. List FY08 IT Projects > \$100,000

##### A: Active / Open Projects

<b>Project Name</b>	<b>Appropriation History (\$/Source)</b>	<b>Current Certification Phase</b>	<b>Amount expended as of 7/1/08</b>
VREMS Enhancements	\$150,000 Appropriation	Implementation	\$80,000
RULPA Enhancements	\$150,000	Planning	\$0.0

##### B: Closed Projects

<b>Project Name</b>	<b>Appropriation History (\$/Source)</b>	<b>Current Certification Phase</b>	<b>Amount expended as of 7/1/08</b>
PFRS Enhancements	\$112,000 Computer Enhancement Fund	Closeout	\$112,000

#### B. List FY09 IT Projects > \$100,000

<b>Project Name</b>	<b>Appropriation History (\$/Source)</b>	<b>Current Certification Phase</b>	<b>Amount expended as of 7/1/08</b>
Campaign Finance Information System Enhancements	\$176,500 Appropriation	Initiation	\$0.0

## Appendix D

### C. Business Continuity Plan

Briefly describe the agency's business continuity<sup>1</sup> and contingency plans. Include the Business Continuity Plan Scorecard and a summary of the agency's disaster recovery/backup and recovery plan. Provide a brief description of the consequences of a serious system failure and determine the priority of each application according to the length of time within which the business purpose would be seriously compromised.

#	Executive Business Continuity Plan (BCP) Scorecard	Yes	No	Unknown
1.	Do you have a written business continuity of operation plan (COOP)? Yes for VREMS; No for SOS Operational Applications		X	
2.	If so, have you fully tested it? (Add date of test)		X	
3.	If tested, did you pass your test? ( <i>Pass the test would be that you were able to continue all mission critical functions of your business.</i> )			X
4.	Have you quantified and ranked the business and financial risk of outages to all vital functions?	X		
5.	Are you prepared to address liabilities and fiduciary responsibilities in case of a disaster?		X	
6.	Are business continuity plans kept current and updated for business changes?		X	
7.	Do you perform back-ups faithfully and include every server and hard drive?	X		
8.	Do you regularly send your back-ups to a safe, off-site archive? Yes for VREMS; No for SOS Operations		X	
9.	Have you standardized back-up solution on a proven media?		X	
10.	Does business continuity and disaster recovery readiness have support of top management in your organization?		X	
11.	Is your agency BC/DR plan dependent on DoIT? If so what is DOIT's role in your plan? VREMS housed in DOIT and requires DOIT telecommunications support.		X	

**Comments:**

VREMS has a more sophisticated approach to recovery and continuity than the SOS operational applications. What is lacking within VREMS is the written process and procedures to be invoked in the event of a catastrophic outage. In the case of the SOS operational applications, there has not been a test since 1999 and there is no effective plan for recovery and continuity along with the required hardware/software and offsite location for the restoration of services.

<sup>1</sup> Describes the processes and procedures an organization puts in place to ensure that essential functions can continue during and after a disaster. Please refer to the **Glossary** for a more detailed definition.

## Appendix E

### ***D. Compliance Spreadsheet***

The following compliance spreadsheet is mandatory for all **current and proposed** IT projects >\$100K.

Each active project listed in the IT Project History and Inventory and each proposed FY10 project, regardless of funding source, **must** have an accompanying completed Compliance Spreadsheet.

All items on the spreadsheet must be checked off for a new project to receive consideration. If unable to check a box and serious steps are in process to satisfy the requirement, attach a written explanation.

**Please note:** if all current and proposed IT projects are in compliance, only **one** spreadsheet indicating compliance for all projects should be submitted.

**CIO's and IT leads must be prepared to support the responses on this spreadsheet with the applicable data, procedures, processes, records, etc. if and when project oversight requires**



**Compliance Spreadsheet: Agency and Project Identification**

Lead Agency Name: Secretary of State Agency Code: 370

Project Name(s)<sup>2</sup>: VREMS and SOSKB Maintenance Price Increases Contact Person:  
Edward Sigman

Contact Person: Dianne Brown Contact Phone Number: 505-827-3858

Compliance with IT Consolidation		Investment Protection: Business Continuance & Disaster Recovery Plans	
<input type="checkbox"/> Y	IT functions of the project have been or will be reviewed by the agency CIO or IT Lead to minimize duplication and redundancy.	<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.
<input type="checkbox"/> Y	This project reports to or will report to a Secretary or Director who is a single point of accountability for IT within the agency.	<input type="checkbox"/> Y	Project is or will actively address disaster recovery and business continuance issues and records retention
<input type="checkbox"/> N	This project has been or will be reviewed by DoIT for participation in existing or future common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project has planned, will plan for or has conducted a pilot test of applicability and operability in an actual business environment.	<input type="checkbox"/> Y	Project is or will actively address regulatory compliance issues.
<input type="checkbox"/> N	Project has planned or will plan for or conduct a proof of concept of the technology to be used.	<input type="checkbox"/> N	Project is or will, wherever possible, act as a supplier and user of shared technical resources with the State.
<input type="checkbox"/> N	Project has addressed or will address governance to identify decision points and accountability to ensure successful implementation.	<input type="checkbox"/> N	Project is or will work with other state agencies to maximize savings through participating in bulk purchases and licensing of standardized components and solutions.
<input type="checkbox"/> N	A risk profile has been created or will be created and will be updated at the start of each phase of the project.	<input type="checkbox"/> N	If already in service, the project manager has performed a recent gap analysis against current state security, privacy, architecture, DR and BC requirements and standards.

<sup>2</sup>If all current and proposed IT projects are in compliance, only **one** spreadsheet indicating compliance for all projects should be submitted. If this is the case, please use "All Projects" for Project Name.

Compliance with the Enterprise IT Strategic Plan		Compliance with the Framework For Enterprise Architecture Plan	
<input type="checkbox"/> N	An IV&V provider has been selected or will be selected and is ready to provide independent quality assurance.	<input type="checkbox"/> Y	Project is or will be in compliance with the current Enterprise IT Architecture Standards for the state.
<input type="checkbox"/> Y	This project "uses" or will use existing common IT functions from other agencies.	<input type="checkbox"/> Y	Data and information managed by the project are or will be handled and protected as an enterprise asset.
<input type="checkbox"/> N	This project could benefit from common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will, wherever possible, participate as a supplier or user of re-usable enterprise architecture components.
<input type="checkbox"/> Y	Project has or will identify common (shareable) business functions and data.	<input type="checkbox"/> Y	Project is or will assess risks and engineering security into every layer of project implementation.
<input type="checkbox"/> Y	Project is or will use middleware, where appropriate, to enhance access to all data.	<input type="checkbox"/> Y	Project has or will plan for or conduct a proof of concept of the technology to be used.
<input type="checkbox"/> N	Any common services to be "provided" by this project to other agencies or external parties are provided at competitive rates.	<input type="checkbox"/> Y	Project is or will collaborate between IT and business leaders during analysis and review to provide advice on technologies.
<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.	<input type="checkbox"/> Y	Project owners are or will take responsibility for initiating analysis and review.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common hosting and data center models.	<input type="checkbox"/> Y	Project has or will consider application of COTS (commercial off-the-shelf).
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to open source components.	<input type="checkbox"/> Y	Project is or will manage a separation of presentation logic, business logic and data access to maximize reusability of components.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common, distributed and remote support models.	<input type="checkbox"/> Y	Project is or will actively address system management issues.
<input type="checkbox"/> Y	Project is or will implement and participate in state-wide approaches to business continuity and disaster recovery solutions.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project is or will actively participate in any appropriate state-wide or group purchases of products, software or services to minimize costs.		
<input type="checkbox"/> Y	Project is or will comply with business case and other project planning and ROI evaluations appropriate to the size and cost of the project.		

## Compliance Spreadsheet: Agency and Project Identification

Lead Agency Name: Secretary of State Agency Code: 370

Project Name(s)<sup>3</sup>: Develop Disaster Recovery and Business Continuity Process and Implement Contact Person: Edward Sigman

Contract Person: \_\_\_\_\_ Contact Phone Number: 505-827-3661

Compliance with IT Consolidation		Investment Protection: Business Continuance & Disaster Recovery Plans	
<input type="checkbox"/> Y	IT functions of the project have been or will be reviewed by the agency CIO or IT Lead to minimize duplication and redundancy.	<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.
<input type="checkbox"/> Y	This project reports to or will report to a Secretary or Director who is a single point of accountability for IT within the agency.	<input type="checkbox"/> Y	Project is or will actively address disaster recovery and business continuance issues and records retention
<input type="checkbox"/> Y	This project has been or will be reviewed by DoIT for participation in existing or future common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project has planned, will plan for or has conducted a pilot test of applicability and operability in an actual business environment.	<input type="checkbox"/> Y	Project is or will actively address regulatory compliance issues.
<input type="checkbox"/> Y	Project has planned or will plan for or conduct a proof of concept of the technology to be used.	<input type="checkbox"/> Y	Project is or will, wherever possible, act as a supplier and user of shared technical resources with the State.
<input type="checkbox"/> Y	Project has addressed or will address governance to identify decision points and accountability to ensure successful implementation.	<input type="checkbox"/> Y	Project is or will work with other state agencies to maximize savings through participating in bulk purchases and licensing of standardized components and solutions.
<input type="checkbox"/> Y	A risk profile has been created or will be created and will be updated at the start of each phase of the project.	<input type="checkbox"/> Y	If already in service, the project manager has performed a recent gap analysis against current state security, privacy, architecture, DR and BC requirements and standards.

<sup>3</sup>If all current and proposed IT projects are in compliance, only **one** spreadsheet indicating compliance for all projects should be submitted. If this is the case, please use "All Projects" for Project Name.

Compliance with the Enterprise IT Strategic Plan		Compliance with the Framework For Enterprise Architecture Plan	
<input type="checkbox"/> N	An IV&V provider has been selected or will be selected and is ready to provide independent quality assurance.	<input type="checkbox"/> Y	Project is or will be in compliance with the current Enterprise IT Architecture Standards for the state.
<input type="checkbox"/> Y	This project "uses" or will use existing common IT functions from other agencies.	<input type="checkbox"/> Y	Data and information managed by the project are or will be handled and protected as an enterprise asset.
<input type="checkbox"/> Y	This project could benefit from common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will, wherever possible, participate as a supplier or user of re-usable enterprise architecture components.
<input type="checkbox"/> Y	Project has or will identify common (shareable) business functions and data.	<input type="checkbox"/> Y	Project is or will assess risks and engineering security into every layer of project implementation.
<input type="checkbox"/> Y	Project is or will use middleware, where appropriate, to enhance access to all data.	<input type="checkbox"/> Y	Project has or will plan for or conduct a proof of concept of the technology to be used.
<input type="checkbox"/> Y	Any common services to be "provided" by this project to other agencies or external parties are provided at competitive rates.	<input type="checkbox"/> Y	Project is or will collaborate between IT and business leaders during analysis and review to provide advice on technologies.
<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.	<input type="checkbox"/> Y	Project owners are or will take responsibility for initiating analysis and review.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common hosting and data center models.	<input type="checkbox"/> Y	Project has or will consider application of COTS (commercial off-the-shelf).
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to open source components.	<input type="checkbox"/> Y	Project is or will manage a separation of presentation logic, business logic and data access to maximize reusability of components.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common, distributed and remote support models.	<input type="checkbox"/> Y	Project is or will actively address system management issues.
<input type="checkbox"/> Y	Project is or will implement and participate in state-wide approaches to business continuity and disaster recovery solutions.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project is or will actively participate in any appropriate state-wide or group purchases of products, software or services to minimize costs.		
<input type="checkbox"/> Y	Project is or will comply with business case and other project planning and ROI evaluations appropriate to the size and cost of the project.		

**Compliance Spreadsheet: Agency and Project Identification**

Lead Agency Name: Secretary of State Agency Code: 370

Project Name(s)<sup>4</sup>: Upgrade and Enhance VREMS capacity for the 2010 Election Year

Contact Person: Edward B. Sigman

Contract Person: \_\_\_\_\_ Contact Phone Number: 505-827-3661

Compliance with IT Consolidation		Investment Protection: Business Continuance & Disaster Recovery Plans	
<input type="checkbox"/> Y	IT functions of the project have been or will be reviewed by the agency CIO or IT Lead to minimize duplication and redundancy.	<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.
<input type="checkbox"/> Y	This project reports to or will report to a Secretary or Director who is a single point of accountability for IT within the agency.	<input type="checkbox"/> Y	Project is or will actively address disaster recovery and business continuance issues and records retention
<input type="checkbox"/> Y	This project has been or will be reviewed by DoIT for participation in existing or future common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project has planned, will plan for or has conducted a pilot test of applicability and operability in an actual business environment.	<input type="checkbox"/> Y	Project is or will actively address regulatory compliance issues.
<input type="checkbox"/> Y	Project has planned or will plan for or conduct a proof of concept of the technology to be used.	<input type="checkbox"/> Y	Project is or will, wherever possible, act as a supplier and user of shared technical resources with the State.
<input type="checkbox"/> Y	Project has addressed or will address governance to identify decision points and accountability to ensure successful implementation.	<input type="checkbox"/> Y	Project is or will work with other state agencies to maximize savings through participating in bulk purchases and licensing of standardized components and solutions.
<input type="checkbox"/> Y	A risk profile has been created or will be created and will be updated at the start of each phase of the project.	<input type="checkbox"/> Y	If already in service, the project manager has performed a recent gap analysis against current state security, privacy, architecture, DR and BC requirements and standards.

<sup>4</sup>If all current and proposed IT projects are in compliance, only **one** spreadsheet indicating compliance for all projects should be submitted. If this is the case, please use "All Projects" for Project Name.

Compliance with the Enterprise IT Strategic Plan		Compliance with the Framework For Enterprise Architecture Plan	
<input type="checkbox"/> Y	An IV&V provider has been selected or will be selected and is ready to provide independent quality assurance.	<input type="checkbox"/> Y	Project is or will be in compliance with the current Enterprise IT Architecture Standards for the state.
<input type="checkbox"/> Y	This project "uses" or will use existing common IT functions from other agencies.	<input type="checkbox"/> Y	Data and information managed by the project are or will be handled and protected as an enterprise asset.
<input type="checkbox"/> Y	This project could benefit from common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will, wherever possible, participate as a supplier or user of re-usable enterprise architecture components.
<input type="checkbox"/> Y	Project has or will identify common (shareable) business functions and data.	<input type="checkbox"/> Y	Project is or will assess risks and engineering security into every layer of project implementation.
<input type="checkbox"/> Y	Project is or will use middleware, where appropriate, to enhance access to all data.	<input type="checkbox"/> Y	Project has or will plan for or conduct a proof of concept of the technology to be used.
<input type="checkbox"/> Y	Any common services to be "provided" by this project to other agencies or external parties are provided at competitive rates.	<input type="checkbox"/> Y	Project is or will collaborate between IT and business leaders during analysis and review to provide advice on technologies.
<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.	<input type="checkbox"/> Y	Project owners are or will take responsibility for initiating analysis and review.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common hosting and data center models.	<input type="checkbox"/> Y	Project has or will consider application of COTS (commercial off-the-shelf).
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to open source components.	<input type="checkbox"/> Y	Project is or will manage a separation of presentation logic, business logic and data access to maximize reusability of components.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common, distributed and remote support models.	<input type="checkbox"/> Y	Project is or will actively address system management issues.
<input type="checkbox"/> Y	Project is or will implement and participate in state-wide approaches to business continuity and disaster recovery solutions.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project is or will actively participate in any appropriate state-wide or group purchases of products, software or services to minimize costs.		
<input type="checkbox"/> Y	Project is or will comply with business case and other project planning and ROI evaluations appropriate to the size and cost of the project.		

## Compliance Spreadsheet: Agency and Project Identification

Lead Agency Name: Secretary of State Agency Code: 370

Project Name(s)<sup>5</sup>: Political Financial Reporting System (PFRS)

Contact Person: Edward B. Sigman Contract Person:

Contact Phone Number: 505-827-3661

Compliance with IT Consolidation		Investment Protection: Business Continuity & Disaster Recovery Plans	
<input type="checkbox"/> Y	IT functions of the project have been or will be reviewed by the agency CIO or IT Lead to minimize duplication and redundancy.	<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.
<input type="checkbox"/> Y	This project reports to or will report to a Secretary or Director who is a single point of accountability for IT within the agency.	<input type="checkbox"/> Y	Project is or will actively address disaster recovery and business continuity issues and records retention
<input type="checkbox"/> Y	This project has been or will be reviewed by DoIT for participation in existing or future common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project has planned, will plan for or has conducted a pilot test of applicability and operability in an actual business environment.	<input type="checkbox"/> Y	Project is or will actively address regulatory compliance issues.
<input type="checkbox"/> Y	Project has planned or will plan for or conduct a proof of concept of the technology to be used.	<input type="checkbox"/> Y	Project is or will, wherever possible, act as a supplier and user of shared technical resources with the State.
<input type="checkbox"/> Y	Project has addressed or will address governance to identify decision points and accountability to ensure successful implementation.	<input type="checkbox"/> Y	Project is or will work with other state agencies to maximize savings through participating in bulk purchases and licensing of standardized components and solutions.
<input type="checkbox"/> Y	A risk profile has been created or will be created and will be updated at the start of each phase of the project.	<input type="checkbox"/> Y	If already in service, the project manager has performed a recent gap analysis against current state security, privacy, architecture, DR and BC requirements and standards.

<sup>5</sup>If all current and proposed IT projects are in compliance, only **one** spreadsheet indicating compliance for all projects should be submitted. If this is the case, please use "All Projects" for Project Name.

Compliance with the Enterprise IT Strategic Plan		Compliance with the Framework For Enterprise Architecture Plan	
<input type="checkbox"/> Y	An IV&V provider has been selected or will be selected and is ready to provide independent quality assurance.	<input type="checkbox"/> Y	Project is or will be in compliance with the current Enterprise IT Architecture Standards for the state.
<input type="checkbox"/> Y	This project "uses" or will use existing common IT functions from other agencies.	<input type="checkbox"/> Y	Data and information managed by the project are or will be handled and protected as an enterprise asset.
<input type="checkbox"/> Y	This project could benefit from common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will, wherever possible, participate as a supplier or user of re-usable enterprise architecture components.
<input type="checkbox"/> Y	Project has or will identify common (shareable) business functions and data.	<input type="checkbox"/> Y	Project is or will assess risks and engineering security into every layer of project implementation.
<input type="checkbox"/> Y	Project is or will use middleware, where appropriate, to enhance access to all data.	<input type="checkbox"/> Y	Project has or will plan for or conduct a proof of concept of the technology to be used.
<input type="checkbox"/> Y	Any common services to be "provided" by this project to other agencies or external parties are provided at competitive rates.	<input type="checkbox"/> Y	Project is or will collaborate between IT and business leaders during analysis and review to provide advice on technologies.
<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.	<input type="checkbox"/> Y	Project owners are or will take responsibility for initiating analysis and review.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common hosting and data center models.	<input type="checkbox"/> Y	Project has or will consider application of COTS (commercial off-the-shelf).
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to open source components.	<input type="checkbox"/> Y	Project is or will manage a separation of presentation logic, business logic and data access to maximize reusability of components.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common, distributed and remote support models.	<input type="checkbox"/> Y	Project is or will actively address system management issues.
<input type="checkbox"/> Y	Project is or will implement and participate in state-wide approaches to business continuity and disaster recovery solutions.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project is or will actively participate in any appropriate state-wide or group purchases of products, software or services to minimize costs.		
<input type="checkbox"/> Y	Project is or will comply with business case and other project planning and ROI evaluations appropriate to the size and cost of the project.		



