

Report Title: 2020 - 2022 IT Strategic Plan

Agency: 152 Department of Treasury (TD)

Date: 6/5/2020

Current Operational IT Investments

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

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

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

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

Are there existing IT investments that will require additional funding over the next year to 6 years, such as license renewals, re-competition of current IT contracts, or system enhancements required by the Agency Strategic Plan?

Treasury has submitted the applicable Budget Decision Packages for FY21 and FY 22 and have been appropriated funding (pending budget signature) as such for the new Unclaimed Property System, The replacement of legacy APS2 (Investment and Accounting System), a new Risk Management System (FY22) and an internal development of a current manual Bond Requisition Management System. All funding requests have been submitted and are noted in the Agency Strategic Plan.

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

The current APS2 system, which does not meet ECOS compliance has a corresponding budget decision package and appropriated funding approval pending budget signature, however, with the risk of not receiving final budget approval, we have sought and received VITA SCM approval to renew this vendor contract via a sole source for 2 years if needed. The renewal will be requested unless funding is not secured.

We have recently learned that Xerox will can no longer renew support for our specialized Check Processing Printers (2) due to lack of part availability. The current maintenance agreement ends in June. Treasury has 2 redundant check printers as well as a facility in PA which can be utilized to print checks if needed. See below. We are working with Xerox to estimate replacement costs.

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

The FY21-FY22 Budget decision packages did include appropriations for an additional IT FTE. In addition, the Agency has hired an IT Director, for which, the position was vacant for 9+ months.

Current Investments.

In preparation for EO19, TRS has virtualized all servers. There are 2 physical servers that provide our data analytics that have corresponding new virtual servers we plan to have in production by June of 2020. This correlates with the Cloud Readiness Assessments. DMND0002513 is in Project implementation phase to create virtual servers to replace the current QLIK physical servers. There are no funding constraints currently for the VITA services.

While the Unclaimed Property TUPS is referenced in as a BReT, this system will be replaced in FY21 under a competitive RFP for a managed SaaS solution. While this is funded entirely with non-general funds, the Treasurer will be meeting with the Secretary of Finance in the upcoming weeks to validate funding approval before the RFP is released.

While we have noted Check Processing Software Upgrade BrT, no action has been taken on this existing service based on the dependencies it may have with the production check processing system. The contract for the Check Printers expires in June of 2020 and we have been informed by Xerox that this cannot be renewed due to lack of support for parts. While the Agency has the budget accounted for the annual maintenance agreements, if the replacement specialized check printers are over the cost of the current maintenance, we will need to seek additional funding sources. Treasury is meeting with Xerox to determine options as these services can be procured from the Xerox managed print services contract (Non VITA MPS).

BReT - Check Processing Standardization has been closed and archived by VITA PMD.

The BReT - Click and Claim System Enhancements will not have any active work being performed pending submission of an RFP to replace our Unclaimed Property System. This functionality would be included in the future replacement.

Our existing Data Analytics, Dashboard Reporting System tool is a product called QLIK, this is under normal maintenance with no new initiatives currently being planned outside of normal contract/service renewals.

BReT - Database Server Modernization has been requested to be closed and archived as this project is complete.

BReT - Frontier Bank Reconciliation Software Upgrade Treasury is currently reviewing the cost and analysis of renewing our current annual agreement for our Bank Reconciliation Software called Frontier (by FISERV). This is an on premise solution hosted on a single VITA managed virtual server. The annual maintenance is approximately 22K per year. The SaaS alternative support costs accounting for no longer needing the VITA server would be close to the existing costs, however, there are existing external dependencies, macro's etc.. that exist outside of the current version that are complex and would need to be accounted for before we decide to migrate to a SaaS based model or stay on-prem. We plan to renew the existing maintenance in FY20 which comes up in Feb of 2021. If we decide to migrate to a SaaS solution, the vendor, FISERV will credit us for remaining months on the maintenance agreement.

The BReT - Funds Management System, is still an active project. While we completed the major release this year, we are making minor enhancements via internal resources in an agile approach based upon customer priority.

The BReT - PaperVision Upgrade and Expansion is an active project for which we are planning using internal resources. The COTS upgrade is being pushed back to after June 10 due to COVID-19 and the need to be onsite to configure end-user computers.

The BReT - Security for Public Deposits Act (SPDA) is currently a small initiative currently underway with internal resources. The target is to close this out this fiscal year.