## Compliance Spreadsheet: Agency and Project Identification

Lead Agency Name: Secretary of State

Agency Code: 370

Project Name(s)<sup>6</sup>: Replace all SOSKB applications over a three year period

Contact Person: Edward B. Sigman

Contract Person: \_\_\_\_\_ Contact Phone Number: 505-837-3661

Compliance with IT Consolidation		Investment Protection: Business Continuity & Disaster Recovery Plans	
<input type="checkbox"/> Y	IT functions of the project have been or will be reviewed by the agency CIO or IT Lead to minimize duplication and redundancy.	<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.
<input type="checkbox"/> Y	This project reports to or will report to a Secretary or Director who is a single point of accountability for IT within the agency.	<input type="checkbox"/> Y	Project is or will actively address disaster recovery and business continuity issues and records retention
<input type="checkbox"/> Y	This project has been or will be reviewed by DoIT for participation in existing or future common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project has planned, will plan for or has conducted a pilot test of applicability and operability in an actual business environment.	<input type="checkbox"/> Y	Project is or will actively address regulatory compliance issues.
<input type="checkbox"/> Y	Project has planned or will plan for or conduct a proof of concept of the technology to be used.	<input type="checkbox"/> Y	Project is or will, wherever possible, act as a supplier and user of shared technical resources with the State.
<input type="checkbox"/> Y	Project has addressed or will address governance to identify decision points and accountability to ensure successful implementation.	<input type="checkbox"/> Y	Project is or will work with other state agencies to maximize savings through participating in bulk purchases and licensing of standardized components and solutions.
<input type="checkbox"/> Y	A risk profile has been created or will be created and will be updated at the start of each phase of the project.	<input type="checkbox"/> Y	If already in service, the project manager has performed a recent gap analysis against current state security, privacy, architecture, DR and BC requirements and standards.

<sup>6</sup>If all current and proposed IT projects are in compliance, only **one** spreadsheet indicating compliance for all projects should be submitted. If this is the case, please use "All Projects" for Project Name.

Compliance with the Enterprise IT Strategic Plan		Compliance with the Framework For Enterprise Architecture Plan	
<input type="checkbox"/> Y	An IV&V provider has been selected or will be selected and is ready to provide independent quality assurance.	<input type="checkbox"/> Y	Project is or will be in compliance with the current Enterprise IT Architecture Standards for the state.
<input type="checkbox"/> Y	This project "uses" or will use existing common IT functions from other agencies.	<input type="checkbox"/> Y	Data and information managed by the project are or will be handled and protected as an enterprise asset.
<input type="checkbox"/> Y	This project could benefit from common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will, wherever possible, participate as a supplier or user of re-usable enterprise architecture components.
<input type="checkbox"/> Y	Project has or will identify common (shareable) business functions and data.	<input type="checkbox"/> Y	Project is or will assess risks and engineering security into every layer of project implementation.
<input type="checkbox"/> Y	Project is or will use middleware, where appropriate, to enhance access to all data.	<input type="checkbox"/> Y	Project has or will plan for or conduct a proof of concept of the technology to be used.
<input type="checkbox"/> Y	Any common services to be "provided" by this project to other agencies or external parties are provided at competitive rates.	<input type="checkbox"/> Y	Project is or will collaborate between IT and business leaders during analysis and review to provide advice on technologies.
<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.	<input type="checkbox"/> Y	Project owners are or will take responsibility for initiating analysis and review.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common hosting and data center models.	<input type="checkbox"/> Y	Project has or will consider application of COTS (commercial off-the-shelf).
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to open source components.	<input type="checkbox"/> Y	Project is or will manage a separation of presentation logic, business logic and data access to maximize reusability of components.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common, distributed and remote support models.	<input type="checkbox"/> Y	Project is or will actively address system management issues.
<input type="checkbox"/> Y	Project is or will implement and participate in state-wide approaches to business continuity and disaster recovery solutions.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project is or will actively participate in any appropriate state-wide or group purchases of products, software or services to minimize costs.		
<input type="checkbox"/> Y	Project is or will comply with business case and other project planning and ROI evaluations appropriate to the size and cost of the project.		

**Compliance Spreadsheet: Agency and Project Identification**

Lead Agency Name: Secretary of State

Agency Code: 370

Project Name(s)<sup>7</sup>: Replace all SOS server and storage capacity located in 325 Don Gaspar

Contact Person: Edward B. Sigman

Contract Person: \_\_\_\_\_ Contact Phone Number: 505-827-3661

Compliance with IT Consolidation		Investment Protection: Business Continuance & Disaster Recovery Plans	
<input type="checkbox"/> Y	IT functions of the project have been or will be reviewed by the agency CIO or IT Lead to minimize duplication and redundancy.	<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.
<input type="checkbox"/> Y	This project reports to or will report to a Secretary or Director who is a single point of accountability for IT within the agency.	<input type="checkbox"/> Y	Project is or will actively address disaster recovery and business continuance issues and records retention
<input type="checkbox"/> Y	This project has been or will be reviewed by DoIT for participation in existing or future common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project has planned, will plan for or has conducted a pilot test of applicability and operability in an actual business environment.	<input type="checkbox"/> Y	Project is or will actively address regulatory compliance issues.
<input type="checkbox"/> Y	Project has planned or will plan for or conduct a proof of concept of the technology to be used.	<input type="checkbox"/> Y	Project is or will, wherever possible, act as a supplier and user of shared technical resources with the State.
<input type="checkbox"/> Y	Project has addressed or will address governance to identify decision points and accountability to ensure successful implementation.	<input type="checkbox"/> Y	Project is or will work with other state agencies to maximize savings through participating in bulk purchases and licensing of standardized components and solutions.
<input type="checkbox"/> Y	A risk profile has been created or will be created and will be updated at the start of each phase of the project.	<input type="checkbox"/> Y	If already in service, the project manager has performed a recent gap analysis against current state security, privacy, architecture, DR and BC requirements and standards.

<sup>7</sup>If all current and proposed IT projects are in compliance, only **one** spreadsheet indicating compliance for all projects should be submitted. If this is the case, please use "All Projects" for Project Name.

Compliance with the Enterprise IT Strategic Plan		Compliance with the Framework For Enterprise Architecture Plan	
<input type="checkbox"/> Y	An IV&V provider has been selected or will be selected and is ready to provide independent quality assurance.	<input type="checkbox"/> Y	Project is or will be in compliance with the current Enterprise IT Architecture Standards for the state.
<input type="checkbox"/> Y	This project "uses" or will use existing common IT functions from other agencies.	<input type="checkbox"/> Y	Data and information managed by the project are or will be handled and protected as an enterprise asset.
<input type="checkbox"/> Y	This project could benefit from common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will, wherever possible, participate as a supplier or user of re-usable enterprise architecture components.
<input type="checkbox"/> Y	Project has or will identify common (shareable) business functions and data.	<input type="checkbox"/> Y	Project is or will assess risks and engineering security into every layer of project implementation.
<input type="checkbox"/> Y	Project is or will use middleware, where appropriate, to enhance access to all data.	<input type="checkbox"/> Y	Project has or will plan for or conduct a proof of concept of the technology to be used.
<input type="checkbox"/> Y	Any common services to be "provided" by this project to other agencies or external parties are provided at competitive rates.	<input type="checkbox"/> Y	Project is or will collaborate between IT and business leaders during analysis and review to provide advice on technologies.
<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.	<input type="checkbox"/> Y	Project owners are or will take responsibility for initiating analysis and review.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common hosting and data center models.	<input type="checkbox"/> Y	Project has or will consider application of COTS (commercial off-the-shelf).
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to open source components.	<input type="checkbox"/> Y	Project is or will manage a separation of presentation logic, business logic and data access to maximize reusability of components.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common, distributed and remote support models.	<input type="checkbox"/> Y	Project is or will actively address system management issues.
<input type="checkbox"/> Y	Project is or will implement and participate in state-wide approaches to business continuity and disaster recovery solutions.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project is or will actively participate in any appropriate state-wide or group purchases of products, software or services to minimize costs.		
<input type="checkbox"/> Y	Project is or will comply with business case and other project planning and ROI evaluations appropriate to the size and cost of the project.		

Lead Agency Name: Secretary of State

Agency Code: 370

Project Name(s)<sup>8</sup>: Replacement of all SOS Printers and personal computer workstations

Contact Person: Edward B. Sigman

Contract Person: \_\_\_\_\_ Contact Phone Number: 505-827-3661

Compliance with IT Consolidation		Investment Protection: Business Continuance & Disaster Recovery Plans	
<input type="checkbox"/> Y	IT functions of the project have been or will be reviewed by the agency CIO or IT Lead to minimize duplication and redundancy.	<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.
<input type="checkbox"/> Y	This project reports to or will report to a Secretary or Director who is a single point of accountability for IT within the agency.	<input type="checkbox"/> Y	Project is or will actively address disaster recovery and business continuance issues and records retention
<input type="checkbox"/> Y	This project has been or will be reviewed by DoIT for participation in existing or future common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project has planned, will plan for or has conducted a pilot test of applicability and operability in an actual business environment.	<input type="checkbox"/> Y	Project is or will actively address regulatory compliance issues.
<input type="checkbox"/> Y	Project has planned or will plan for or conduct a proof of concept of the technology to be used.	<input type="checkbox"/> Y	Project is or will, wherever possible, act as a supplier and user of shared technical resources with the State.
<input type="checkbox"/> Y	Project has addressed or will address governance to identify decision points and accountability to ensure successful implementation.	<input type="checkbox"/> Y	Project is or will work with other state agencies to maximize savings through participating in bulk purchases and licensing of standardized components and solutions.
<input type="checkbox"/> Y	A risk profile has been created or will be created and will be updated at the start of each phase of the project.	<input type="checkbox"/> Y	If already in service, the project manager has performed a recent gap analysis against current state security, privacy, architecture, DR and BC requirements and standards.

<sup>8</sup>If all current and proposed IT projects are in compliance, only **one** spreadsheet indicating compliance for all projects should be submitted. If this is the case, please use "All Projects" for Project Name.

Compliance with the Enterprise IT Strategic Plan		Compliance with the Framework For Enterprise Architecture Plan	
<input type="checkbox"/> Y	An IV&V provider has been selected or will be selected and is ready to provide independent quality assurance.	<input type="checkbox"/> Y	Project is or will be in compliance with the current Enterprise IT Architecture Standards for the state.
<input type="checkbox"/> Y	This project "uses" or will use existing common IT functions from other agencies.	<input type="checkbox"/> Y	Data and information managed by the project are or will be handled and protected as an enterprise asset.
<input type="checkbox"/> Y	This project could benefit from common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will, wherever possible, participate as a supplier or user of re-usable enterprise architecture components.
<input type="checkbox"/> Y	Project has or will identify common (shareable) business functions and data.	<input type="checkbox"/> Y	Project is or will assess risks and engineering security into every layer of project implementation.
<input type="checkbox"/> Y	Project is or will use middleware, where appropriate, to enhance access to all data.	<input type="checkbox"/> Y	Project has or will plan for or conduct a proof of concept of the technology to be used.
<input type="checkbox"/> Y	Any common services to be "provided" by this project to other agencies or external parties are provided at competitive rates.	<input type="checkbox"/> Y	Project is or will collaborate between IT and business leaders during analysis and review to provide advice on technologies.
<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.	<input type="checkbox"/> Y	Project owners are or will take responsibility for initiating analysis and review.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common hosting and data center models.	<input type="checkbox"/> Y	Project has or will consider application of COTS (commercial off-the-shelf).
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to open source components.	<input type="checkbox"/> Y	Project is or will manage a separation of presentation logic, business logic and data access to maximize reusability of components.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common, distributed and remote support models.	<input type="checkbox"/> Y	Project is or will actively address system management issues.
<input type="checkbox"/> Y	Project is or will implement and participate in state-wide approaches to business continuity and disaster recovery solutions.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project is or will actively participate in any appropriate state-wide or group purchases of products, software or services to minimize costs.		
<input type="checkbox"/> Y	Project is or will comply with business case and other project planning and ROI evaluations appropriate to the size and cost of the project.		

## Compliance Spreadsheet: Agency and Project Identification

Lead Agency Name: Secretary of State

Agency Code: 370

Project Name(s)<sup>9</sup>: Increment the Agency IT Division by one additional Staff

Contact Person: Edward B. Sigman

Contract Person: \_\_\_\_\_ Contact Phone Number: 505-827-3661

Compliance with IT Consolidation		Investment Protection: Business Continuity & Disaster Recovery Plans	
<input type="checkbox"/> Y	IT functions of the project have been or will be reviewed by the agency CIO or IT Lead to minimize duplication and redundancy.	<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.
<input type="checkbox"/> Y	This project reports to or will report to a Secretary or Director who is a single point of accountability for IT within the agency.	<input type="checkbox"/> Y	Project is or will actively address disaster recovery and business continuity issues and records retention
<input type="checkbox"/> Y	This project has been or will be reviewed by DoIT for participation in existing or future common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project has planned, will plan for or has conducted a pilot test of applicability and operability in an actual business environment.	<input type="checkbox"/> Y	Project is or will actively address regulatory compliance issues.
<input type="checkbox"/> Y	Project has planned or will plan for or conduct a proof of concept of the technology to be used.	<input type="checkbox"/> Y	Project is or will, wherever possible, act as a supplier and user of shared technical resources with the State.
<input type="checkbox"/> Y	Project has addressed or will address governance to identify decision points and accountability to ensure successful implementation.	<input type="checkbox"/> Y	Project is or will work with other state agencies to maximize savings through participating in bulk purchases and licensing of standardized components and solutions.
<input type="checkbox"/> Y	A risk profile has been created or will be created and will be updated at the start of each phase of the project.	<input type="checkbox"/> Y	If already in service, the project manager has performed a recent gap analysis against current state security, privacy, architecture, DR and BC requirements and standards.

<sup>9</sup>If all current and proposed IT projects are in compliance, only **one** spreadsheet indicating compliance for all projects should be submitted. If this is the case, please use "All Projects" for Project Name.

Compliance with the Enterprise IT Strategic Plan		Compliance with the Framework For Enterprise Architecture Plan	
<input type="checkbox"/> Y	An IV&V provider has been selected or will be selected and is ready to provide independent quality assurance.	<input type="checkbox"/> Y	Project is or will be in compliance with the current Enterprise IT Architecture Standards for the state.
<input type="checkbox"/> Y	This project "uses" or will use existing common IT functions from other agencies.	<input type="checkbox"/> Y	Data and information managed by the project are or will be handled and protected as an enterprise asset.
<input type="checkbox"/> Y	This project could benefit from common IT functions usable across multiple agencies.	<input type="checkbox"/> Y	Project is or will, wherever possible, participate as a supplier or user of re-usable enterprise architecture components.
<input type="checkbox"/> Y	Project has or will identify common (shareable) business functions and data.	<input type="checkbox"/> Y	Project is or will assess risks and engineering security into every layer of project implementation.
<input type="checkbox"/> Y	Project is or will use middleware, where appropriate, to enhance access to all data.	<input type="checkbox"/> Y	Project has or will plan for or conduct a proof of concept of the technology to be used.
<input type="checkbox"/> Y	Any common services to be "provided" by this project to other agencies or external parties are provided at competitive rates.	<input type="checkbox"/> Y	Project is or will collaborate between IT and business leaders during analysis and review to provide advice on technologies.
<input type="checkbox"/> Y	Project is or will actively address security and data integrity issues.	<input type="checkbox"/> Y	Project owners are or will take responsibility for initiating analysis and review.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common hosting and data center models.	<input type="checkbox"/> Y	Project has or will consider application of COTS (commercial off-the-shelf).
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to open source components.	<input type="checkbox"/> Y	Project is or will manage a separation of presentation logic, business logic and data access to maximize reusability of components.
<input type="checkbox"/> Y	Project has or will give thorough and appropriate consideration to common, distributed and remote support models.	<input type="checkbox"/> Y	Project is or will actively address system management issues.
<input type="checkbox"/> Y	Project is or will implement and participate in state-wide approaches to business continuity and disaster recovery solutions.	<input type="checkbox"/> Y	Project is or will actively address privacy issues.
<input type="checkbox"/> Y	Project is or will actively participate in any appropriate state-wide or group purchases of products, software or services to minimize costs.		
<input type="checkbox"/> Y	Project is or will comply with business case and other project planning and ROI evaluations appropriate to the size and cost of the project.		