The BReT - Server Operating System Modernization has been requested to be closed/archived as TRS has no Server 2008 operating system servers.

The BRT - BReT - Virginia Agency Property System Update, will remain active until the approved BRnT to replace our existing Risk Management Systems (FY22) has started. TRS has submitted VITA Security Exception as this application is

utilizing an older version of TLS.

Factors Impacting the Current IT

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

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

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

Agency staff are assigned to support EO19, notably the transition of services to the new Data Center. Treasury is scheduled to move October 2nd-October 4th. This effort may affect other IT efforts or project timelines. There is no funding specific to agency planning and testing for this initiative.

IBM Mainframe: Treasury still has a Bank Recon dependency on the IBM Mainframe, which will need to be migrated and tested during this transition. This represents the last dependency Treasury has on the IBM Mainframe and are targeting to have this completed within FY20. No special funding is required for this effort.

Cloud Computing, The agency will begin using more cloud-based services aligning with Executive Order #19 including hosting of data and applications as more and more vendors support this model and phase out traditional services. Treasury is evaluating specific current legacy systems for potential cloud based solutions including Civitas/VAPS/VACCS, APS2 and TUPS/Click and Claim. Review of other in-house systems will follow. We have received appropriations to transition the above applications to SaaS models, however, due to COVID-19, the budget is being re-evaluated at the time of this writing.

Treasury currently utilizes two physical servers due to commercial off-the-shelf (COTS) software requirements. These servers support a product called QLIK we use for our dashboards and data analytics. We have replacement virtual servers and target to have this completed within FY20. Supplemental financial support was awarded to TRS for EO19 impact which included this effort. Treasury has not determined as of this writing if we will accept all funding or partial amounts.

Internet Utilization: The agency is consistently moving away from the traditional client/server system architecture to internet and web based solutions. There will likely be an increased need over the next several years for internet based solutions hosted at a shared data center, as well as cloud based locations. Overall, there will likely be an increase in internet utilization and a need for additional internet network bandwidth.

NACHA, The National Automated Clearing House Association that manages the development, administration, and governance of the ACH Network, the backbone for the electronic movement of money and data in the United States, has issued new security requirements that ACH data or data that contains bank account information be ?unreadable at rest?. Treasury is in the process of transitioning our SQL Server databases to TDE Encryption and will be subscribing to the VITA Encrypted NAS services for open file system encryption. The funding impact is minimal and can be absorbed by Treasury.

Proposed IT Solutions

In this section, describe the high-level strategy the agency will use to initiate new IT investments over the next year to 5 years in support of the agency strategic objectives documented in your Agency Strategic Plan. The agency does not need to consider specific technologies at this time, however, the strategy should identify how the IT implementation will provide business value to the organization. This section should align with identified Business Requirements for New Technology (BRnTs). At minimum, please address the following questions in your description of your agency's strategy for initiating new IT investments:

What are the most important solutions, based on the priority assigned to the requirements by the business sponsors

in your agency, and what is the approach to achieving these priority solutions?

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

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

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

Proposed IT Solutions

The BRnTs mentioned below will be considered for internal development or procurement that will utilize a cloud environment per the Executive Order #19.

Information Technology Management Suite (BRnT) (Operational Efficiency), An information technology management system that will assist in the overall management of Information Technology resources consisting of account management, equipment inventory, software inventory, reporting, project and change management modules. The new system would replace the existing standalone Centralized Access Database (CAD) account management system and Workspaces, the Information Systems project and documentation system. A new integrated system will bring operational efficiencies and improve security within the agency, decrease error rates with account management, and overall reduce ongoing operational costs. As priorities change, the Agency will evaluate funding opportunities to support internal IT investments.

VACCS, VAPS and CITIVAS are three separate systems developed in house nearly 20 years ago. Additionally, with recent staffing changes Treasury does not have any on-site staff with IT experience in those systems, making enhancements or maintenance very challenging. Replacement of those legacy systems by one integrated system will bring operational efficiencies by centralizing member data, accounts, and system administration in one system. Migration to a web platform from a Windows platform should improve system maintainability and accessibility. Both property repositories (VAPS, VACCS) are self-populated by agencies, and a new system would have annual compliance procedures built-in to the system. Workflow improvements, a systematic ability to require secondary approvals for large claims and a linkage between the claims and payments systems are all desired improvements. Finally, a new system would improve overall reporting and analytics and allow for a complete and thorough business analysis of department operations to improve productivity. This would significantly improve DRM's ability to produce quality and more timely reports for the actuary thus facilitating Treasury's ability to meet state budget deadlines.