# I. Appendix F

## A. C1 Form

Information Technology Base Operating Budget Informational Purposes Only					
Agency Name: Secretary of State	VREMS and SOSKB annual maintenance			Agency Code:	370
Appropriation Funding Type:	Base Request Operational Support of IT  Flat Budget <input type="checkbox"/> or Expansion from previous year <input checked="" type="checkbox"/>				
IT Base Budget (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
General Fund		\$801,000	\$920,000	\$970,000	\$1,018,500
Other State Funds					
InterAgency Transfers/ Internal Service Funds					
Federal Funds					
<b>Total</b>	<b>0.0</b>	<b>\$801,000</b>	<b>\$920,000</b>	<b>\$970,000</b>	<b>\$1,018,500</b>
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
Personal Services & Employee Benefits					
Contractual Services					
Professional Services					
IT Services					
Other					
Travel					
Maintenance VREMS/SOSKB		\$801,000	\$920,000	\$970,000	\$1,018,500
Supplies/Inv. Exempt					
Operating Costs					
Capital Outlay					
Other Financing Uses					
<b>Total</b>	<b>0.0</b>	<b>\$801,000</b>	<b>\$920,000</b>	<b>\$970,000</b>	<b>\$1,018,500</b>
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
Name	Mary E. Herrera	Edward B. Sigman		Dianne Brown	
Signature					
Phone	505-827-3630	505-827-3661		505-827-3858	
Date	7/10/2008	7/10/2008		7/10/2008	

# I. Appendix F

## A. C1 Form

Information Technology Base Operating Budget Informational Purposes Only					
Agency Name: Secretary of State	<u>Upgrade and Enhance VREMS capacity for the 2010 Election Year</u>			Agency Code:	370
Appropriation Funding Type:	Base Request <u>Operational Support of IT</u>  Flat Budget <input type="checkbox"/> or Expansion from previous year <input checked="" type="checkbox"/>				
IT Base Budget (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
General Fund				\$419,800	\$54,800
Other State Funds					
InterAgency Transfers/ Internal Service Funds					
Federal Funds					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>\$419,500</b>	<b>\$54,800</b>
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
Personal Services & Employee Benefits		444 373			
Contractual Services					
Professional Services					
IT Services		606 839			
Other DOIT rack space				\$19,800	\$19,800
Travel					
Maintenance - Oracle		17698			\$35,000
Supplies/Inv. Exempt		129802			
Operating Costs		14254			
Capital Outlay		209 022		\$400,000	
Other Financing Uses		1,421,988			
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>\$419,800</b>	<b>\$54,800</b>
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
Name	Mary E. Herrera	Edward B. Sigman		Dianne Brown	
Signature					
Phone	505-827-3630	505-827-3661		505-827-3858	
Date	7/10/2008	7/10/2008		7/10/2008	

# I. Appendix F

## A. C1 Form

Information Technology Base Operating Budget Informational Purposes Only					
Agency Name: Secretary of State	Put into place an effective disaster recovery and business continuity process.			Agency Code:	370
Appropriation Funding Type:	Base Request Operational Support of IT  Flat Budget <input type="checkbox"/> or Expansion from previous year <input checked="" type="checkbox"/>				
IT Base Budget (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY010 Request	FY11 Estimate
General Fund				\$393,000	\$68,000
Other State Funds					
InterAgency Transfers/ Internal Service Funds					
Federal Funds					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>\$393,000</b>	<b>\$68,000</b>
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
Personal Services & Employee Benefits					
Contractual Services					
Professional Services				\$200,000	
IT Services					
Other DOIT rack space				\$18,000	\$18,000
Travel					
Maintenance					\$25,000
Supplies/Inv. Exempt					
Operating Costs Annual Test				\$25,000	\$25,000
Capital Outlay				\$150,000	
Other Financing Uses					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>\$393,000</b>	<b>\$68,000</b>
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
Name	Mary E. Herrera	Edward B. Sigman		Dianne Brown	
Signature					
Phone	505-827-3630	505-827-3661		505-827-3858	
Date	7/10/2008	7/10/2008		7/10/2008	

# I. Appendix F

## A. C1 Form

Information Technology Base Operating Budget Informational Purposes Only					
<b>Agency Name: Secretary of State</b>	<u>Political Financial Reporting System (PFRS)</u> Replacement Product			Agency Code:	370
<b>Appropriation Funding Type:</b>	<u>Base Request</u> <u>Operational Support of IT</u>  Flat Budget <input type="checkbox"/> or Expansion from previous year <input checked="" type="checkbox"/>				
IT Base Budget (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
<b>General Fund</b>				\$800,000	\$280,000
<b>Other State Funds</b>					
<b>InterAgency Transfers/ Internal Service Funds</b>					
<b>Federal Funds</b>					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>\$800,000</b>	<b>\$280,000</b>
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
<b>Personal Services &amp; Employee Benefits</b>					
<b>Contractual Services</b>					
<b>Professional Services</b>				\$400,000	\$200,000
<b>IT Services</b>					
<b>Other</b>					
<b>Travel</b>					
<b>Maintenance</b>					\$80,000
<b>Supplies/Inv. Exempt</b>					
<b>Operating Costs</b>					
<b>Capital Outlay</b>				\$400,000	
<b>Other Financing Uses</b>					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>\$800,000</b>	<b>\$280,000</b>
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
<b>Name</b>	Mary E. Herrera	Edward B. Sigman		Dianne Brown	
<b>Signature</b>					
<b>Phone</b>	505-827-3630	505-827-3661		505-827-3858	
<b>Date</b>	7/10/2008	7/10/2008		7/10/2008	

# I. Appendix F

## A. C1 Form

Information Technology Base Operating Budget Informational Purposes Only					
Agency Name: Secretary of State	Replace all SOSKB applications over a two year period			Agency Code:	370
Appropriation Funding Type:	Base Request Operational Support of IT  Flat Budget <input type="checkbox"/> or Expansion from previous year <input checked="" type="checkbox"/>				
IT Base Budget (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY010 Request	FY11 Estimate
General Fund				\$2,000,000	\$500,000
Other State Funds					
InterAgency Transfers/ Internal Service Funds					
Federal Funds				\$2,000,000	\$500,000
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
Personal Services & Employee Benefits					
Contractual Services					
Professional Services					\$350,000
IT Services					
Other					
Travel					
Maintenance					\$150,000
Supplies/Inv. Exempt					
Operating Costs					
Capital Outlay				\$2,000,000	
Other Financing Uses					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>\$2,000,000</b>	<b>\$500,000</b>
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
<b>Name</b>	Mary E. Herrera	Edward B. Sigman		Dianne Brown	
<b>Signature</b>					
<b>Phone</b>	505-827-3630	505-827-3661		505-827-3858	
<b>Date</b>	7/10/2008	7/10/2008		7/10/2008	

# I. Appendix F

## A. C1 Form

Information Technology Base Operating Budget Informational Purposes Only					
Agency Name: Secretary of State	Replace all SOS server and storage capacity located in 325 Don Gaspar			Agency Code:	370
Appropriation Funding Type:	Base Request Operational Support of IT  Flat Budget <input type="checkbox"/> or Expansion from previous year <input checked="" type="checkbox"/>				
IT Base Budget (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
General Fund				\$300,00	\$30,000
Other State Funds					
InterAgency Transfers/ Internal Service Funds					
Federal Funds					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>300,000</b>	<b>\$30,000</b>
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
Personal Services & Employee Benefits					
Contractual Services					
Professional Services					
IT Services					
Other					
Travel					
Maintenance					\$30,000
Supplies/Inv. Exempt					
Operating Costs					
Capital Outlay				\$300,000	
Other Financing Uses					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>\$300,000</b>	<b>\$30,000</b>
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
Name	Mary E. Herrera	Edward B. Sigman		Dianne Brown	
Signature					
Phone	505-827-3630	505-827-3661		505-827-3858	
Date	7/10/2008	7/10/2008		7/10/2008	

# I. Appendix F

## A. C1 Form

Information Technology Base Operating Budget Informational Purposes Only					
Agency Name: Secretary of State	Replacement of all SOS Printers and personal computer workstations			Agency Code:	370
Appropriation Funding Type:	Base Request Operational Support of IT  Flat Budget <input type="checkbox"/> or Expansion from previous year <input checked="" type="checkbox"/>				
IT Base Budget (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
General Fund				\$150,000	\$35,000
Other State Funds					
InterAgency Transfers/ Internal Service Funds					
Federal Funds					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>\$150,000</b>	<b>\$35,000</b>
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
Personal Services & Employee Benefits					
Contractual Services					
Professional Services					
IT Services					
Other					
Travel					
Maintenance					\$35,000
Supplies/Inv. Exempt					
Operating Costs					
Capital Outlay				\$150,000	
Other Financing Uses					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>\$150,000</b>	<b>\$35,000</b>
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
Name	Mary E. Herrera	Edward B. Sigman		Dianne Brown	
Signature					
Phone	505-827-3630	505-827-3661		505-827-3858	
Date	7/10/2008	7/10/2008		7/10/2008	



# I. Appendix F

## A. C1 Form

Information Technology Base Operating Budget Informational Purposes Only					
Agency Name: Secretary of State	Increment the Agency IT Division by one additional Staff.			Agency Code:	370
Appropriation Funding Type:	Base Request Operational Support of IT  Flat Budget <input type="checkbox"/> or Expansion from previous year <input checked="" type="checkbox"/>				
IT Base Budget (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY010 Request	FY11 Estimate
General Fund				\$87,000	\$
Other State Funds					
InterAgency Transfers/ Internal Service Funds					
Federal Funds					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>\$87,000</b>	<b>\$</b>
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
Personal Services & Employee Benefits				\$87,000	\$
Contractual Services					
Professional Services					
IT Services					
Other					
Travel					
Maintenance					
Supplies/Inv. Exempt					
Operating Costs					
Capital Outlay					
Other Financing Uses					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>\$87,000</b>	
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
<b>Name</b>	Mary E. Herrera	Edward B. Sigman		Dianne Brown	
<b>Signature</b>					
<b>Phone</b>	505-827-3630	505-827-3661		505-827-3858	
<b>Date</b>	7/10/2008	7/10/2008		7/10/2008	



**Appendix G**  
**C2 Forms**

**A. C2 Form**

Information Technology Data Processing - Computer Systems Enhancement Fund or Capital Outlay					
<b>Agency Name:</b>	Secretary of State			<b>Agency Code:</b>	370
<b>Project Name:</b>	Upgrade and Enhance VREMS Capacity for the 2010 Election Year		<b>Projected Start/End Date:</b>	3/1/2009-12/30/2009	
<b>Multi-Agency Project</b>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	<b>List agencies participating:</b>		
<b>Project Type and Specifics:</b>	<b>Computer Systems Enhancement Fund</b> New System Development <input type="checkbox"/> Existing Systems <input checked="" type="checkbox"/>				
Project Cost (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
<b>General Fund</b>				\$419,800	
<b>Other State Funds</b>					
<b>InterAgency Transfers/ Internal Service Funds</b>					
<b>Federal Funds</b>					
<b>Total</b>	0.0	0.0	0.0	\$419,800	0.0
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
<b>Personal Services &amp; Employee Benefits</b>					
<b>Contractual Services</b>					
<b>Professional Services</b>					
<b>IT Services</b>					
<b>Other DOIT Rack space</b>				\$19,800	
<b>Travel</b>					
<b>Maintenance</b>					
<b>Supplies/Inv. Exempt</b>					
<b>Operating Costs</b>					
<b>Capital Outlay</b>				\$400,000	
<b>Other Financing Uses</b>					
<b>Total</b>	0.0	0.0	0.0	\$419,800	0.0
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
<b>Name</b>	Mary E. Herrera	<b>Name</b>		Edward B. Sigman	<b>Name</b>
<b>Signature</b>		<b>Signature</b>			Dianne Brown
<b>Phone</b>	505-827-3630	<b>Phone</b>		505-827-3661	<b>Phone</b>
<b>Date</b>	7/17/08	<b>Date</b>		7/17/08	<b>Date</b>
				505-827-3858	7/17/08

## A. C2 Form

Information Technology Data Processing - Computer Systems Enhancement Fund or Capital Outlay					
<b>Agency Name:</b>	Secretary of State			<b>Agency Code:</b>	370
<b>Project Name:</b>	Disaster Recovery and Business Continuity Plan		<b>Projected Start/End Date:</b>	01/01/2009-12/302009	
<b>Multi-Agency Project</b>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	<b>List agencies participating:</b>		
<b>Project Type and Specifics:</b>	<b>Computer Systems Enhancement Fund</b> New System Development <input checked="" type="checkbox"/> Existing Systems <input type="checkbox"/>				
Project Cost (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
<b>General Fund</b>				\$393,000	
<b>Other State Funds</b>					
<b>InterAgency Transfers/ Internal Service Funds</b>					
<b>Federal Funds</b>					
<b>Total</b>	0.0	0.0	0.0	\$393,000	0.0
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
<b>Personal Services &amp; Employee Benefits</b>					
<b>Contractual Services</b>					
<b>Professional Services</b>				\$200,000	
<b>IT Services</b>					
<b>Other</b>				\$18,000	
<b>Travel</b>					
<b>Maintenance</b>					
<b>Supplies/Inv. Exempt</b>					
<b>Operating Costs</b>				\$25,000	
<b>Capital Outlay</b>				\$150,000	
<b>Other Financing Uses</b>				\$393,000	
<b>Total</b>	0.0	0.0	0.0	0.0	0.0
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
<b>Name</b>					
<b>Signature</b>					
<b>Phone</b>					
<b>Date</b>					

## A. C2 Form

Information Technology Data Processing - Computer Systems Enhancement Fund or Capital Outlay					
<b>Agency Name:</b>	Secretary of State			<b>Agency Code:</b>	370
<b>Project Name:</b>	Personal Finance Reporting System Replacement with a new Campaign Finance Information System		<b>Projected Start/End Date:</b>	01/01/2009-5/30/2010	
<b>Multi-Agency Project</b>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	<b>List agencies participating:</b>		
<b>Project Type and Specifics:</b>	<u>Computer Systems Enhancement Fund</u> New System Development <input checked="" type="checkbox"/> Existing Systems <input type="checkbox"/>				
Project Cost (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
General Fund				\$800,000	\$280,000
Other State Funds					
InterAgency Transfers/ Internal Service Funds					
Federal Funds					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>\$800,000</b>	<b>\$280,000</b>
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
Personal Services & Employee Benefits					
Contractual Services					
Professional Services				\$400,000	\$200,000
IT Services					
Other					
Travel					
Maintenance					\$80,000
Supplies/Inv. Exempt					
Operating Costs					
Capital Outlay				\$400,000	
Other Financing Uses					
<b>Total</b>	<b>0.0</b>	<b>0.0</b>	<b>0.0</b>	<b>\$800,000</b>	<b>\$280,000</b>
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
<b>Name</b>	Mary E. Herrera	Edward B. Sigman		Dianne Brown	
<b>Signature</b>					
<b>Phone</b>	505-827-3630	505-827-3661		505-827-3858	
<b>Date</b>	7/17/2008	7/17/2008		7/17/2008	

## C2 Form

Information Technology Data Processing - Computer Systems Enhancement Fund or Capital Outlay					
<b>Agency Name:</b>	Secretary of State			<b>Agency Code:</b>	370
<b>Project Name:</b>	Replace SOSKB Applications		<b>Projected Start/End Date:</b>		01/01/2009-12/30/2010
<b>Multi-Agency Project</b>	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>	<b>List agencies participating:</b>		
<b>Project Type and Specifics:</b>	<b>Computer Systems Enhancement Fund</b> New System Development <input checked="" type="checkbox"/> Existing Systems <input checked="" type="checkbox"/>				
Project Cost (dollars in thousands)					
	FY07 & Prior	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
<b>General Fund</b>				\$2,000,000	\$500,000
<b>Other State Funds</b>					
<b>InterAgency Transfers/ Internal Service Funds</b>					
<b>Federal Funds</b>					
<b>Total</b>	0.0	0.0	0.0	\$2,000,000	\$500,000
Expenditure Categories (dollars in thousands)					
	FY07 & Prior Actual	FY08 Actual	FY09 OpBud	FY10 Request	FY11 Estimate
<b>Personal Services &amp; Employee Benefits</b>					
<b>Contractual Services</b>					
<b>Professional Services</b>					\$350,000
<b>IT Services</b>					
<b>Other</b>					
<b>Travel</b>					
<b>Maintenance</b>					\$150,000
<b>Supplies/Inv. Exempt</b>					
<b>Operating Costs</b>					
<b>Capital Outlay</b>				\$2,000,000	
<b>Other Financing Uses</b>					
<b>Total</b>	0.0	0.0	0.0	\$2,000,000	\$500,000
<b>Agency Cabinet Secretary/Director (mandatory)</b>		<b>CIO or IT Lead (mandatory)</b>		<b>Budget Director (mandatory)</b>	
<b>Name</b>	Mary E. Herrera	Edward B. Sigman		Dianne Brown	
<b>Signature</b>					
<b>Phone</b>	505-827-3630	505-827-3661		505-827-3858	
<b>Date</b>	7/17/08	7/17/08		7/17/08	

**Appendix I**  
**Full Business Case**

**FY10 Full Business Case - VREMS and SOSKB Maintenance**  
**[Secretary of State]                      [Insert Agency Priority - High]**

**I.        Executive Summary**

Additional base budget on statewide VREMS and SOSKB will be required for continued support and development of these existing applications and systems environment long term. In particular, the annual support fees for the statewide voter registration system will be approximately \$650,000 in FY10 with the current configuration. The recurring annual support fees for the SOSKB environment is now at \$320,000 in FY10. We will also discuss our recommendation to take the initiative to replace the SOSKB system over the next two years in an additional project recommendation.

VREMS is central to the Secretary of State's mission and allows New Mexico election officials register voters and conduct elections. It fulfills the mandate of the Help America Vote Act (HAVA) to provide a statewide voter registration system. This application is mission critical.

The problem is that the Agency base budget has not been increased to cover the significant costs associated with maintaining this system and Federal funds are all but gone.

VREMS implementation costs were \$6,600,000. Annual maintenance costs are approximately \$561,000 a year, just over 11% of implementation costs, well within industry standards.

It is imperative that VREMS be properly maintained. This means it is imperative that the Secretary of State's supplemental request of \$90,000 for FY10 be granted and future base budget requests be authorized as we must have this support for the General Election of 2010.

In addition, the SOSKB System which supports UCC Filings, Ag Liens, Appostilles, Partnerships, PFRS, Notary, and Trademarks are also ES & S supported systems through its subsidiary FileONE, Inc. Maintenance Costs have increased from \$240,000 per year to \$320,000 per year. Since the operation of these systems are both vital to the Office of the Secretary of State and the citizens of the State of New Mexico, we have no choice but to continue this business relationship with FileONE/ES & S until we find and implement alternative applications to replace SOSKB with more competitive solutions. In other words, they have us and we have no alternatives.

FileONE has also announced that it will be delivering to the marketplace, a new product, SystemWorks which will be a future replacement to SOSKB. This will begin in January 2009. We will not meet present budget requirements for the maintenance of this system unless we are augmented by \$80,000 to cover this increase in price.

Therefore, we are requesting an additional \$170,000 to supplement the increase in costs of both the VREMS and SOSKB maintenance support requirements.

## **II. Business Problem and Opportunity**

The business problem is that there are insufficient funds in the present budget to pay for maintenance costs with respect to VREMS and SOSKB support. This is simply a question of properly funding the maintenance requirements of these foundation systems of the Office the Secretary State.

Because the State guidelines limit a five (5) per cent annual increase in budget, the increase in these essential services have not kept pace with the increase in these maintenance system expenses. We need to pay this bill.

## **III. Proposed Project Objectives/Performance Metrics**

On October 29, 2002, President Bush signed HR 3295, the Help America Vote Act ("HAVA"). This federal legislation created many new mandates for state and local governments. One of the key provisions is that each "...state shall implement a uniform, official, centralized, interactive, computerized statewide voter registration list defined, maintained, and administered at the State level."

The Voter Registration and Election Management System (VREMS) is New Mexico's fulfillment of that mandate. VREMS is a web-based system that meets HAVA requirements, with additional functions supporting election management. New technologies supporting features like document imaging of voter registration cards are also included. VREMS replaces the (non-HAVA compliant) legacy systems that have previously been in use at the 33 New Mexico counties. Most of the counties connect to the centralized system via the public Internet and some have private ATM connections. Citizens can also access the public portion of the voter website (VoterView). VREMS is a totally externally managed system by ES & S located in Omaha, Nebraska. Along with shared facilities with the Office of the Secretary of State, the availability, performance, all system updates, corrections, enhancements and technology improvements for the knowledge base of this system is provided by ES & S.