Bond Requisition Processing and Tracking (BRnT) (Operational Efficiency, Constituent Service, Strategic Alignment), Operations Trust Accounting manages multiple complex bond programs which are currently being tracked manually using Microsoft Excel. Treasury is required to process requisitions daily using paper documents, copy these documents and enter the information into multiple spreadsheets. Partner agencies are required to use wet signatures on requisition forms and deliver them to Treasury. A new electronic system is required that allows the Treasury to more easily manage the bond requisitions and includes workflow, electronic document storage and electronic signatures. While no funding has been specifically appropriated for this effort, Treasury will attempt to balance existing resources in-house.

Electronic Signatures (BRnT) (Operational Efficiency, Constituent Service, Strategic Alignment), Treasury has identified the need for electronic or digital signatures to support improvements in several divisions, systems and processes. Ideally, the agency will utilize an enterprise solution but individual departmental requirements must be managed and prioritized. This has low impact risk to the Agency. In addition with the transition to other SaaS services, we will review Electronic Signature services within their offering in addition to proposed Electronic Signature (Future) from VITA.

Cash Concentration (BRnT) (Operational Efficiency), Currently the Cash Concentration application is utilizing a VPN tunnel to Suntrust's mainframe. This process needs to be updated to use newer, more secure, standardized technology. There is currently no funding to support this effort, however, the Agency is pursuing efforts to establish a direct connection to Suntrust without the need to traverse the VITA mainframe as a VPN endpoint during FY21/22.

The existing Treasury investment accounting system (APS2) is not ECOS compliant and current the contract that expires in July of 2021 cannot be renewed. In an effort to modernize this system while complying with EO19, Treasury will be requesting a managed/SaaS solution via RFP. Funding is expected to be appropriated for this effort.

Operations Bank Recon Stop Payment Process (BRnT) (Operational Efficiency, Constituent Service), Operations, Bank Recon, has identified the need for a web interface to improve the integration with DOA Cardinal and banks. There is currently no funding to support this effort, however this is low risk, low priority.

Human Resources Electronic On boarding (BRnT) (Operational Efficiency), Human Resources has identified the need for electronic on-boarding of new employees. There is currently no funding to support this effort, however, this is a limited risk. The agency will continue to review COTS solutions.

Report Title: IT Strategic Plan Budget Tables

Agency: 152 Department of Treasury (TD)

Date: 6/5/2020

Current IT Services				
	Costs Year 1		Costs Year 2	
Category	GF	NGF	GF	NGF
Projected Service Fees	\$403,716.44	\$605,574.66	\$415,827.93	\$623,741.90
VITA Infrastructure Changes	\$0.00	\$0.00	\$0.00	\$0.00
Estimated VITA Infrastructure	\$403,716.44	\$605,574.66	\$415,827.93	\$623,741.90
Specialized Infrastructure	\$86,537.00	\$34,841.00	\$86,537.00	\$34,841.00
Agency IT Staff	\$101,046.00	\$1,028,333.00	\$101,046.00	\$1,028,333.00
Non-agency IT Staff	\$0.00	\$195,000.00	\$0.00	\$0.00
Cloud Computing Service	\$0.00	\$0.00	\$0.00	\$0.00
Other Application Costs	\$51,737.00	\$79,383.00	\$51,737.00	\$79,383.00
Total	\$643,036.44	\$1,943,131.66	\$655,147.93	\$1,766,298.90
Proposed IT Investments				
	Costs Year 1		Costs Year 2	
Category	GF	NGF	GF	NGF
Major IT Projects	\$0.00	\$0.00	\$0.00	\$0.00
Non-Major IT Projects	\$0.00	\$0.00	\$0.00	\$0.00
Agency-Level IT Projects	\$134,177.00	\$0.00	\$146,374.00	\$0.00
Major Stand Alone IT Procurements	\$0.00	\$0.00	\$0.00	\$0.00
Non-Major Stand Alone IT Procurements	\$0.00	\$120,000.00	\$0.00	\$120,000.00
Agency-Level Stand Alone IT Procurements	\$349,000.00	\$755,000.00	\$174,000.00	\$865,000.00
Procurement Adjustment for Staffing	\$0.00	\$0.00	\$0.00	\$0.00
Total	\$483,177.00	\$875,000.00	\$320,374.00	\$985,000.00
Projected Total IT Budget				
	Costs Year 1		Costs Year 2	
Category	GF	NGF	GF	NGF
Current IT Services	\$643,036.44	\$1,943,131.66	\$655,147.93	\$1,766,298.90
Proposed IT Investments	\$483,177.00	\$875,000.00	\$320,374.00	\$985,000.00
Total	\$1,126,213.44	\$2,818,131.66	\$975,521.93	\$2,751,298.90