In addition, SOSKB obtained in 2002, has been fully supported by an external company, FileONE, Inc. which provides all services of a management organization including performance, availability, system updates, help service, corrections, enhancements and technology improvement for this suite of applications. There is little if any internal support capability and knowledge of this application suite with the Office of the Secretary of State and a heavy reliance upon FileONE, Inc. to provide this support. The applications are DOS based using Novell technology and written in COBOL code. Maintenance has increased exponentially over the years while the viability of this application which was developed in the early 1990s has become more volatile including the hardware platforms on which they reside.

We need to continue the maintenance service for VREMS as it is the foundation system for Voter Registration and Election Management within the State of New Mexico. We need to continue to have maintenance for SOSKB until we are permitted to take steps to replace this suite of applications with new products over which we can gain control.



#### **IV. Business Risks**

The major business risks are as follows:

- 1) Without annual maintenance payments, these systems would not run at all. For example, this maintenance pays for the annual costs of using the software that allows VREMS and SOSKB to function. These include the Oracle database, Red Hat OS, and Citrix along with the services that both ES & S and FileONE provide. This also includes monthly maintenance payments to DOIT to pay for server room floor space, electricity, air conditioning and Internet Access that allow counties to connect into the system.
- 2) Without annual maintenance payments, VREMS and SOSKB could not be properly secured. Private information such as voter SSNs would be at risk. Without proper security, election outcomes cannot be guaranteed. Annual maintenance fees pay for security items such as SSL certificates, security audits, the Identity security solution, and server administration that includes keeping computers updated with security patches.
- 3) Without annual maintenance payments we could not afford help desk services. Helpdesk services are essential to help the counties and the SOS to use PowerProfile to register voters and run elections. Our users simply would not be able to operate the system without the ability to contact experts, when needed, to advise and troubleshoot problems that occur on a daily basis even if it a simple explanation to county personnel on how to perform functions of the VREMS system.
- 4) Without annual maintenance payments we could not pay for the facilities and services that would allow us to recover from disasters and system failures. Most importantly this means the hot site in OSO Grande Technologies that is an exact duplicate of the hardware and software configuration at the Simms building in Santa Fe.
- 5) Without annual maintenance fees, we could not keep VREMS and SOSKB current. Hardware must be replaced on a regular basis to ensure productivity and reliability. Software must be updated to conform to changes in state and federal law. Software updates also increase productivity and the service provided to our constituents.
- 6) The SOS does have the technical people resources and infrastructure in order to support these systems. These resources are contracted by the SOS to supplement the IT organization in order to provide operational management, technical resources, application resources, help desk services and specialized functional support only to the State of New Mexico. We need and depend upon continuing this business relationship.

**V. Alternative Solutions**

There is no alternative solution to paying annual maintenance costs other than abandoning the system in violation of federal and state law. There are, however, certainly ways to reduce those recurring costs. DOIT recently reduced by 2/3s the cost of hosting our system at the Simms building. However, license fees and service fees are fixed and there is little room to move in a productive direction.

**VI. Cost Benefit Analysis**

<b>Annual Maintenance Estimates for PowerProfile Enterprise Edition</b>			
<b>Item</b>	<b>Cost per Unit</b>	<b># Units</b>	<b>Total</b>
Oracle Support Renewal (per processor)	\$12,000.00	12	\$150,000.00
GSD/ISD Oracle License Maint.	\$1,600.00	5	\$8,000.00
Citrix Licenses	\$50.00	170	\$8,500.00
Red Hat Linux Advanced Server	\$1,588.50	4	\$6,354.00
Distributed Solution / Synchronization Maint.	\$9,000.00	1	\$9,000.00
ES&S Annual Maintenance	\$118,385.00	1	\$158,385.00
ES&S In-State Support Rep	\$126,720.00	1	\$126,720.00
ES&S Remote Administration of Servers	\$16,800.00	1	\$16,800.00
GSD/ISD Primary Data Center Space Rental	\$36,929.52	1	\$36,929.52
Security Audit	\$20,000.00	1	\$20,000.00
Dialup Backup Accounts	\$1,000.00	1	\$1,000.00
Cisco Smartnet Annual Support	\$9,632.86	1	\$9,632.86
USPS city / zip database for mailing verification	\$538.00	1	\$538.00
SSL Certificates:	\$2,500.00	1	\$2,500.00
Voter View Public Web Lookup Support	\$8,700.00	1	\$8,700.00
Identity Security Solution:	\$12,245.00	1	\$12,245.00
Software Customization / Upgrade Costs	\$20,000.00	4	\$80,000.00
<b>Total:</b>			<b>\$655,304.38</b>

SOSKB maintenance costs have risen from \$180,000 in FY 06 to \$240,000 in FY 07. Current costs are to be \$320,000 per year for support and services. We will have an \$80,000 short fall in the maintenance costs of this product.

**Benefits:**

Benefits of paying the recurring costs listed above include:

- 1) We can ensure the continued operation of VREMS and SOSKB. This means ensuring that New Mexico election officials can fulfill their missions to conduct fair and honest elections. And, SOS operations can continue to provide services to the public that support financial, and legal obligations as specified under State Statute.
- 2) We can continue to properly secure VREMS and SOSKB to ensure that private information remains private, elections are not tampered with, and servers and data are secure.
- 3) We can provide our users with the help desk experts to advise and troubleshoot
- 4) We can retain the facilities and services that would allow us to recover from disasters and system failures for VREMS. Most importantly this means the hot site in OSO Grande Technologies that is an exact duplicate of the hardware and software configuration at the Simms building in Santa Fe.
- 5) We can keep VREMS and SOSKB current and thus ensure that the application is efficient and reliable; software conforms to changes in state and federal law; user productivity and service to our constituents is enhanced.

**VII. Recommendation**

Based on the information presented, it is clear that annual maintenance costs for VREMS and SOSKB must be properly funded. And this is probably no different than any other State Agency in a similar position. This means granting our request of \$170,000 for additional funds for FY10 and the base budget request of \$1,018,500 for FY11 which reflects a five (5) per cent increase over the revised base of \$970,000 for these two products for FY 10.

**FY10 Full Business Case – VREMS Capacity Enhancements**  
**[Secretary of State]                      [Insert Agency Priority - High]**

**I.        Executive Summary**

The purpose of this project is to enhance VREMS capacity for the 2010 election year. This would include increasing server and storage capacity; additional Citrix licenses; upgrading and expanding front end firewall and switch technology. And these upgrades would be targeted for both the primary processing center in the Simms Building managed by DOIT in Santa Fe, NM and the business processing recovery center managed by OSO Grande Technologies in Albuquerque, NM. Voter registration and voting activity has grown by 8 per cent per year for the last five years compounded annually. In order to make sure that there is both sufficient capacity for performance purposes and the latest security methodologies invoked, processor, switch and firewall need to be upgraded in order to satisfy performance and security issues to prevent voter fraud as it has been occurring in other states across the nation.

**II.       Business Problem and Opportunity**

The Office of the Secretary of State is responsible for managing the availability and performance of the Voter Registration and Election Management System (VREMS). The Secretary of State performs the role of the state's chief election officer. The election responsibilities are housed in the Bureau of Elections. This system is used all year and supports the registration of all New Mexico State voters and elections by the 33 Counties of the State of New Mexico. The next statewide election begins with primaries and has a general election in 2010. An increase in capacity during 2009 is warranted. Voter registration and increased county use has been growing annually at better than 8 per cent per year compounded annually and this requires an increase in performance capacity and data storage. In addition, the VREMS System will require enhancements to data security through enhanced firewall security, Citrix licenses and hardware in order to prevent voter fraud and fraudulent manipulation of voter data.

Originally this project was funded in 2000 with HAVA funds provided by the Federal Government. The original cost of VREMS was \$6.6 million dollars to implement. The system was upgraded in 2005, after the 2004 election as it was found that it had insufficient capacity to handle the volume of the New Mexico election at that time and was subsequently upgraded in 2006 with additional processors and Oracle licenses to support the election in 2008. It is intended to put the physical upgrade of the hardware and operating system software on a schedule of change every other non election year so that the upgrades can be made without the volatility to the elections that are pending. Major pressure is put on the System with printing of Voter Rosters on the Saturday, Sunday and Monday before the Tuesday Election. The processing of these rosters is keen as all 33 Counties submit their jobs for the printing of their individual County rosters at the same time. This must be completed and be ready when the polls open on Tuesday morning. And, the system must have the performance and capacity on Election Day in order to issue provisional and absentee ballots for voters who show up at the polls.

The VREMS system also has definitive cross agency and public relationships. VREMS receives feeds from the Courts where by a felon list updates the system indicating which registered voters are convicted felons who may not be eligible to vote and those felons who have fulfilled their commitments and are now eligible to vote. In addition, plans are in place to interact with MVD in order to validate both driver's license and social security numbers. And, last the VREMS data base is used by political candidates who want both voter lists and voter history in their districts

as well as by the political parties who wish to make mailings and phone calls prior to the elections. This information is also sought by political action groups, media and individuals who wish to research this data base.

What we are trying to do is to be proactive in order to prevent a problem from occurring. That problem is running out of sufficient capacity to register voters, process rosters, print absentee ballots and provisional ballots, and to prevent and protect the voter data base from fraudulent attacks upon its integrity. Being proactive in planning and providing the capacity and protective technology will better serve the State of New Mexico, the 33 Counties and the people of the State.

### **III. Proposed Project Objectives/Performance Metrics**

Proposed Project Objectives/Performance Metrics – the proposed outcomes of this project are:

- Increase server and data storage capacity by 6/30/2009
- Increase firewall and switch capacity by 8/30/2009
- Increase Citrix licenses and hardware by 10/30/2009
- Upgrade Oracle licenses as appropriate based upon processors deployed by 12/30/2009
- Upgrade disaster recovery and business continuity plans and test by 12/30/2009

This action relates to both configurations located in the Simms Building and the business recovery site of OSO Grande Technologies.

### **IV. Business Risks**

The major business risks are:

- Insufficient capacity will impact performance during the 2010 election year.
- Inadequate firewall protection permits hackers to attack voter registration data and permit fraud during elections.
- Improper planning that forces these changes to be implemented during the election year instead of the year between elections.
- The external risk factor that there is State competing interests that will prohibit funding.

These risks can be managed appropriately through proper communication and funding for the above issues. The IT Division within the Office of the Secretary of State along with ES & S, who provides the management services to the VREMS system, if provided the funds on a timely basis between election years, can properly plan the list of activities required to meet the project goals. The sooner that this is approved, then this will provide the duration of time required to mitigate the risks going into the 2010 election year.

If the funding to this project is not realized, the major impacts will be to the 33 Counties, the voters of the State of New Mexico and the political ramifications to the elected officials who hold the offices of Governor and the Secretary of State. Having asked for funding to proactively deal with the issue of VREMS capacity and security and being denied, resulting in a failure on both of these issues would be politically catastrophic and the press/media would have a field day.

## **V. Alternative Solutions**

There really are only two choices available. Provide a proactive solution to upgrade VREMS during the non election year of 2009 or do nothing and face the election year without any upgrades. Some might even permit a third action which is to wait for the upgrades to be completed during 2010 prior to the June Primary election. There is major risk in this alternative as the equipment installation would be rushed and very little time to burn in the new hardware and software technologies that would be put into place thus, inadvertently, creating a high risk to the election process itself.

## **VI. Cost Benefit Analysis**

Total Cost of Operations –The following costs will apply:

- Annual rental (recurring cost) for an additional rack in the Simms Building and OSO Grande Technologies will increase and be annualized as an additional \$1,650 per month or \$19,800 per year based on current charges.
- Increase in Oracle license, a onetime expense of \$100,000 to support the increase in the number of processors from 12 to 16, a non-recurring cost.
- Oracle maintenance for the software installed, a recurring cost of \$35,000 per year.
- Servers, data storage, switches, and firewalls for both centers \$300,000 inclusive of software, a one-time non-recurring cost.

These capacity upgrades are intended to be sufficient for a period of two years: The general election year of 2010 and 2011. Voter registration has been growing at the annual rate of eight per cent per year compounded annually. Based upon this experience base, the intended technology is intended to provide the capacity required for the 2010 election year. Should the State experience a population slowdown and voter registration begins to taper, then this capacity if monitored closely could, perhaps, be positioned by the General Election of 2012 which will be both a Primary and Presidential Election year. However, historical capacity accumulations point to data that shows steady growth to the State Voter rosters and not a decline as the citizens of the State increase year to year.

Therefore, we are requesting \$400,000 in non-recurring costs which will incur \$54,800 in recurring costs on an annual basis which we will expect to be added to the base or general budget of the Agency.

Benefits – The following benefits apply:

Major benefits are directly related to the County Clerks and the citizens of the State of New Mexico. This will provide the capacity that will be required during the 2010 election year for both the Primary and the General elections. These benefits will be manifested by:

- For the County Clerks – improve workforce efficiency and enhance delivery of voter and election services to their constituents especially during peak periods of voter registration and absentee ballot processing.
- For the County Clerks – this will reduce transaction processing time especially in roster production.
- For both the County Clerks and Office of the Secretary of State, this will increase system reliability and stability and provide added protection from external attacks reducing the risk of voter fraud.

- For the County Clerks, Political Parties, individual candidates for public office, and elected officials of State and County government, this will improve customer and voter satisfaction, allow faster public service requests to be generated on a more timely basis, and shorten constituent service times.
- For other State Agencies such as the Courts and MVD, it will provide a more responsive platform to transfer and move data that is useful to these agencies.

**VII. Recommendation**

The SOS strongly recommends and supports the proposed increase in capacity during 2009, to support the performance required to register voters; maintain high levels of availability; enhance, protect and provide the safeguards to the voter and election database; and to provide the processing power during the upcoming 2010 elections. This is the only politically correct solution that minimizes the risks to the Agencies of the State, the 33 Counties, their elected officials and citizens of the State of New Mexico.

**FY10 Full Business Case – Disaster Recovery and Business Continuity**  
**[Secretary of State]                      [Insert Agency Priority - High]**

**I. Executive Summary**

The purpose of this project is: 1) to produce a written disaster recovery and business continuity plan for the Office of the Secretary of State that will include all SOS Operational Systems and will result in a duplication of equipment in an alternate processing location such as the Simms Building or OSO Grande Technology; and a live test to prove the capabilities. And, 2) this will also include the development of a written plan for VREMS and a coordinated test with ES & S that will switch operations to our alternate processing facility at OSO Grande Technologies. And, 3) the last part of this plan will include defining the temporary relocation of the SOS Office to an alternate location for business processing resumption if 325 Don Gaspar is not inhabitable.

The major reason why we are generating this request is because the Office of the Secretary of State does not have any formal plan of recovery and continuity in writing or otherwise for SOS operational applications and functions; it has no formal procedures to transfer operations that have been tested by both ES & S to move the application functionality of VREMS from the Simms Building in Santa Fe to OSO Grande Technologies in Albuquerque; and it has no viable plan of action if the business activities are completely halted at 324 Don Gaspar.

Our proposal includes:

- \$150,000 in funding for professional services to design, develop, document, implement and test a practical and workable disaster recovery and business continuity plan for SOS operational applications that can be tested annually by SOS business and IT staff. These applications would include UCC Filings, Notary, Trademarks, Ag Liens, Appostilles, Partnerships, the SOS Website, Campaign Finance Reporting, and general public information interactions. A disaster recovery plan was developed for this action in 1999 and updated in 2003. For all intents and purposes, there is no documentation and what was written is very limited and completely out of data. There has never been a disaster recovery test on these applications within the SOS.
- \$150,000 in funding for duplicate equipment/software to support real time updating of SOS operational applications at an alternate location on a daily basis while the primary production system delivers it's functionality to the SOS staff and general public. This would provide the methodology required to move rapidly to an alternate processing site and maintaining the continuity of SOS business operations. This has been a proven methodology for disaster recovery and business continuity by many businesses in the private sector as well as State and Local Governmental Agencies.
- \$18,000 in funding for DOIT floor space to support an additional rack, a recurring cost.
- \$25,000 in funding to conduct an annual disaster recovery test with an audit for the test, a recurring cost.
- This problem became acute during the June 3, Primary Election when DOIT lost all communications to the 33 Counties for one hour, and the SOS and ES & S both fumbled in trying to figure out how to make this switch. Originally, this project was funded with the implementation of VREMS that began in 2000 with HAVA funds. This capability has not been tested and updated since 2006.

Since this Agency has really no disaster recovery and business continuity plans and processes in place, it is believed that a start from scratch methodology is the most viable alternative available.



We, therefore, in order to support both this Agency's requirement to protect its data, its business functionality, and its ability to serve the citizens of the State of New Mexico; and, in concert with the State Department of Information Technology's overall direction:

1. Safeguard the protection of privacy and security of individual information as well as of individuals using the State's IT systems:
  - a. Define a comprehensive information security strategy to include the physical security of state systems;
  - b. Continue to improve the security and privacy of the State's systems, data and networks.
2. Improve the reliability of State IT systems and further develop business continuity plans in case of disasters:
  - a. Complete a Business Continuity assessment and feasibility study for redundancy of the most critical information technology based services and applications;
  - b. Develop a comprehensive strategy for business continuity and disaster recovery.

## **II. Business Problem and Opportunity**

The Office of the Secretary of State currently has no written plan for disaster recovery or the business continuity of the SOS operational applications such as UCC Filings, Notary, Trademarks, Ag Liens, Appostilles, Partnerships, Website, Campaign Finance Reporting, and general public information. Although there is an alternate processing site for VREMS and the data is replicated between the two Oracle based systems, there are no written procedures for switching to the alternate site from ES & S and a formal test was conducted in 2006 and needs to be done again. State requirements dictate that all agencies protect the assets of the agencies and have plans of action to deal with recovery and continuity of the Agency's ability to process work.

It is imperative that disaster recovery and business continuity plans be put into place for both SOS operational applications and VREMS. These applications and VREMS are vital to SOS operations, generate revenue for the general fund; contribute to the daily business transaction processing of financial institutions, businesses and law firms; provide support to the 33 Counties to register voters and conduct elections; and are regulated by State Statute in the performance of their duties.

While VREMS has the technology and equipment put into place to support disaster recovery and business continuity processing, the formal procedures are lacking that will allow this Agency to cut over within 15 minutes of the outage. These procedures not only must be put into place, but they must also be tested on a regular basis and no less than every year.

Although the SOS operational application data and programs are backed up on a nightly basis, there is no process, no location, no procedures or plan or guidelines available that will allow the SOS to move this work to an alternate location to resume business processing. Although, DOIT can provide that alternate location, there is no equipment available on which to resume that processing at either a hot or cold site.

This problem presents a unique opportunity to the Office of the Secretary of State to better serve the State of New Mexico; the people; financial institutions; law firm; and business by providing the methodology to continue the day to day services of the SOS with a minimum disruption of

those services. By utilizing the Simms Building, the SOS can build a hot site where by the day to day processing of these SOS services can be streamed and backed up on a daily basis and through telecommunications and switching technologies leveraged by DOIT, the SOS can put the process in place to switch between 325 Don Gaspar and the Simms Building. This is a significant opportunity that should not be overlooked and it may result in continuing the primary production capability within the Simms Building and utilizing the 325 Don Gaspar location as the backup for all SOS processing.