Report Title: Business Requirements For Technology

Agency: 152 Department of Treasury (TD)

Date: 6/5/2020

152 TD BRet Cloud Readiness Assessment Qlik	
BRT Type:	Business Requirement for Existing Technology
Date Submitted:	5/30/2020
Mandate:	Yes
Mission Critical:	Yes
Description:	
<p>Governor Ralph Northam's "Executive Order 19: Cloud Service Utilization and Readiness" requires agencies to take specific actions starting this month and continuing through fall 2019.</p> <p>The order requires VITA to adopt a model for evaluating and incorporating cloud services into the commonwealth's information technology (IT) strategy and services. VITA has:</p> <ul style="list-style-type: none"> Started the process of creating a cloud services model Begun obtaining information about agency systems that can be migrated to a cloud environment Provided an overview of the process at the recent agency information technology resources (AITR) meeting Planned additional announcements to AITRs regarding remaining steps Included cloud-related services and migration to the new data center in the recently awarded infrastructure contracts <p>Additionally, VITA and all systems must move from the Commonwealth Enterprise Solutions Center (CESC) in Chester by December of 2021. One related strategy is to reduce the number of physical servers at CESC to prepare for the move. This means migration to the cloud must be completed by that time. It is imperative to start planning now. Agencies' IT staff members have been asked to complete cloud assessments and should be using the results to identify resource requirements. VITA encourages agencies to evaluate their resources and discuss resource planning with the appropriate financial staff to ensure work can begin as required. Resource needs should be included requests in the upcoming budget cycle. enabled, VITA will</p> <p>To identify which existing solutions can be migrated to the cloud and ensure all new IT solutions proposed be cloud- issue a hosting standard in the coming weeks. This standard will define terminology and identify requirements agencies must consider when implementing cloud-based IT solutions.</p> <p>DMND0002513 is in Project implementation phase to create virtual servers to replace the current QLIK physical servers.</p>	
152 TD BRet Custodial Services for Unclaimed Property TUPS	
BRT Type:	Business Requirement for Existing Technology
Date Submitted:	4/26/2019
Mandate:	No
Mission Critical:	No
Description:	
<p>The Treasury Unclaimed Property division utilizes a third party vendor (currently Bloomberg) for custodial data services. This service, Bloomberg Data Service ("Per Security"), currently provides daily stock calculation information to Treasury via secure file transmission. In order to perform these calculations, TUPS (Treasury Unclaimed Property System) interacts each day with Per Security, this interaction was created within TUPS to bridge from Bloomberg to TUPS data. The calculation determines how much stock property and cash are paid to claimants. TUPS also supports tracking manual corporate action verification, so that calculation reviewers can see when they might need to double check a corporate action, and flag it as reviewed when it checks out. The current contract with Bloomberg expires on June 30, 2020 with 1 year renewals; Treasury must renew the custodial data services contract for TUPS and will be issuing a Request for Proposals for this purpose. Due to the complex nature of the data involved, differences between vendors and the integration of this service with TUPS, awarding the contract to a new vendor will require the agency to initiate a software development effort. The scope of the development effort could reach "project" levels with as much as 6 months of development time required utilizing the support of existing contract and agency IT development staff.</p>	
BReT - Check Processing Software Upgrade	

BRT Type:	Business Requirement for Existing Technology
Date Submitted:	8/30/2019
Mandate:	No
Mission Critical:	Yes

Description:

The Check Processing system provides agencies the ability to print checks through a shared service. The system requires modernization (eD2 software), which will increase security and manageability, as well-improved disaster recovery integration, decreasing recovery time during a disaster event.

Some items are:

Cardinal Human Capital Management

Continued Check Standardization (2 agencies)

Streamline Check-Issued System process between Check Processing and OPS

BReT - Click and Claim System Enhancements

BRT Type:	Business Requirement for Existing Technology
Date Submitted:	8/30/2019
Mandate:	No
Mission Critical:	No

Description:

To improve constituent service, the Unclaimed Property Division (UCP) should expand the functionality of the Click and Claim web application, which allows the rightful owners of unclaimed accounts to search and claim accounts reported to the Division. UCP needs to upgrade existing technology and functionality to provide for a mobile version of Click & Claim and Click & Report programs. UCP needs to enhance the functionality in the Click & Claim and Click & Report processes to allow claimants to upload completed electronically signed forms and supporting documentation, which will result in decreased processing time for claims. Integrate the system with an identity validation service - improving claim processing timeframes. Treasury is also in the process of reviewing a next generation unclaimed property management cloud-based third-party solution that is in use by 25 states for unclaimed property business process. This approach is in keeping with Executive Order 19 and could provide many significant immediate functional enhancements and customer service benefits. Non-General funds are available for these enhancements.

BReT - Dashboard Reporting System

BRT Type:	Business Requirement for New Technology
Date Submitted:	8/29/2019
Mandate:	No
Mission Critical:	No

Description:

The Dashboard Reporting System (Qlik) allows management to integrate, gather, present, and analyze internal and external data from disparate sources. The Data Dashboard aligns with Executive Directive #7, which requires agencies to leverage the use of shared data, "open" data, and analytics. Treasury intends to expand the usage and adoption of Qlik throughout the biennium. Treasury currently utilizes two physical servers due to the commercial off-the-shelf (COTS) software requirements. Communication with the vendor on whether the software can be virtualized will have to be discussed.

BReT - Frontier Bank Reconciliation Software Upgrade

BRT Type:	Business Requirement for Existing Technology
Date Submitted:	8/25/2019

Mandate:	No
Mission Critical:	Yes
Description:	
The Frontier bank reconciliation software needs to be upgraded to a newer release to resolve a current bug in the commercial off-the-shelf (COTS) software.	
BReT - Funds Management System	
BRT Type:	Business Requirement for Existing Technology
Date Submitted:	9/28/2019
Mandate:	No
Mission Critical:	No
Description:	
<p>The Department of the Treasury will need to add additional features and enhancements to the Funds Management System, which improves integration with our customers and other departments with the agency. These enhancements will build on work that has already been completed over the last year. Some items are:</p> <p>Banking</p> <p>Banking Administration</p> <p>Bank Services</p> <p>Investments</p> <p>Unit Certification (audit item)</p> <p>Improve integration with OPS and Debt departments</p> <p>Accounting integration (APS2)</p> <p>There is currently no funding to support this effort.</p>	
BReT - IT Infrastructure Sourcing Program	
BRT Type:	Business Requirement for Existing Technology
Date Submitted:	9/28/2019
Mandate:	No
Mission Critical:	Yes
Description:	
ITSP is already requiring an expenditure of resources in terms of time, personnel, and dollars, which is affecting current work efforts. This trend will continue through the process of transitioning away from services provided by Northrop Grumman. Resources that must be dedicated to this transition will not be available for other agency projects; there is a high likelihood that the agency will require current contract developers to remain in place through the transition to augment agency IT staff. There is currently no funding to support this effort.	
BReT - PaperVision Upgrade and Expansion	
BRT Type:	Business Requirement for Existing Technology
Date Submitted:	8/25/2019

Mandate:	No
Mission Critical:	Yes
Description:	
As the agencies document management system that stretches across all department and is integrated in agency developed applications, it is vital to keep this commercial off-the-shelf (COTS) software updated. The agency also needs to update to a newer version because of new functionality and features. The agency needs to expand usage of the document management system to improve efficiencies, replace outdated workflows and decrease printed-paper.	
BReT - Security for Public Deposits Act (SPDA)	
BRT Type:	Business Requirement for Existing Technology
Date Submitted:	9/21/2019
Mandate:	Yes
Mission Critical:	No
Description:	
The on-line system is designed to automate the monthly reporting of public deposits. The system requires upgrades, such as, tracking quarterly bank balance approvals from external users, which enhance customer support and meet the current business needs of the agency. The improvements will also provide operational efficiencies for Treasury staff. There is currently no funding to support this effort.	
BReT - Treasury Unclaimed Property System (TUPS) - Enhancements	
BRT Type:	Business Requirement for Existing Technology
Date Submitted:	8/29/2019
Mandate:	Yes
Mission Critical:	Yes
Description:	
UCP will continue to enhance the functionality of the developed TUPS application by adding new modules. Additional modules include Auctions, Audit, and Outreach tablets. These modules will provide operational efficiencies through increased production volume, as well as, reduced error rates. Our constituents will benefit from reduced processing times and increased ease of use. Treasury is also in the process of reviewing a next generation unclaimed property management cloud-based third-party solution that is in use by 25 states for unclaimed property business process. This approach is in keeping with Executive Order 19 and could provide many significant immediate functional enhancements and customer service benefits. Non-General funds are available for these enhancements	
BReT - Virginia Agency Property System Update	
BRT Type:	Business Requirement for Existing Technology
Date Submitted:	8/19/2019
Mandate:	Yes
Mission Critical:	No
Description:	
In order to enhance security and comply with VITA security policy SEC 501 VAPS needs make specific access control enhancements. There is currently no funding to support this effort.	
BReT -TRS Bond Investment Management Platform	
BRT Type:	Business Requirement for Existing Technology
Date Submitted:	5/5/2020
Mandate:	Yes
Mission Critical:	Yes
Description:	