### **III. Proposed Project Objectives/Performance Metrics**

The proposed outcomes of this project are:

- Select and hire from the State approved list of professional services providers an experienced professional services provider with successful disaster recovery and business continuity development experience by 3/30/2009.
- Written recovery and continuity plans and procedures for both SOS Operations and VREMS by 12/30/2009.
- Equipment placed in an alternate location (the Simms Building) for the resumption and recovery of business process and functionality of all SOS operational systems as per plan creating a hot site for the resumption of business services.
- A methodology put into place to update daily or in real time, the alternate location of the SOS operational systems.
- A successful and viable switchover of SOS operational applications and VREMS to the alternate processing location with the ability to process day to day business requirements as current as the next business day that is tested and validated. Contract with ES & S operational services by 3/30/2009 to develop the operational processes and procedures that will be invoked during a cutover of operations from one data center to another and back. The goal of such a cutover is swing business processing within 15 minutes of the determination and decision that this cutover should be made.
- A successful disaster recovery and business continuity test for both SOS operational applications and VREMS by 9/30/2009.
- An audit and review of the effectiveness of the test procedures to determine if the goal of a 15 minute cutover can be achieved by 10/30/2009.
- A model to test both the recoverability of the SOS operational applications and VREMS on an annual basis.
- A business continuity plan in place by 12/30/2009 that will reflect the process and procedures should 325 Don Gaspar not be available for business processing.
- The overall project will be completed in one fiscal year by 12/30/2009, should we receive the funding.

### **IV. Business Risks**

The major business risks faced are:

- The SOS requires the funding in order to pursue this major project for this Agency. The SOS does not have either the business or IT staff to manage such a project with this kind of experience. Should the funding be denied or delayed this will extenuate and compound the risk of recovery of this Agency's operational applications and be a detriment to the services it provides to the public, businesses, financial institutions, and law firms.
- The SOS, clearly, does not have the organizational readiness to manage an overt outage to its operational applications. This was clearly demonstrated when in the month of June, SOS operations suffered a catastrophic outage to the SOSKB database that was corrupted

and complicated by a complete hardware failure. This outage lasted five business days including over a weekend where no business was processed and filings taken for UCC and Ag Liens. In addition, the other SOSKB applications were halted along with the Personal Finance Reporting System which is also a subset of SOSKB. The application was restore but three business days of processing had to be re-entered and re-indexed for future online reference by SOS external customers. State statute governs that this outage should be controlled to three business days and this was exceeded.

- SOS operational systems are over 5 to 7 years old operating on aged technologies which is beginning to fail and causing extended outages with lost data and difficult recoveries. This agency has experience additional outages since the first the of year totaling eleven business days in addition to the recent June outage for a total of 16 business day. None of these outages has been as severe as the June outage which lasted five business days. These outages are due to either application software failure, hardware failure, or file corruption.
- Should funding not be available, the SOS will have to continue with daily backups but no alternate locations to resume business processing. The SOS does not maintain on the shelf hardware within its server farm. There is only one of everything. Backups, which are taken daily, can only recover should the hardware and software be in top working order for the rebuilding and resumption of services.
- Current VREMS recovery is controlled by ES & S and not documented. Recovery during election processing times would take over 4 hours. In order for us to streamline and produce the appropriate processes for a timely and expeditious cutover of functions from the Simms Building to OSO Grande Technologies and meet the goal of 15 minutes, a contract has to be successfully subscribed with ES & S in order for the SOS to move forward on this subject. This can also impact the timing of this project and delay the implementation.
- If this Agency does not obtain the funding to implement this project, the operational systems and VREMS will be at great risk. Although the SOS operational systems do not get as much notoriety as VREMS, the impact the day to day operations of the financial institutions, law firms, the business and the people of the State whom we support, is very significant, much of which is regulated by State Statute with specific measures of performance that can be violated.

#### **V. Alternative Solutions**

Logically, there are really no effective alternatives to proposal at hand. The condition of disaster and recovery planning within the Office of the Secretary of State demonstrates a very a poor and unsatisfactory status. The Office of the Secretary of State and its IT Divisions is simply under-prepared to deal with a major recovery situation. That is why this office and its IT Division is requesting the funding to remedy years of neglect on this issue. We feel that the proposal placed on the table is the most prudent business action to take. The status quo is simply unacceptable and does not even follow the strategic business direction as stated by the Department of Information Technology. We expect the support, and the funding of this project from DOIT and the other State Agencies in order to meet these objectives. Not to do so, challenges the creditability of the DOIT Strategic Plan and the ability of the State to work in concert with the Office of the Secretary of State, in trying to meet the Strategic Plan objectives. It, simply, would be inconceivable to allow the Office of the Secretary of State to continue to operate with this risk and, should a failure of serious magnitude occur, the repercussions would have serious political consequences.

## **VI. Cost Benefit Analysis**

**Total Cost of Operations – The following costs will apply:**

- Annual rental for alternative site costs at the Simms Building Data Center, a recurring cost based upon current rates: \$18,000/year.
- Duplicate equipment/software for SOS operations & daily update one time at the hot site and recovery center, a non-recurring cost: \$150,000.
- A professional services contract to design, develop, document, implement and test a practical and workable disaster recovery and business continuity plan for SOS operational applications that can be tested annually by SOS business and IT staff, a non-recurring cost: \$150,000.
- \$50,000 in funding for ES & S professional Services and business recovery support in order to design, develop, document, implement and test a practical and workable disaster recovery plan for the VREMS system that would allow this agency to switch between the Simms Building Data Center and OSO Grande Technologies Data Center in 15 minutes. ES & S professional Services and business recovery support one time - \$50,000, a non-recurring cost.
- Annual recovery testing for SOS operational systems and VREMS, a recurring annual cost: \$25,000 per year.
- Annual software maintenance costs for the backup hot site hardware and software, a recurring annual cost of \$25,000 per year.

**Benefits – The following benefits apply:**

Major benefits include the ability to continue and serve the public with operational support and election processing with a minimum downtime and the maintenance of the data processed to date. These benefits will be manifested by:

- For the Office of the Secretary of State – improve workforce efficiency and enhance delivery of SOS operational applications such as UCC Filings, Notary, Trademarks, Ag Liens, Appostilles, Partnerships, the SOS Website, Campaign Finance Reporting, and general public information interactions. In addition this would include capability to provide an immediate and responsive action to outages with the VREMS system both in normal processing and in times of peak process during election periods.
- For financial institutions, businesses and law firms; the 33 Counties; individual candidates for public office; elected officials of State and County government; and the people of the State of New Mexico this disaster recovery and business continuity plan will increase system reliability and stability and provide added protection from failing hardware and application software along with failures in telecommunication protocols and processes.
- For financial institutions, businesses; the 33 Counties; individual candidates for public office; elected officials of State and County government; and the people of the State of New Mexico this will improve customer and voter satisfaction, allow faster response to the continuation of public services, and shorten the delay of constituent service times in the following applications: UCC Filings, Notary, Trademarks, Ag Liens, Appostilles,

Partnerships, the SOS Website, Campaign Finance Reporting, and general public information interactions, in addition to VREMS.

- For other State Agencies such as the Courts, and MVD, it will provide a more responsive platform to continue business operations and to move data that is useful to these agencies.
- For the SOS IT and Business Staff – reduce and minimize the chaos and anxiety to restore business processing in a short and manageable timeframe; eliminate the guessing, eliminate the experimentation; eliminate not knowing what to do in order to restore business operations.
- For SOS business operations – continue the operational business application streams with a minimum amount of disruption; shorten the inconvenience to constituent service times; improve customer satisfaction; and react faster to the changing business environment.

#### **VII. Recommendation**

The Secretary of State strongly recommends and supports the proposed project to implement a full disaster recovery and business continuity plan for this Agency in order to reduce the risk to this agency and promote the continuity of business operation while protecting the assets of this agency and the State. It is also strongly recommended that the proposed solution of creating a real time hot site utilizing the streaming of data within the Simms Building Data Center is the most viable solution to promote the continuity of business processing. This project along with the acquisition of professional services to provide leadership and expertise is the most prudent course of action for this Office to take. Time is of the essence in order to begin protecting the assets of the Secretary of State along with the ability to resume business operations in an expeditious manner. We do not intend to re-invent the wheel, in this case, but to capitalize on the experiences of others in both the private and public section that will leverage the abilities of the new technologies available today. Delaying this action only puts this agency at considerable risk. There is really is no other alternative than to take positive, proactive action and for that we solicit your support.

**FY10 Full Business Case – Replace Personal Finance Reporting System**  
**[Secretary of State] [Insert Agency Priority - High]**

**I. Executive Summary**

The purpose of this project is to replace the current Personal Finance Reporting System with a new Campaign Finance Information System (CFIS). The current PFRS System was developed by FileONE and delivered as an incomplete system and requires substantial enhancement in order to have a system that is easy to use for candidate filers and the Ethics Administration within the SOS. A new CFIS is desired in order to allow all candidates for public office within the State of New Mexico to present electronically, the appropriate financials of their campaigns to include contributions, loans, expenditures, in-kind contributions, amendments, and to allow searches of this information by media, citizens, and individual organizations. It is also intended that the new system will reduce the amount of effort it takes for filers to complete the information required as well as reduce the amount of labor within the SOS that it takes to administer the current system which requires a high degree of manual intervention.

The original PFRS system was designed and implemented in 2004 by FileONE, Inc., and is incorporated within the framework of the SOSKB system which was implemented in 2002. The cost of this effort was \$400,000. Since that time an additional \$112,000 in enhancements was funded and completed. And the system, while somewhat improved, still does not perform to the level of expectation of candidates, legislators, media, public, and the Office of the Secretary of State. The current system is manual in nature and places much of the burden upon the data entry function to know how the system should perform and to manually calculate totals as one moves between filing dates and the reports required for the filing dates. For example, should a candidate file a “statement of no activity” which means that the candidate has received no contributions over \$250.00 and made no expenditures, the candidate can only print the form off of the website, fill out the form in script, have the form notarized with their signature, mail or fax the form to the Ethics Division of the SOS, and the form is then scanned and posted to the website as a PDF. In addition, subsequent to this filing, the closeout report has to have all totals originally submitted in the initial report carried forward and entered manually into the final filing because the system does not know that the candidate filed a second report with a statement of no activity. In many cases, the candidates are not aware of this, so the starting total in the final report is “zero” and, consequently, the report is filed inaccurately. This is just one representation of the lack of continuity and lack of functionality is runs rampant throughout this system and causes significant frustration and anger among all candidates who utilize this tool for filing purposes.

This frustration and anger is manifested by the number of candidates who apply for hardship and file the forms printed off of the system manually. They do not want to file electronically because it is more of a burden than filling out the forms by hand. So in 35 per cent of the filings, the Ethics Division of the SOS receives hardcopy via mail or fax, in which case, these forms are then scanned and loaded into the website for viewing as a PDF. Because this data cannot be electronically submitted, the data that can be searched for a candidate who submits both electronically and by paper have to be searched using two different methodologies. There is no single electronic data base of all candidate filings.

Over 600 candidates file campaign finance information during the Primary and General Election Year. Even if a former candidate is not running for public office in this election year, as long as that candidate maintains a balance in his election campaign account they are required to file an annual report once per year until that account is closed in which case a final report is submitted. Of the 65 per cent of the candidates who file electronically, 70 per cent required detail assistance from either the Ethics Division or the IT Division of the SOS. Of that amount, 20 per cent need to have a new ID and Password; 50 per cent required assistance in adding a contributor and defining an expense; and 30 per cent do not know why their report has not shown up online. The major reason why the reports do not show up is because the candidate failed to submit the report to the system after the candidate printed the report to notarize and mail to the Ethics Division.

From the Ethics Division perspective, the amount of labor required to correct the incorrect filings and to assist candidates to file correctly is extreme and excessive. Because the system was delivered without any “administrative tools” to manage the system, the Ethics Division is constantly soliciting support from FileONE, Inc., in order to make these changes on a fee basis of \$175.00 per hour. These changes have averaged \$35,000 per year over the last 3 years. A partial list of administrative tools desired and lacking in the current system today would be:

- Ethics Administration ID and Passwords will automatically be allowed access to this link. No other ID's and Passwords will be allowed to use this link to administer the system.
- Create CFIS data extract files in the following formats: excel, txt., csv.
- Administration tool that allows Ethics Administration to reset passwords for any candidate.
- Administration tool to update the Standard Industry Code occupation list.
- Administration tool to update, add, delete, or change candidate races and expiration dates; to add offices; titles; districts as well as make modifications to these entries.
- Administration tool to allow Ethics Administration to configure automatic emails to be sent to users from within CFIS.
- Administrative tool to send a generated list of emails to PFRS customers: newsletter, instructions, accounts information.
- Administrative tool to convert a submitted report to another report. Example: 2008 annual report to a First Primary Report.
- Ability to delete reports incorrectly submitted.
- Ability to reorder the list of displayed reports by order of date or order of submission.
- Administration tool to reset the report dates and reporting periods for incorrectly submitted.
- Administrative tool to recreate images using the original submitted date.
- Administrative tool to move contributions from one report to another if incorrectly submitted.
- Administrative tool to make sure that reports and exception reports submitted electronically can be immediately viewed online.
- Update and amend help instructions for candidates and filers.

In order to upgrade this system to include this partial list of specifications for the Ethics Administration and to improve the flow and ergonomic functionality of the present system,

FileONE has provided an estimated cost of an additional \$400,000 in order provide these enhancements. Basically, we would have the same system design and the same system based upon the old Novell technology of SOSKB. Even FileONE has made to the recommendation that they would prefer to design, develop, and implement a new campaign finance system from scratch rather than continually upgrade a system that was poorly designed and inherently, lacking in performance, and capability.

The major reason why we are generating this request is because the Office of the Secretary of State wants to pursue a Campaign Finance Information Solution that will process 99 per cent of the campaign filings electronically and that will flow seamlessly with intuitive functionality for all campaign filers. In addition, in order to support the media, third party action groups, and the general public who wish to search filing information on either individual or global levels, a system is required that would integrate this flexibility and capability to suit many different requests currently received by the SOS. If the reader is currently aware of the magnitude of this issue, one only needs to attend the legislative session and listen to the discussion ensued by our State Legislators who despise this system. This discussion is also addressed in the press and by the media and makes for heated debate and dialogue. The issue is very political and cannot be ignored any longer by State Agencies and the legislature.

Our proposal includes:

- \$400,000 for the purchase of a new off the shelf campaign finance information system product, a non-recurring cost.
- \$400,000 for professional services from the vendor to perform the following functions, non-recurring cost:
  - 1000 hours of off-site customization
  - 480 hours of on-site requirements gathering including travel
  - 40 hours of on-site server setup including travel
  - 200 hours of off-site documentation development
  - 80 hours of on-site training including travel
  - 600 hours of off-site conversion effort
  - 840 hours of project management and functional lead support including travel
- \$80,000 on going expense for maintenance that will include new releases and a help desk, recurring annual cost.
- It is also estimated that \$200,000 in professional services be forecast for FY11 for additional enhancements to the system based upon one years of practical experience. This would be a non-recurring cost.

Since this Agency does not have an IT Division scaled to develop internal systems, it is believed and recommended that a product of this magnitude be acquired in the open market. Initial research indicates that there are several approaches available that once explored through the RFP



process, can be viable solutions to the State of New Mexico. We, therefore, strongly, recommend this approach in support of the State Department of Information Technology strategic directions for the following reasons:

- A new campaign finance information system would improve the delivery and management of business and IT services for all those participating in the campaign and political process for elected office.
- The new system would implement a more cost effective and efficient technology to improve the State IT infrastructure.
- The new system would improve the delivery of services to the citizens of the State of New Mexico with respect to campaign filings and researching campaign filing information.
- This system would be another step in the direction of developing an internet and technology based channel for the delivery of State information services.
- This system would improve the reliability, performance, and availability in the delivery of its services under which viable business continuity plans would be developed.

## **II. Business Problem and Opportunity**

In 2004, the SOS contracted with FileONE to provide a Personal Finance Reporting System to be used by all candidates for public office within the State of New Mexico. The System was delivered incomplete without any administrative tools to manage or change the system. Candidates since that time who have tried to use this system have been frustrated with its complexity; disgusted with its performance, reliability, and availability; and retarded by its inflexibility. In most cases the users of this system have opted for a hardship status to file with paper instead of electronically. Administratively, the SOS has to contract with FileONE for all changes to the system since the application was not delivered with any administrative tools. This is performed at the current rate of \$175 per hour and these changes are annualized at \$35,000 per year above and beyond the annual maintenance expense of \$100,000 per year. The SOS has no internal support capability. Migrating to a more robust application with another provider will eliminate the stranglehold that FileONE has upon this agency and allow the negotiation of a more beneficial agreement with a new vendor that will provide the capability and ongoing performance required to sustain this service to the people campaigning for public office. In selecting the new system we will involve members of the State Legislature and members of the media to provide input as to the requirements of the new system. This was not done in the past.

This problem presents a unique opportunity to the Office of the Secretary of State to better serve those citizens who campaign for public office and those individuals, actions groups and the media in order to investigate and review the data base submitted by those campaigning for public office. Many States, within the last 12 months, have begun to implement new systems procured on the open market to support campaign finance information reporting. States such as Connecticut, New Hampshire, Wisconsin, Arizona, and Tennessee have all made significant progress in the acquisition of new technology to satisfy this business requirement. New Mexico ranks way down in the list by the national Campaign Finance Information Center and the system has been rated as “poor”, nationally against what other States are providing to their users.

In lieu of a system upgrade to the present system, the opportunity exists to move to a new product that would provide enhanced functionality that would be allow a more intuitive and explorative use of the functions of a new system. Instead of spending \$400,000 to upgrade a “poor” system, the same money would be well spent bringing enhanced capability and a

technology more in the mainstream that would benefit and serve the State of New Mexico, those campaigning for public office and those who wish to research that data for investigative purposes. And, consequently, a new system, prudently chosen by those in the State Legislature and those in the media would mitigate the frustration and discussion concerning the filing of campaign finance information.