Two years ago, Treasury entered into a two-year contract with BondLink for an initial term that is set to expire on September 30, 2020. The contract was awarded following a sole-source determination at the time. The current provider provides hosting of Treasury's investor websites. The services extend to assisting with providing connections with investors and potential investors in Virginia-related bonds. Treasury manages the content on the sites and uploads publically available documents to a specific layout created by the current vendor and utilized by all vendor clients. This allows for investors to have a one-stop website to visit for various financial and bond offering documents, or to even be pushed information once documents are posted, rather than for investors to have to visit multiple sites such as the Department of Accounts, Department of the Treasury, Secretary of Finance and the MSRB's EMMA system. Investors require information to make decisions on pricing levels both in the primary and secondary bond markets. If information is difficult to find and access, it is a hindrance to financial transparency and can have a negative impact on bond prices, i.e. interest rates that the Commonwealth pays to investors.

While information and transparency are always important, it is even more critical during the circumstances Virginia is facing during the COVID-19 pandemic. With financial data being closely monitored, it is essential to maintain an easy to access and known information delivery platform.

It has come to our understanding, that while not originally, there is at least one other vendor now in this investment space. Due to procurement law and equity among potential vendors, we are entering this new procurement, ideally for 3 year with 2 options or a flat 5 year term.

It was also determined originally, that this service utilizes all public data and has a data sensitivity classification of "low".

Furthermore, based on feedback with the original contract and in recent communication with VITA, this does not meet the criteria for ECOS and there are no eGOV vendors performing these services.

BRnT - Bond Requisition Processing and Tracking

BRT Type:	Business Requirement for New Technology
Date Submitted:	9/25/2019
Mandate:	No
Mission Critical:	No

Description:

Operations Trust Accounting manages multiple complex bond programs which are currently being tracked manually using Microsoft Excel. Treasury is required to process requisitions daily using paper documents, copy these documents and enter the information into multiple spreadsheets. Partner agencies are required to use wet signatures on requisition forms and deliver them to Treasury. A new electronic system is required that allows the Treasury to more easily manage the bond requisitions and includes workflow, electronic document storage and electronic signatures. There is currently no funding to support this effort. This item will be considered for creation or procurement that will utilize a cloud environment per the Executive Order #19.

BRnT - Bond Requisition Processing and Tracking

BRT Type:	Business Requirement for New Technology
Date Submitted:	8/25/2019
Mandate:	No
Mission Critical:	No

Description:

Operations Trust Accounting manages multiple complex bond programs which are currently being tracked manually using Microsoft Excel. Treasury is required to process requisitions daily using paper documents, copy these documents and enter the information into multiple spreadsheets. Partner agencies are required to use wet signatures on requisition forms and deliver them to Treasury. A new electronic system is required that allows the Treasury to more easily manage the bond requisitions and includes workflow, electronic document storage and electronic signatures. There is currently no funding to support this effort. This item will be considered for internal development or procurement that will utilize a cloud environment per the Executive Order #19.