### **III. Proposed Project Objectives/Performance Metrics**

With the approval of funding, the proposed outcomes of this project are:

- Develop and open an RFP by 4/30/2009.
- Close RFP by 5/30/2009.
- Evaluation, interviews, recommendation and negotiation in concert with GSD by 6/30/2009.
- Complete contract by 7/30/2009.
- Initiate the installation, conversion and customization actions by 8/30/2009.
  - 1000 hours of off-site customization
  - 480 hours of on-site requirements gathering including travel
  - 40 hours of on-site server setup including travel
  - 200 hours of off-site documentation development
  - 80 hours of on-site training including travel
  - 600 hours of off-site conversion effort
  - 840 hours of project management and functional lead support including travel
- Complete the installation and customization activities by 12/30/2009.
- Education and training of State Legislators, potential candidates for public office and the media for research purposes by 2/28/2010.
- IV and V process 4/30/2010.
- First Filing by May 2010 to support the State Primary.
- Customer feedback by 5/30/2010

### **IV. Business Risks**

The major business risks are as follows:

- The SOS requires the funding in order to pursue this major project for this Agency and the citizens of the State of New Mexico. The SOS does not have either the business or IT staff to manage such a project with this kind of experience. Should the funding be denied or delayed, this will extenuate and compound the risk of providing services with an incomplete and ineffective system.
- Internal systems knowledge of the PFRS technical application is significantly limited because of the past reliance on FileONE for total support the system. The SOS relies completely upon FileONE for application, technical and maintenance support of the current PFRS system. Rejection of this recommendation will continue the SOS's dependence upon FileONE for what we can do, when we can do it and how we do what needs to be done. In other words, we will continue to be held hostage by FileONE for actions taken with respect to the current PFRS system at their rate of \$175.00 per hour.
- That a continuation of the present system into the 2010 Election Year will continually frustrate and alienate State of New Mexico elected officials and this will continually be posted in the media embarrassing Agency officials.
- That the new system selected will not be available to support the 2010 election year filings. Much has to be done and the processes that need to be followed all take time and effort in order to be completed under the scrutiny of State processes and procedures. Any

delays in the response to these processes, will consequently delay the implementation of the project. Most importantly, the process of education and training to filers who elect to avail themselves of this knowledge, is probably the most crucial aspect of the project plan. Although the current system is difficult to use, a little training would have gone a long way to help people through the process.

- Although there is a deep commitment from Madam Secretary and other members of the IT and Ethics Staff of the SOS, this commitment may not be as far reaching in other Agencies who need to support such an effort. We need the full support of DOIT, DFA and the LFC in order to have a successful project.
- Should the funding not be received to support this project, the results of not doing this project would be extremely political. The ramifications of continuing with the present system and not pursuing an improved solution will have a continued discussion in the next legislative session.
- The SOS is steadfast in its effort to ask for a new system to support the legislation and by doing so puts public its direction to correct a failing service. The risk of managing such a process is no less consequential but it moves from the Agency arena to that of the State Legislature and the Governor.
- In the process of acquiring a new system, the Office of the Secretary of State expects State Legislators to participate in this process. Failure to do so on their part will exclude their input into this process.

#### **V. Alternative Solutions**

Logically, there is only one alternative available as opposed to moving to a new system. And, that is to enhance the current system through a professional services contract with FileONE, Inc. This has been estimated to be \$400,000. This also will add, to the recurring and ongoing maintenance expense of the SOS, \$80,000 per year to support these system upgrades and enhancements. The total ongoing or re-curing maintenance costs would be \$180,000 per year for the PFRS system. However, this would be spending money on a system that already has a troubled past and adding revenue to a vendor who originally built a “poor” system. Why throw good money after bad and still end up with obsolete technology and functionality that has been view as failing by the constituents that have used this system. In addition, this would give good money to a vendor that failed to perform when the vendor was contracted to deliver a working system. Anything is possible, but this you would have to shake your head at.

That is why this office and its IT Division is requesting the funding to remedy four years of neglect on this issue. We feel that the proposal placed on the table is the most prudent business action to take. The status quo is simply unacceptable and does not even follow the strategic business direction as stated by the Department of Information Technology. We expect the support, and the funding of this project from DOIT and the other State Agencies in order to meet these objectives. Not to do so, challenges the creditability of the DOIT Strategic Plan and the ability of the State to work in concert with the Office of the Secretary of State, in trying to meet the Strategic Plan objectives and remedy a failing situation. It, simply, would be inconceivable to allow the Office of the Secretary of State to continue to operate with this unacceptable financial reporting system; the current vendor arrangement; and, should a failure of serious magnitude occur, the repercussions would have severe political consequences.

#### **VI. Cost Benefit Analysis**

Total Cost of Operations– The following estimated costs will apply:

- \$400,000 for the purchase of a new off the shelf campaign finance information system product, a non-recurring cost.
- \$400,000 for professional services from the vendor to perform the following functions, non-recurring cost:
  - 1000 hours of off-site customization
  - 480 hours of on-site requirements gathering including travel
  - 40 hours of on-site server setup including travel
  - 200 hours of off-site documentation development
  - 80 hours of on-site training including travel
  - 600 hours of off-site conversion effort
  - 840 hours of project management and functional lead support including travel
- \$80,000 on going expense for maintenance that will include new releases and a help desk, recurring annual cost.
- It is also estimated that \$200,000 in professional services be forecast for FY11 for additional enhancements to the system based upon one years of practical experience. This would be a non-recurring cost.
- Cost of professional services at \$125/hour versus \$175/hour eliminating \$60,000/year.
- Maintenance costs would be reduced by \$20,000 per year since the base maintenance rate for PFRS is \$100,000 per year as opposed to the projected \$80,000 maintenance cost for the new system.

**Benefits – Major benefits include:**

- For the Office of the Secretary of State - Gain control over this application by SOS Ethics Administration and IT personnel.
- Reduce Annual Maintenance Expense by \$20,000/year.
- For candidates running for public office - Provide an enhanced and easy to use Campaign Finance Information System for all candidates for public office. Provide easy search capabilities for the media.
- For the Office of the Secretary of State - Provide new technology and functional enhancements to reduce the effort to file campaign finance information with higher performance and availability without frustration.
- For Ethics Administration with the Office of the Secretary of State - A new campaign finance information system would improve the delivery and management of business and IT services for all those participating in the campaign and political process for elected office. This would improve workforce efficiency and enhance delivery of SOS support to the campaign finance reporting process.
- In support of the DOIT strategic plan - The new system would implement a more cost effective and efficient technology to improve the State IT infrastructure.
- In support of the DOIT strategic plan - The new system would improve the delivery of services to the citizens of the State of New Mexico with respect to campaign filings and researching campaign filing information.
- For the reputation of the State of New Mexico, the new financial system would be more favorably entertained by third party groups such as the Campaign Finance Information Center and Common Cause.

- For the press, the media, and individual citizens, the new system approach would provide more sophisticated research capabilities and allow the entire data base to be written in multiple file formats for distribution.
- For the press, the media, and individual citizens, the new system approach would allow the capture of more data electronically so that the vast majority of the data base would be searchable from filings being made.
- For the SOS IT and Ethics Administration Staff – reduce and minimize the chaos and anxiety to provide these business services with a system that is less confusing and more reliable.
- For the SOS IT and Ethics Administration, provide a process for disaster recovery and business continuity so that processing services can be restored in a timely fashion and restored without a loss of data creating a new level of customer satisfaction.

#### **VII. Recommendation**

The Secretary of State strongly recommends and supports the proposed project to implement a new campaign finance information system and replace the current Personal Finance Reporting System. Continuing on the present path provides not relief and continually enhancing a product that was delivered by a vendor that has a poor track record in delivering a quality system seems like a formula for failure rather than success. Quite a few states have already responded in 2007 and 2008 to the implementation of new campaign finance reporting systems. States like Connecticut, New Hampshire, Wisconsin, Tennessee, Arizona and most recently Colorado have all implemented alternatives to support this finance reporting process. It is now time for the State of New Mexico to remedy this failing situation, and to give its citizens the tools, technology and functionality it needs to support these reporting requirements in an easy user friendly manner that encourages electronic filing.

**FY10 Full Business Case - Replace all SOSKB Operational Applications**  
**[Secretary of State]                      [Insert Agency Priority - High]**

**I.        Executive Summary**

The purpose of this project is to replace all SOSKB operational applications including UCC Filings, Ag Liens, Trademarks, Appostilles, Partnerships, and Notary over a two year period. This will not only include the replacement of these applications but the replacement of associated hardware and associated software; the elimination of FileONE, as the primary maintenance provider to the SOS; a reduction of influence and monopoly which ES & S has over the SOS office since they own FileONE; and provide new technology, functional enhancements and access for customers of the SOS such as banks, financial institutions, and legal firms and individual citizens.

The SOSKB suite of applications was acquired in 2002 and installed in 2003 from the State of North Carolina who formed a consortium of states to support the operational and business functions of the Office of the Secretary of State. Along with the acquisition of this software, the New Mexico Office of the Secretary of State signed an agreement with Office Automated Solutions (now called FileONE, Inc.) to provide full maintenance and management of this software along with enhancement and upgrade support. OAS was formed by the employees who originally designed, developed, and implemented this system under the employ of the State of North Carolina and left to form their own company. In 2006, OAS was acquired by ES & S and its corporate business name was changed to FileONE, Inc. From the original installation and deployment in the New Mexico Office of the Secretary of State, FileONE has been the sole provider and sole source for maintenance, enhancements and upgrades.

Technologically, the system was built on technology of the 1990's. It is a DOS based system with a Novell front end programmed in COBOL. The system database, which is table driven, is all integrated so that should one piece of the system be corrupted, all of the applications are brought down and cannot function. At this juncture, errors occur weekly on this system and are reported to FileONE. In addition the hardware devices (the servers) are 5 to 9 years old. We recently experienced a major software problem with the UCC database that caused a disruption of service that lasted five business days which was compounded by a power supply failure of the server. Because the most recent file of the SOSKB database was corrupted, we were able to restore from the most recent backup within three business days of this failure and manually recovered the lost data. And, lastly, FileONE has recently announced that it will no longer support SOSKB after July 2009. It has taken this business direction because this company will be introducing a new product to support Secretary of State Operational functions on January 1, 2009. The New Mexico SOS will no longer have support on the currently installed SOSKB systems.

Our proposal includes the following steps:

- Replace all SOSKB operational applications over the next two years starting in July, 2009 for a total cost of \$2,000,000.
- It is recommended that the replacement of these applications be phased starting in 2009.

- That the proposed outcomes of this project are as follows:
  - RFP and install replacement for UCC and Ag Liens – 12/2009.
  - RFP and install replacement for Appostilles, Notary Trademarks, and Partnerships – 12/2010.
  - Ongoing Annual maintenance expense of \$200,000 per year progressively ramped at the end of the third year as opposed to the current expense of \$320,000 per year paid to FileONE for system maintenance.

Since this Agency does not have an IT Division scaled to develop internal systems, it is believed and recommended that these products be acquired in the open market. Initial research indicates that there are several approaches available that once explored through the RFP process, can be viable solutions to the State of New Mexico. We, therefore, strongly, recommend this approach in support of the State Department of Information Technology strategic directions for the following reasons:

- A new suite of SOS operational applications would improve the delivery and management of business and IT services for banks, financial institutions, and legal firms and individual citizens.
- The new system would implement a more cost effective and efficient technology to improve the State IT infrastructure.
- The new system would improve the delivery of services to the citizens of the State of New Mexico with respect to UCC Filings, Ag Liens, Trademarks, Appostilles, Partnerships, and Notary.
- This system would be another step in the direction of developing an internet and technology based channel for the delivery of State information services.
- This system would improve the reliability, performance, and availability in the delivery of its services under which viable business continuity plans would be developed.
- The SOS expects to diversify its vendor relationships through this process in order to prevent the monopolistic situation it has acquired in having ES & S and FileONE dictate its requirements to the SOS.

## **II. Business Problem and Opportunity**

The SOS has acquired these applications through a consortium of States developed by the State of North Carolina in 2002. The technology and the software are over 10 years old and are based on a Novell Platform with COBOL code. The applications and the server technology are beginning to fail and there is very little knowledgeable support available including within FileONE to help resolve problems and provide continuity of operation. FileONE is introducing a new product and has announced that it will no longer support these applications. The SOS has no internal support capability. Migrating to new technologies over the next three years will supercede this dependency and provide an opportunity to employ technologies and enhanced functionality to the public that the SOS supports.

In reviewing our current situation with other FileONE customers, we spoke, in March 2008, with a representative of each State to find out what the various options are for corporate filing systems and other operational areas. The summary of that investigation concluded that all 12 States that are using SOSKB are running on out of date systems and need to upgrade in the next few years.

These States include: Alaska, Georgia, Mississippi, Missouri, New Hampshire, New Mexico, Pennsylvania, Arkansas, North Carolina, Ohio and Oregon.

This problem presents a unique opportunity to the Office of the Secretary of State to better serve those citizens who are the recipients of these operational services along with banks, financial institutions and law firms. Many States, within the last 12 months, have begun or have implemented new systems either procured or built internally. Because of this strong activity towards the replacement of legacy systems, many new choices have emerged in the marketplace which has fostered creativity and increased competition. This will work to New Mexico's advantage in reviewing and negotiating the options that will be available as we move forward in this process.

The opportunity exists to move to a new set of products that would provide enhanced functionality allowing a more intuitive and explorative use of system functionality. By reviewing the marketplace, Office of the Secretary of State will have the opportunity explore multiple vendors and their product offerings. This will provide the opportunity to diversity the vendor relationships based upon the product offerings and leverage the "best of breed" by individual products most useful to the SOS operations.

### **III. Proposed Project Objectives/Performance Metrics**

The proposed outcomes of this project are:

- RFP and install replacement for UCC and Ag Liens – 12/2009.
- RFP by 12/2009 and install replacement for Appostilles Trademarks and Notary – 12/2010.
- RFP by 12/2009 and install replacement for Partnerships – 12/2010.

With the approval of funding, the proposed outcomes of this project for 2009 are as follows:

- Develop and open an RFP for UCC Filings and Ag Liens by 4/30/2009.
- Close the RFP by 5/30/2009.
- Evaluation, interview, recommendation and negotiation in concert with GSS by 6/30/2009.
- Complete contract by 7/30/2009.
- Initiate the installation, conversion and customization actions by 8/30/2009.
- Complete the installation and customization activities by 10/30/2009.
- Education and training of SOS operational personnel by 11/30/2009.
- Production by 12/01/2009.
- IV and V process by 2/28/2010.

### **IV. Business Risks**

The major business risks are as follows:

- SOS operational systems are over 10 years old, operating on aged technologies which are beginning to fail and causing extended outages with lost data and difficult recoveries. The last failure resulted in three days of lost data because of a corrupt file which had to be manually restored.
- Internal systems knowledge of the SOSKB applications is significantly limited because of the past reliance on FileONE for total support the system.



- Enhancements to these systems are expensive due to the fact that the SOS is held hostage by FileONE on developmental rates of \$175/hour.
- FileONE has already announced that it will be abandoning support of these systems because it will be introducing a new product to replace these systems in January 2009.
- The SOS requires the funding in order to pursue this major project for this Agency and the citizens of the State of New Mexico including the primary users who are banks, financial institutions, and law firms. The SOS does not have either the business or IT staff to manage such a project with this kind of experience. Should the funding be denied or delayed, this will extenuate and compound the risk of providing services with a problematic and deteriorating system.
- Internal systems knowledge of the SOSKB applications is significantly limited because of the past reliance on FileONE for total system support. The SOS relies completely upon FileONE for application, technical and maintenance support of the current SOSKB system. Rejection of this recommendation will continue the SOS's dependence upon FileONE for what we can do, when we can do it and how we do what needs to be done. In other words, we will continue to be held hostage by FileONE for actions taken with respect to the current PFRS system at their rate of \$175.00 per hour.
- That a continuation of the present SOSKB system into the 2010 will continue the risk of failure.
- That the new system selected will not be available to support SOS Operations until well into 2010. Much has to be done and the processes that need to be followed all take time and effort in order to be completed under the scrutiny of State processes and procedures. Any delays in the response to these processes, will consequently delay the implementation of the project. Most importantly, the process of education and training to SOS Operations is probably the most crucial aspect of the project plan.
- Although there is a deep commitment from Madam Secretary and other members of the IT and the Operations Staff of the SOS, this commitment may not be as far reaching in other Agencies who need to support such an effort. We need the full support of DOIT, DFA and the LFC in order to have a successful project.
- The SOS is steadfast in its effort to ask for a new system to support SOS Operations and by doing so puts public its direction to correct a necessary and revenue generating service. The risk of managing such a process, that is rapidly becoming obsolete and fraught with problems in providing reliable and accurate services to the public, is not a risk that needs to be taken.

#### **V. Alternative Solutions**

There are really three alternatives available to the Secretary of State: continue with the present system, (This is viewed as unacceptable as this project proposal has stated); develop internally, the basic system requirements and implement, (The IT staff is ill equipped to manage such a project with this kind of experience); or acquire, in the marketplace, competitive solutions that will solve these business issues. Logically, to acquire business solutions in the open market makes good business sense for the SOS because:

- It would provide the most expeditious business solution eliminating the difficulties of product development.
- It would provide a base vehicle which could be customized to the unique characteristics of the State of New Mexico.

- The acquisition of these applications would augment the IT staff capabilities. And the IT staff can take an active role in learning how to install and support these applications in order to derive self sufficiency.
- The SOS operations staff could play a major role in the customization of these products and finally have the product solution that they need to provide excellent service to their constituents. With SOSKB, they did not play any role in its evaluation or selection.
- The SOS will have the opportunity with the assistance of GSD to negotiate the following costs: acquisition, installation, customization, maintenance, and enhancements and to set a long term contract in place.
- The SOS will have unique opportunity to interview and speak to users of SOS operational products and learn from these States about their experiences in acquiring and operating the most current solutions in the marketplace.

#### **VI. Cost Benefit Analysis**

**Total Cost of Operations-** The following estimated costs will apply:

- The progressive implementation of systems at \$1,000,000 per year over two years for the purchase of these systems for a total cost of \$2,000,000, a non-recurring cost.
- Ongoing Annual maintenance expense of \$300,000 per year progressively ramped at the end of the third year as opposed to the current expense of \$320,000 per year paid to FileONE.

**Benefits – Major benefits include:**

- For the IT Division of the SOS - Gain control over these applications within the SOS
- For the Office of the Secretary of State - Reduce annual maintenance expense from \$320,000/year to \$300,000/year.
- For SOS Operations - Provide new technology and functional enhancements to financial institutions, law firms, and individuals providing notary functions within the State of New Mexico.
- For the Office of the Secretary of State and the State of New Mexico - Eliminate dependency upon FileONE; reduce ES & S revenue with the SOS and eliminate the monopoly that ES & S has with the Office of the Secretary of State.
- For the Office of the Secretary of State - Provide new technology and functional enhancements for SOS operational applications with higher performance and availability without the frustration of dealing with weekly disruptions to service.
- For SOS Operations within the Office of the Secretary of State - A new SOS operational system would improve the delivery and management of business and IT services for all those participating in UCC Filings, Ag Liens, Trademarks, Appostilles, Partnerships, and Notary. This would improve workforce efficiency and enhance delivery of SOS support in the day to day delivery of these services.
- In support of the DOIT strategic plan - The new system would implement a more cost effective and efficient technology to improve the State IT infrastructure.
- In support of the DOIT strategic plan - The new system would improve the delivery of services to the citizens of the State of New Mexico with respect to UCC Filings, Ag Liens, Trademarks, Appostilles, Partnerships, and Notary.

- For the SOS IT and SOS Operations Staff – reduce and minimize the chaos and anxiety to provide these business services with a system that is less confusing and more reliable.
- For the SOS IT and SOS Operations, provide a process for disaster recovery and business continuity so that processing services can be restored in a timely fashion and restored without a loss of data creating a new level of customer satisfaction.

#### **VII. Recommendation**

The Secretary of State strongly recommends and supports the proposed project to implement a new suite of SOS Operational applications replacing the current SOSKB System over the next two years. Continuing on the present path provides no relief to a product that has reliability and availability issues and that is maintained by a vendor that has a poor track record in delivering a quality system, seems like a formula for failure rather than success. In addition, FileONE has already announced that it is abandoning SOSKB maintenance in order to market and support its newly announced product suite.

Quite a few states have already responded in 2007 and 2008 to the implementation of new SOS Operational applications. States like Massachusetts, Rhode Island, Michigan, Colorado and Arizona have all recently implemented new SOS operational systems. And the present members of the SOSKB consortium are all looking to find alternatives and bail out of this system. It is now time for the State of New Mexico to remedy this current situation, and to give its citizens the tools, technology and functionality it needs to support these processing and service requirements in an easy user friendly manner.

**FY10 Full Business Case – Replace all SOS Server and Storage Capacity**  
**At 325 Don Gaspar, Santa Fe, NM 87503**  
**[Secretary of State]                      [Insert Agency Priority - High]**

**I.        Executive Summary**

The purpose of this project is replace all SOS server and storage capacity located in 325 Don Gaspar that are over five years old which are now supporting all of the current SOS operational systems including: UCC Filings, Notary, Trademarks, Ag Liens, Appostilles, Partnerships, the SOS website, Campaign Finance reporting, and general public information. In addition, it is intended that these new servers and storage devices will also serve as the base for the position of new replacement applications when the SOSKB applications are replaced by new application functionality over the next three years.

The SOS currently has installed 22 servers. Of the 22 servers, eleven (11) are over five (5) years old. Five (5) of the eleven (11) or 9 per cent of the total servers installed are over 7.2 years old. We have displayed a list of all of the SOS servers and their respective ages in order to illustrate this situation. Thirteen of these servers have no service remaining. Should deterioration and a hardware failure take place on any one of these servers, which is highly probable, the SOS would have to remedy this individual problem. Instead of responding randomly and waiting for the problem to occur, the SOS is actively pursuing a proactive management plan to replace all servers over five years and begin a maintenance plan that would protect the assets of the Office of the Secretary of State.

In addition, it is also intended that by increasing our availability and reliability of our technical base, that this Office would provide more consistent services to the public it serves including banks, financial institutions, law firms, political candidates, and the general public which utilizes the SOS website for general information, directions, election results, and voter balloting locations.

Just recently, the SOS experienced a major software problem with the UCC database that caused a disruption of service that lasted five business days which was compounded by a power supply failure of the server. Because the most recent file of the SOSKB database was corrupted, we were able to restore from the most recent backup within three business days of this failure and manually recovered the lost data. The server that was the host of this data base was over 7 years old. This server was recently replaced but the remaining applications of SOSKB are still resident on the older servers.

**Installed Servers in the Office of the Secretary of State**

	Today	07/16/08				
MFG	Service Tag	Server	Shipped	Age		
HP			5/10/2007	1.2	Years	Some Service
HP			5/10/2007	1.2	Years	Some Service
Dell	CS26C21	DNS2	1/26/2003		Years	No Service
Dell	DW04K81	NMWEBDB	9/23/2005	2.8	Years	101 days left
Dell	39D9MB1	NMSOSWEB	8/14/2006	1.9	Years	426 days left
Dell	3GMNB21	NMWEB1	1/24/2003		Years	No Service
Dell	2GMNB21	NMWEB2	1/24/2003		Years	No Service
Dell	5S26C21	NMDB1	1/25/2003		Years	No Service
Dell	5C21921	NMS1	1/13/2003		Years	No Service
Dell	7221921	NMS2	1/10/2003		Years	No Service
Dell	6VHMQG1	NMSOSDB	7/1/2008	0.0	Years	729 days left
Dell	0P741	SOSD	5/20/1999		Years	No Service
Dell	99597B1		6/27/2006	2.1	Years	345 days left
Dell	39D9MB1		8/14/2006	1.9	Years	393 days left
MFG	Service Tag	Server	Shipped	Age		
Dell	G40710B	SOSL	6/7/2000		Years	No Service
Dell	1DTU0	SOSF	6/30/1999		Years	No Service
HP	USM710025P	NMSOS-AD	5/10/2007	1.2	Years	Some Service
HP	USM7100250	Apache-WEB	5/10/2007	1.2	Years	
Dell	F3XYK01	NMUAT1	5/4/2001		Years	No Service
Dell	FYJJ981	KBTEST	8/28/2005	2.9	Years	No Service
Dell	HR14L01	NMPDC	5/9/2001		Years	No Service
Dell	69597B1	SOSBKP	6/27/2006	2.1	Years	345 days left
			Average	4.2	Years	
			50%	Over 5.5	Years	
			9%	Over7.2	Years	

Our proposal includes the following steps:

- Replace all SOS operational servers and data storage devices that are over five years old for a total cost of \$300,000 a non-recurring expense.
- It is recommended that the replacement project of these servers begin in March 2009 and be completed by 10/30/2009.
- That professional services be obtained from DOIT for \$25,000 to assist in the replacement and implementation of new servers and data storage devices working in tandem with the SOS IT Division. This is a non-recurring expense.
- That the proposed outcomes of this project are as follows:
  - Define, design, and plan each server replacement by 3/30/2009

- Put together a project plan for the entire replacement and purchase process by 4/30/2009 for the 11 servers.
- Obtain bids from State approved vendors for the purchase of the replacement servers and related storage by 5/30/2009.
- Begin receiving the new servers for installation and have the process for installation begin no later than 6/30/2009.
- Complete the last installation of the new servers by 10/30/2009.

We, therefore, strongly, recommend this approach in support of the State Department of Information Technology strategic directions for the following reasons:

- A new suite of SOS operational servers and data storage devices would improve the delivery and management of business and IT services for banks, financial institutions, and legal firms and individual citizens.
- The new servers and data storage devices would implement a more cost effective and efficient technology to improve the State IT infrastructure.
- The new system would improve the delivery of services to the citizens of the State of New Mexico with respect to UCC Filings, Ag Liens, Trademarks, Apostilles, Partnerships, Notary, the SOS website, Campaign Finance reporting, and general public information.
- These new servers and data storage devices would be another step in the direction of developing an improved internet and technology based channel for the delivery of State information services.
- These new servers and data storage devices would improve the reliability, performance, and availability in the delivery of SOS services under which viable business continuity plans would be developed.

## **II. Business Problem and Opportunity**

The current technology and the software is over 5 to 10 years old. The server technology is beginning to fail and the SOS has already experienced extended outages over its operational applications for periods up to 5 business days with multiple occurrences which inhibits internal SOS operational personnel from completing their job assignments. In addition, external customers such as financial institutions, banks, law firms and the general public and those who file campaign reporting information cannot enter data, submit reports, and retrieve information and cannot have access to the applications and the services the SOS provides via the Internet. The unique opportunity here is to begin this replacement providing a higher degree of equipment/technology availability and performance. And, as files are expanding, a basic requirement to provide increase storage capacity is also paramount so that systems will not come to a halt when files are full. Very simply put, the SOS has very old, very outdated servers and data storage devices installed. The Agency has not had the IT or Senior Management Leadership to put together a meaningful program of technology replacement and, has allowed the operation and application of its technology to deteriorate to a level where operational function is precarious. Madam Secretary and her Operational and IT leadership strongly support the replacement of the SOS server and data storage equipment as soon as possible.

## **III. Proposed Project Objectives/Performance Metrics**

The proposed outcomes of this project are:

- Define, design, and plan each server replacement by 3/30/2009
- Put together a project plan for the entire replacement and purchase process by 4/30/2009 for the 11 servers.
- Obtain bids from State approved vendors for the purchase of the replacement servers and related storage by 5/30/2009.
- Begin receiving the new servers for installation and have the process for installation begin no later than 6/30/2009.
- Complete the last installation of the new servers by 10/30/2009.

#### **IV. Business Risks**

The major business risks are as follows:

- Eleven of the SOS servers and data storage devices are over 5 years old, 5 of which are over 7 years old, operating on aged technologies which are beginning to fail and causing extended outages with lost data and difficult recoveries. The last failure resulted in an outage of five business days that included losing 3 days of business processing.
- That the individual servers will continually fail causing days of outage and a lack of service to internal SOS personnel and external users of our operational systems.
- That the media will have a field day in lambasting the Office of the Secretary of State describing its poor management of technology and not having a replacement strategy making a mockery of state government.
- That in order to recover this Agency will be placed in “react” mode rushing to find solutions that could have been managed in an orderly and controlled fashion thereby extending outages and losing business services to our constituents longer than necessary.
- The SOS requires the funding in order to pursue this major project for this Agency and the citizens of the State of New Mexico including the primary users who are banks, financial institutions, and law firms, campaign filers, and the general public. Should the funding be denied or delayed, this will extenuate and compound the risk of providing services with a problematic and deteriorating system.
- That a continuation of the present SOS servers and data storage devices into the 2010 will continue the risk increase the probability of failure.
- Although there is a deep commitment from Madam Secretary and other members of the IT and the Operations Staff of the SOS, this commitment may not be as far reaching in other Agencies who need to support such an effort. We need the full support of DOIT, DFA and the LFC in order to have a successful project.
- The SOS is steadfast in its effort to ask for a new servers and data storage devices to support SOS Operations and the public the SOS serves. The risk of managing such a process, that is rapidly becoming obsolete and fraught with problems in providing reliable and accurate services to the public, is not a risk that needs to be taken.

#### **V. Alternative Solutions**

There are really two alternatives available to the Secretary of State: continue with the present servers and data storage devices currently installed, (This is viewed as unacceptable as this project proposal has stated); or acquire, in the marketplace, competitive solutions of server and data storage technology that will solve these business issues. Logically, to acquire these technology solutions in the open market makes good business sense for the SOS because:



- With the support of DOIT professionals, the SOS IT Division can configure and order the appropriate replacement hardware and software and pursue an orderly and controlled installation plan.
- The process for the replacement of the antiquated server can begin and end in by 10/30/2009 and mitigate the risk of failure to the Agency.

The condition of servers and data storage devices that are over five years old within the Office of the Secretary of State demonstrates a very a poor and unsatisfactory status. The Office of the Secretary of State and its IT Divisions is simply under-prepared to deal with a major recovery situation due to hardware failure of these devices, let alone the software operating systems by which they are governed. That is why this office and its IT Division are requesting the funding to remedy years of neglect on this issue with a viable and manageable approach to replace this dated technology. We feel that the proposal placed on the table is the most prudent business action to take. The status quo is simply unacceptable and does not even follow the strategic business direction as stated by the Department of Information Technology. We expect the support, and the funding of this project from DOIT and the other State Agencies in order to meet these objectives. Not to do so, challenges the creditability of the DOIT Strategic Plan and the ability of the State to work in concert with the Office of the Secretary of State, in trying to meet the Strategic Plan objectives. It, simply, would be inconceivable to allow the Office of the Secretary of State to continue to operate with this daily risk and, should a failure of a serious magnitude occur, the repercussions would have serious political consequences.

#### **VI. Cost Benefit Analysis**

**Total Cost of Operations –** The following estimated costs will apply:

- \$300,000 for replacement servers, data storage, and software will apply on a one time basis as a non-recurring cost.
- Ongoing annual maintenance support of \$35,000 will be incorporated as a recurring cost on an annual basis which will be a recurring cost. The SOS administration does not intend to function without software and hardware maintenance as it did under the previous administration.
- A onetime cost of \$25,000 is requested to pay for professional services from the Department of Information Technology in order to have assistance with hardware and software configuration, installation planning and physical installation support.

**Benefits – Major benefits include:**

- For the SOS Administration and customers and constituents who utilize SOS services via the current SOSKB system and SOS website - progressive implementation of replacement servers, and data storage devices is a proactive strategy to eliminate downtime currently being experienced and provide a higher level of availability and performance as well as system reliability to SOS operational systems and customers.
- For the SOS IT Division – the replacement of this dated technology will reduce the threat of outages that corrupt the databases and extenuate the reconstruction of the data to bring current processing into force.
- For SOS Operations - Provide new technology and reliability to financial institutions, law firms, and individuals providing notary functions within the State of New Mexico.
- For the Office of the Secretary of State - Provide new technology and functional enhancements for SOS operational applications with higher performance and availability without the frustration of dealing with weekly disruptions to service.

- In support of the DOIT strategic plan - The new system would implement a more cost effective and efficient technology to improve the State IT infrastructure.
- In support of the DOIT strategic plan - The new system would improve the delivery of services to the citizens of the State of New Mexico with respect to UCC Filings, Ag Liens, Trademarks, Appostilles, Partnerships, and Notary.
- For the SOS IT and SOS Operations Staff – reduce and minimize the chaos and anxiety to provide these business services with a technology that is less confusing and more reliable.
- For the SOS IT and SOS Operations, provide a process for disaster recovery and business continuity so that processing services can be restored in a timely fashion and restored without a loss of data creating a new level of customer satisfaction.
- For other State Agencies such as the Courts, and MVD, it will provide a more responsive platform to continue business operations and to move data that is useful to these agencies.
- For SOS business operations – continue the operational business application streams with a minimum amount of disruption; shorten the inconvenience to constituent service times; improve customer satisfaction; and react faster to the changing business environment.

## **VII. Recommendation**

The Secretary of State strongly recommends and supports the proposed project to implement the replacement of all installed servers that are over five (5) years old in order to reduce the risk to this agency and promote the continuity of business operation while protecting the assets of this agency and the State. This project along with the acquisition of professional services to provide leadership and expertise is the most prudent course of action for this Office to take. Time is of the essence in order to begin protecting the assets of the Secretary of State along with the ability to resume business operations in an expeditious manner. We do not intend to re-invent the wheel, in this case, but to capitalize on the experiences of others in both the private and public section that will leverage the abilities of the new technologies available today. Delaying this action only puts this agency at considerable risk. There is really is no other alternative than to take positive, proactive action to properly manage this Agency's resources and for that we solicit your support.

**FY10 Full Business Case – Replace SOS Printers and PC's**  
**[Secretary of State]                      [Insert Agency Priority - High]**

**I.            Executive Summary**

The purpose of this project is to begin the planned replacement of all printers and personal computer workstations within the Office of the Secretary of State. The SOS has not invested in production printers in 8 years. It is intended to begin a program for printer replacement and also for the replacement of all personal computer workstations over the next two years. This request includes the replacement of 25 PC workstations during the next two years.

It is intended to replace all SOS printers and 25 PC workstations located in 325 Don Gaspar that are, on the average, over 8 years old which are now supporting all of the current SOS operational production systems including: UCC Filings, Notary, Trademarks, Ag Liens, Appostilles, Partnerships, the SOS website, Campaign Finance reporting, and general public information. In addition, it is intended that these new printers and workstations will also serve as the base for the position of new replacement applications when the SOSKB applications are replaced by new application functionality over the next three years.

The SOS currently has installed 32 production printers and 50 PC workstations. Of the 22 printers, eleven (15 ) are over eight (8) years old. All of these printers have no service contracts. Should deterioration and a hardware failure take place on any one of these printers, which is highly probable and happens often, the SOS remedies this individual problem by calling an outside vendor to investigate the failure, replace the failing component and restores the printer to normal functionality. Instead of responding randomly and waiting for the problem to occur, the SOS is actively pursuing a proactive management plan to replace all printers that are over five years old and begin a maintenance plan that would protect the assets of the Office of the Secretary of State. In addition, since the vast majority of workstations installed are over four years old and still functioning on the XP operating system, our current plan is to migrate to the Windows Vista operating system and be in position to support new application technology and services.

In addition, it is also intended that by increasing our availability and reliability of our production printers, that this Office would provide more consistent services to the public it serves including banks, financial institutions, law firms, political candidates, and the general public which utilizes the SOS website for general information, directions, election results, and voter balloting locations.

Our proposal includes the following steps:

- Replace all SOS operational production printers and 25 PC Workstations that are over five years old for a total cost of \$150,000 a non-recurring expense.
- It is recommended that the replacement project of these production printers and PC workstations begin in March 2009 and be completed by 08/30/2009.
- That the proposed outcomes of this project are as follows:
  - Define, design, and plan each printer and workstation replacement by 3/30/2009
  - Put together a project plan for the entire replacement and purchase process by 4/30/2009 for the production printers and 25 PC workstations.

- Obtain bids from State approved vendors for the purchase of the replacement printers and workstations by 5/30/2009.
- Begin receiving the new production printers for installation and have the process for installation begin no later than 6/30/2009.
- Complete the last installation of the new servers by 08/30/2009.

We, therefore, strongly, recommend this approach in support of the State Department of Information Technology strategic directions for the following reasons:

- A new suite of SOS operational production printers and 25 PC Workstations would improve the delivery and management of business and IT services for banks, financial institutions, and legal firms and individual citizens.
- The new production printers and the PC workstations would implement a more cost effective and efficient technology to improve the State IT infrastructure utilizing the latest Microsoft operating system technology.
- The new production printers and workstations would improve the delivery of services to the citizens of the State of New Mexico with respect to UCC Filings, Ag Liens, Trademarks, Appostilles, Partnerships, Notary, the SOS website, Campaign Finance reporting, and general public information.
- These new production printers and workstations would be another step in the direction of developing an improved internet and technology based channel for the delivery of State information services.
- These new production printers and workstations would improve the reliability, performance, and availability in the delivery of SOS services under which viable business continuity plans would be developed.

## **II. Business Problem and Opportunity**

The SOS has had most of its current production printer technology installed for over eight years. The cost of providing maintenance to these printers is almost equal to what it would cost to purchase a new printer. In addition, the bulk of the personal computer workstations are over 4 year's old and lacking sufficient memory, hard drive capacity and are operating on the Windows XP operating system. The unique opportunity being presented is to purchase or lease new production printers for the SOS and reduce the maintenance expense currently being expended on an annual basis to keep these printers in service. In addition, we are finding that these costs of repair are increasing due to the fact that replacement parts are becoming scarce. These production printers include not only the standard office printer but specialty printers which are used to generate GIS Maps for the Counties which outline voting districts and precincts.

Very simply put, the SOS has very old, very production printers and PC workstations installed. The Agency has not had the IT or Senior Management Leadership in the past to put together a meaningful program of technology replacement and, has allowed the technology installed to become obsolete and unreliable. The currently installed printer technology has been allowed to deteriorate to a level where operational function is precarious. Madam Secretary and her Operational and IT leadership strongly support the replacement of the SOS production printers and PC workstations as soon as possible.

## **III. Proposed Project Objectives/Performance Metrics**

That the proposed outcomes of this project are as follows:

- Define, design, and plan each printer and workstation replacement by 3/30/2009
- Put together a project plan for the entire replacement and purchase process by 4/30/2009 for the production printers and 25 PC workstations.
- Obtain bids from State approved vendors for the purchase of the replacement printers and workstations by 5/30/2009.
- Begin receiving the new production printers for installation and have the process for installation begin no later than 6/30/2009.
- Complete the last installation of the new servers by 08/30/2009.

#### **IV Business Risks**

The major business risks are as follows:

- All of the SOS production printers are over 8 years old, operating on aged technologies which are beginning to fail and causing extended outages with lost service to all administrative divisions within the SOS. The last failure resulted in an outage of five business days that included losing. One printer has been down for 3 months pending the new fiscal year so that the funds would be available to fix the printer.
- That the individual printers will continually fail causing days of outage and a lack of service to internal SOS personnel and external users of our operational systems.
- That the media will have a field day in lambasting the Office of the Secretary of State describing its poor management of technology and not having a replacement strategy making a mockery of state government.
- That in order to recover from failing printers, this Agency is placed in “react” mode in order to find solutions that could have been managed in an orderly and controlled fashion through extensive outages and elongating business services to our constituents longer than necessary.
- The SOS requires the funding in order to pursue this major project for this Agency and the citizens of the State of New Mexico including the primary users who are banks, financial institutions, and law firms, campaign filers, and the general public. Should the funding be denied or delayed, this will extenuate and compound the risk of providing services with a problematic and deteriorating group of printers and inadequate workstations.
- That a continuation of the present SOS production printers and PC workstations into the 2010 will increase the risk of failure as well as increase the amount expended on printer maintenance from outside services. In addition, as the printers further age, the ability to find replacement parts becomes more difficult and this further extends outages.
- Although there is a deep commitment from Madam Secretary and other members of the IT and the Operations Staff of the SOS, this commitment may not be as far reaching in other Agencies who need to support such an effort. We need the full support of DOIT, DFA and the LFC in order to have a successful project.
- The SOS is steadfast in its effort to ask for new production printers and workstations to support SOS administrative divisions and the constituents the SOS serves. The risk of managing such a process, that is rapidly becoming obsolete and fraught with problems in providing reliable and accurate services to the public, is not a risk that needs to be taken.

## **V. Alternative Solutions**

There are really two alternatives available to the Secretary of State: continue with the present production printers and workstations currently installed, (This is viewed as unacceptable as this project proposal has stated); or acquire, in the marketplace, competitive solutions of production printer and workstation technology that will solve these business issues. Logically, to acquire these technology solutions in the open market makes good business sense for the SOS because:

- With the support of the SOS IT Division, the SOS can configure and order the appropriate replacement production printers and workstations in pursuit of an orderly and controlled installation plan.
- The process for the replacement of the antiquated server can begin and end in by 10/30/2009 and mitigate the risk of failure to the Agency.

The condition of the production printers that are over eight years and the vast majority of PC workstations are over 4 years old within the Office of the Secretary of State demonstrates a very a poor and unsatisfactory status. The Office of the Secretary of State and its IT Division is simply under-prepared to deal with a major recovery situation due to hardware failure of these production printers. The only solution available is to call for repair and pay those rates for service. That is why this office and its IT Division are requesting the funding to remedy years of neglect on this issue with a viable and manageable approach to replace this dated technology. We feel that the proposal placed on the table is the most prudent business action to take. The status quo is simply unacceptable and does not even follow the strategic business direction as stated by the Department of Information Technology. We expect the support, and the funding of this project from DOIT and the other State Agencies in order to meet these objectives. Not to do so, challenges the creditability of the DOIT Strategic Plan and the ability of the State to work in concert with the Office of the Secretary of State, in trying to meet the Strategic Plan objectives. It, simply, would be inconceivable to allow the Office of the Secretary of State to continue to operate with this daily risk of lost service to its administrative staff and its constituents. Should a failure of a serious magnitude occur, the repercussions would have serious political consequences as this office is so visible to the public it serves.

## **VI. Cost Benefit Analysis**

Total Cost of Operations –The following estimated costs will apply:

- Printer replacement costs: \$100,000 a non-recurring cost.
- 25 Personal computer workstations and software: \$50,000, non-recurring cost.
- Annual maintenance for the newly installed production printers estimated to be \$35,000 per year as part of a maintenance contract from the vendor as a recurring annual cost.

b) Benefits – Major benefits include:

- For the SOS administrative divisions - Improving workforce efficiency and the ability to delivery timely results to constituents.
- For the SOS administrative divisions - This will reduce transaction processing time, improve response time, and reduce the cost of IT operations due to un-forecasted repair and maintenance expense.
- For the SOS administrative divisions - Increase printer and workstation reliability and stability and ongoing support costs.

- For the public that the SOS serves - Well performing equipment will shorten constituent service times, improve customer satisfaction and allow the SOS to react faster to business change.
- For the SOS IT Division – the replacement of this dated technology will reduce the threat of outages and reduce the interruptive maintenance expenses.
- For the SOS administrative divisions – the new PC workstations will provide more flexibility and capability as the SOS administrative divisions migrate to Windows Vista and new processing applications.
- In support of the DOIT strategic plan - The new system would implement a more cost effective and efficient technology to improve the State IT infrastructure.
- In support of the DOIT strategic plan - The new system would improve the delivery of services to the citizens of the State of New Mexico with respect to UCC Filings, Ag Liens, Trademarks, Appostilles, Partnerships, and Notary.
- For the SOS IT and SOS Operations Staff – reduce and minimize the chaos and anxiety to provide these business services with a technology that is less confusing and more reliable.
- For the SOS IT and SOS Operations, provide a process for disaster recovery and business continuity so that processing services can be restored in a timely fashion and restored without a loss of data creating a new level of customer satisfaction.
- For SOS business operations – continue the operational business application streams with a minimum amount of disruption; shorten the inconvenience to constituent service times; improve customer satisfaction; and react faster to the changing business environment.

#### **VII. Recommendation**

The Secretary of State strongly recommends and supports the proposed project to implement the replacement of all installed production printers that are over eight (8) years old in order to reduce the risk to this agency and promote the continuity of business operation while protecting the assets of this agency and the State. In addition, the Secretary of State would like to proactively pursue a PC Workstation plan that begins to replace all 50 PC workstations over the course of two years starting with 25 workstations in the FY10 plan. This would then position this Agency with the Microsoft Vista operating system on which all new applications for this office are based. This project is the most prudent course of action for this Office to take. Time is of the essence in order to begin protecting the assets of the Secretary of State along with the ability to resume business operations in an expeditious manner. We do not intend to re-invent the wheel, in this case, but to capitalize on the experiences of others in both the private and public section that will leverage the abilities of the new technologies available today with respect to the implementation of new production printing technologies and the incremental workstations. Delaying this action only puts this agency at considerable risk. There is really is no other alternative than to take positive, proactive action to properly manage this Agency's resources and for that we solicit your support.

**FY10 Full Business Case - Increment the Agency IT Division by one additional Staff**

**[Secretary of State]**

**[Insert Agency Priority - High]**

**I. Executive Summary**

The purpose of this request is to add one IT staff member. The IT staff is understaffed with respect to Agency application support and maintenance of the technical infrastructure of the SOS business environment. Proposed changes and upgrades to SOS operational Applications over the next three years, the implementation of the a full disaster recovery and business continuity plan, providing more direct IT customer service support to our State legislators and the public we serve, and taking more control over the internal applications of the SOS from a maintenance and enhancement position requires additional staffing. It is estimated that one additional staff member will cost \$87,000 per year including benefits.

Agency IT staff has been focused on implementation of the statewide voter registration and SOSKB since 2000. The voter registration system involves increased on-going responsibilities and workload for IT to ensure a stable environment. The SOS IT environment has suffered due to organizational changes and lack of manpower. It is critical that the IT Division be sufficiently staffed and cross trained to ensure legacy and strategic systems are managed on an on-going basis in order to properly administer, deploy and secure the Agency's IT assets. And, more and more, on a daily basis, the IT personnel interacts with the public assisting in the use of online applications and augmenting changes to support the increase of users and personnel outside the agency.

Current IT staff at the Office of the Secretary of State now consists of an IT Director, two Computer Specialists, and two IT Generalists and one IT Project Manager. One of the Computer Specialists runs the GIS system and works very closely with the Bureau of Elections. The Information Systems Department reports directly to the Deputy Secretary of State and the Secretary of State.

Title	Total Number of Staff
IT Director	1
Computer Specialist	2
IT Generalist	3
IT Project Manager(Open)	1

Our proposal to increment the SOS IT staff includes the following steps:

- Add one IT staff (IT Application Developer II, pay band 75 D10252) during FY10 at the rate of \$87,000 per year including salary and benefits, a recurring cost.



The major reason why the SOS is pursuing this recommendation to increase IT staff is as follows:

- The SOS IT division has not added one staff member since 2000. Since that time the workload has increased with the addition of VREMS management which involves support of the 33 Statewide Counties who use this system. In addition, SOSKB (2003), the SOS website (2005) and the PFRS (2004) systems were added without one addition to staff. Coupled with the day to day support activities of this office, and the myriad of projects that presented to SOS IT staff, there is a serious shortage of IT personnel. IT overtime expenses is a matter of reality and equivalent of one add to staff. Working extra hours during the week and on Saturdays and Sundays has become a matter of course for the IT organization. There are too many projects, too much to repair, too much replace, and too much do. The neglect of the past has caught up with SOS IT division and unless attention is brought to the many issues at hand, the technology deployed will come to a screeching halt and the SOS will be paralyzed.
- The FY10 Information Technology Plan is an opportunity to address many of the organizational, functional, and service issues of the Office of the Secretary of State as we move forward. For many years, many of these issues have been ignored and superseded by the focus upon VREMS and SOSKB. This plan has been the opportunity to raise the issues concerning 1) system maintenance costs; 2) upgrading VREMS capacity; 3) disaster recovery and business continuity issues; 4) replacing the failing PFRS system; 5) replacing the SOSKB system and updating applications; 6) replacing antiquated and problematic server and data storage technology; 7) replacing outdated and failing printer technology; and 8) increasing the IT staff to support all that has been stated and more.
- Traditionally, the Office of the Secretary of State has acquired through contract, professional services to augment voids in the SOS IT staff knowledge and experience base either to implement new technology, one time support, or provide consultative support by making recommendations on specific topics. Last year alone, the SOS expended over \$250,000 on this "professional services" support. And this knowledge and experience base walked away when the contract was concluded. If we had purchased permanent staff to provide this support, that staff would still be on board today and providing that experience for \$28.00 per hour instead of \$90.00 per hour. What this agency spends on "professional services" would cover all of the cost of adding one permanent staff to the IT division of the SOS and have money left over.
- One of the biggest business issues that we have faced with the implementation of SOSKB is contracting with FileONE for maintenance and enhancement support. This Agency and its IT division is totally dependent upon FileONE both of these services. Annual maintenance costs have escalated to \$320,000 per year for the SOSKB suite of products and FileONE charges \$175.00 per hour for enhancements to the system. The FY10 Information Technology Plan recommends the replacement of the SOSKB system over the next two (2) years and the PFRS system. It is planned that the incremental staff will become engaged with these products that are selected and begin to play an important role in maintaining as well as providing functional enhancements. This will mitigate the ongoing expense that is currently being spent to address current enhancement issues.
- In support of the Department of Information Technology strategic direction, the request for the incremental IT staff supports the requirement towards the development of an agile IT workforce as stated in the DOIT strategic plan, July 2008. It is intended that this

addition to the SOS IT staff will provide the needed flexibility and technology skills currently lacking within the present IT workforce of the SOS. As per the DOIT strategy, it is also intended that the work effort and direction of this incremental staff will “improve the delivery of services to the citizens of New Mexico.”

## **II. Business Problem and Opportunity**

The biggest problem facing the SOS IT division is the amount of work that there is to be done. It is very difficult with a staff of six (when we are fortunate enough to be fully staffed with competent people) to provide day-to-day support to this agency. And, now, with the thirty three New Mexico Counties, the staff and support required to provide the necessary IT operational support of software and hardware, fulfill the ever growing burden of reporting and paperwork, stay abreast of new technologies in the IT world, and move ahead on new projects, is stressing an already limited staff. Another slant on this is: the more IT technology we implement, the more there is to maintain, and the less time there is to move ahead along with monitoring and managing the performance and availability of the VREMS and SOS operational applications. Making that transition with the same staffing as we have had for years is a push. Complicating the problem of doing more and more with the same resources is the problems of hiring and maintaining competent IT staff members. Without a competent IT staff, nothing gets done. But the requests do not cease because there is not enough staff.

Both the LFC VREMS audit and the post implementation IV&V audit performed by Bency and Associates have underlined the critical need of additional FTE support for the VREMS project alone. These recommendations have never been acted upon. We now administer and support a statewide voter registration system with the same number of staff members that has traditionally supported just the Office of the Secretary of State. At this point, not everything is getting done. It is imperative that we have the support staff on a permanent basis of those positions recommended by this proposal.

Our proposal to increase IT staffing presents a unique opportunity to the SOS to better serve the State of New Mexico. The efforts of this additional staff will have a significant business impact upon the delivery of new and improved services in support of the SOS operational applications. Benefactors of this support such as internal SOS administrative personnel, and agencies external to the SOS such as banks, financial institutions, law firms, candidates for public office, and the general population of the State who vote, seek Appostilles, trademarks, partnerships, UCC Filings, Ag Liens, and who access the wide body of information provided by the SOS website, will find hard evidence of the contributions made by these additions to staff.

In addition, the permanent acquisition of these additions to the SOS IT division will have a long term impact upon the “professional services” budget as well as the ongoing maintenance budget of the SOS. It is intended that future maintenance of the newly acquired products to replace SOSKB and PFRS will be handled by the IT division thus making an impressive dent into the current maintenance costs associated with these applications. Furthermore, it is intended to put together an annual enhancement plan associated with these new products so that these products can be enhanced with new functionality as dictated by SOS operational and business requirements.

### **III. Proposed Project Objectives/Performance Metrics**

With the approval of funding, the proposed recommendations of this project for 2009 are as follows:

- Add one IT staff (IT Application Developer II, pay band 75 D10252) during FY10 at the rate of \$87,000 per year including salary and benefits, a recurring cost.

### **IV. Business Risks**

The major business risks are as follows:

- That the expectations placed upon the current IT staff will continually to grow faster than the ability of this group of technology professionals can deliver. This will not only cause frustration among the SOS administrative staff but also to the SOS IT division. This can and will result in IT staff turnover which will shrink the talent available to support the ongoing workload and can place added risk to the delivery of the projects pending within the organization.
- Should the current IT division remain static and not grow, the SOS will have to supplement this staff with outside “professional services”. These services will cost from \$90 to \$125 per hour. This will stretch this agencies financial position when the simple additions to staff would have cost \$28.00 per hour. And when the professional services contract is completed, the knowledge and experience will leave with it.
- Overtime expense will continually to grow as longer days will become the norm and Saturdays and Sundays will have to be used to support this Agency’s activities.
- If this Agency, the SOS, does not develop the internal IT support for the applications it requires to operate to serve its constituents, then this Agency will become trapped again just like it is today with FileONE in supporting SOSKB. It will be restricted in terms of what it can do, when it can do it, how it can be done, and subject to the charges in excess of \$175 per hour for work that should be done for less. And, again, this Agency will be held hostage and subject to the terms and agreements dictated by an outside vendor. This is not fair to this Agency and certainly not fair to the people of the State of New Mexico.

### **V. Alternative Solutions**

There are really only two alternatives available today: maintain the status quo of the current staff and continually purchase “professional services on the outside market; or increment the SOS IT staff by one IT professional.

If the SOS hired three (3) contractors under a professional services agreement for one full year at the optimistic rate of \$90.00 per hour, and each contractor worked forty hours per week for 52 weeks, the weekly rate would be \$10,800.00 per week. This translates into \$561,600.00 per year. Contrast this with one full time employees with the SOS for a total salary of \$87,000 per year. And, the knowledge and experience base stays within the SOS and does not leave.

Incrementing the SOS IT staff provides additional flexibility that cannot be obtained through professional services contracts that specific in nature. As needs require and changes are incurred to the business environment, internal SOS IT staff have the mobility to adapt, improvise and overcome many challenges that matriculate within the SOS business environment.

#### **VI. Cost Benefit Analysis**

Total Cost of Operations- The following estimated costs will apply:

- Add one IT staff (IT Application Developer II, pay band 75 D10252) during FY10 at the rate of \$87,000 per year including salary and benefits, a recurring cost.

Benefits – Major benefits include:

- For the IT Division of the SOS - Gain control over the new applications within the SOS that will be installed to replace outdated technology.
- For the Office of the Secretary of State - Reduce annual maintenance expenses that it pays for the maintenance of business applications to outside vendors such as FileONE.
- For SOS Operations – Provide internal IT staff that can be deployed to solve problems and provide enhancements to operational applications.
- For the Office of the Secretary of State and the State of New Mexico - Eliminate dependency upon external vendors; reduce ES & S revenue with the SOS and eliminate the monopoly that ES & S has with the Office of the Secretary of State.
- For the Office of the Secretary of State - Provide new technology and functional enhancements for SOS operational applications with higher performance and availability without the frustration of negotiating for enhancements to service.
- For SOS Operations within the Office of the Secretary of State – The additional SOS IT staff would improve the delivery and management of business and IT services for all those participating in UCC Filings, Ag Liens, Trademarks, Appostilles, Partnerships, and Notary. This would improve workforce efficiency and enhance delivery of SOS support in the day to day delivery of these services.
- In support of the DOIT strategic plan - The additions to IT staff would contribute to the formation of a more agile and flexible IT forces; and a more cost effective and efficient way to provide maintenance and enhancement services.
- In support of the DOIT strategic plan - The new system would improve the delivery of services to the citizens of the State of New Mexico with respect to UCC Filings, Ag Liens, Trademarks, Appostilles, Partnerships, and Notary, the SOS website, and the filing of campaign information by candidates for public office.
- For the SOS IT and SOS Operations Staff – reduce and minimize the chaos and anxiety to provide these business services with a system that is less confusing and more reliable.
- For the SOS IT and SOS Operations, provide a process for disaster recovery and business continuity so that processing services can be restored in a timely fashion and restored without a loss of data creating a new level of customer satisfaction.

And this would allow the SOS to manage this process more consistently as changes occur to the processing environment.

- For the SOS IT division, this will allow the organization to better manage its workload and business requirement as well as evenly distribute this workload among the members of the IT team.
- For the SOS IT division, the additional staff will mitigate the opportunity of for overtime expense to the agency and should overtime be required to support election processing, this allow a more equitable distribution of that overtime workload.

#### **VII. Recommendation**

The Secretary of State strongly recommends and supports the recommendation to increment the SOS IT division by one additional staff. The Secretary of State fully realizes that the success of the Office of the Secretary of State in providing services to the citizens of the State of New Mexico, the 33 Counties and the various Agencies who depend upon the information provided is based upon what information technology can do in driving the delivery of those services. Information and the ability to extract, report, and analyze this information to support services and decisions is the foundation on which this Agency is being built. While the requirements and the need for these services becomes more critical, the SOS IT division must be positioned with the appropriate people resources it can acquire to support the extensive requirements of the Office of the Secretary of States over the next five years.