BRnT - Civitas Modernization

BRT Type:	Business Requirement for New Technology
Date Submitted:	8/19/2019
Mandate:	No
Mission Critical:	No

Description:

To improve productivity and to better align with current and new business requirements perform complete and thorough business analysis of department operations. Incorporate VAPS (Virginia Agency Property System) and VACCS (Virginia Auto Count and Car Care System) into Civitas. Operational efficiencies will be gained by centralizing member data, accounts, and system administration. Migrate user interface from a Windows platform to a Web platform improving maintainability and accessibility. Improve overall reporting and analytics. Perform complete and thorough business analysis of department operations to improve productivity and to better align with current and new business processes. There is currently no funding for this necessary upgrade. This item will be considered for internal development or procurement that will utilize a cloud environment per the Executive Order #19.

BRnT - Electronic Signatures

BRT Type:	Business Requirement for Existing Technology
Date Submitted:	8/12/2019
Mandate:	No
Mission Critical:	No

Description:

Treasury has identified the need for electronic or digital signatures to support improvements in several divisions, systems and processes. Ideally, the agency will utilize an enterprise solution but individual departmental requirements must be managed and prioritized. There is currently no funding to support this effort. This item will be considered for internal development or procurement that will utilize a cloud environment per the Executive Order #19.

BRnT - Human Resources Electronic Onboarding

BRT Type:	Business Requirement for New Technology
Date Submitted:	8/12/2019
Mandate:	No
Mission Critical:	No

Description:

Human Resources has identified the need for electronic onboarding of new employees. There is currently no funding to support this effort. This item will be considered for internal development or procurement that will utilize a cloud environment per the Executive Order #19.

BRnT - Operations Bank Recon Stop Payment Process

BRT Type:	Business Requirement for Existing Technology
Date Submitted:	8/12/2019
Mandate:	No
Mission Critical:	No

Description:

Operations, Bank Recon, has identified the need for a web interface to improve the integration with DOA Cardinal and banks. There is currently no funding to support this effort. This item will be considered for internal development or procurement that will utilize a cloud environment per the Executive Order #19.

BRnT - Process Development Integration and Simplification

BRT Type:	Business Requirement for New Technology
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Date Submitted:	8/29/2019
Mandate:	No
Mission Critical:	No

Description:
The agency needs to improve and promote efficiencies in critical business processes through automation of these key processes. Processes under review would include all operating divisions. Integrating these functions electronically will greatly enhance efficiencies, reduce the risk of error, and simplify the management information and reporting processes. It is critical that as part of this process, Risk Management, Operations, Debt, and Information Security Officer (ISO) processes and systems be reviewed to identify improvements and efficiencies.

BRnT - TRS New Investment Accounting and Reporting System

BRT Type:	Business Requirement for New Technology
Date Submitted:	2/24/2020
Mandate:	Yes
Mission Critical:	Yes

Description:
This BRnT outlines our request to procure a new off-the-shelf investment accounting system and pay its on-going monthly service fees. The procurement of the off-the-shelf investment system is estimated at a one-time cost of \$349,000 (Year 1). Treasury currently uses an external investment system (FIS's AvantGard APS2) to provide accounting and reporting for the investments managed by the State Treasury, including investments held by the Commonwealth's General Account (state operating funds), the Local Government Investment Pool (LGIP), the Virginia Public School Authority, and other state-managed trust and bond funds. At June 30, 2019, investment balances of \$15 billion were maintained in this system which represents approximately 400 individual investments. Annual interest earnings tracked by the system are estimated at \$262 million.

The system monitors state investments for upcoming security maturities and provides the data to account for and record investment earnings. The system also provides year-end investment financial data needed for inclusion in the Comptroller's Commonwealth's Comprehensive Annual Financial Report (CAFR) and annual financial statements prepared by Treasury for the Local Government Investment Pool and the Virginia Public School Authority. For the CAFR, Treasury consolidates over 500 investment records maintained in the investment system. During the year, over 27,000 investment transactions are processed through the system. The current system was originally procured in the early 1980's and has been upgraded over the years to keep pace with current technology so it continues to meet the basic investment accounting and reporting needs.

Originally, the system was run with front-end software housed on Treasury computers with dial-up access to the vendor's mainframe computer. That evolved to server-housed software that was connected to the vendor's system via a VPN. More recently, in keeping with current technology, the vendor moved to a web-based application, resulting in VITA's expectation that the vendor adhere to its ECOS requirements. Treasury has worked extensively with both the vendor and VITA to obtain VITA's approval for continued use of this system via the web-based application, which is the only service the vendor continues to support.

BRnT - TRS Unclaimed Property SaaS Solution

BRT Type:	Business Requirement for New Technology
Date Submitted:	2/4/2020
Mandate:	Yes
Mission Critical:	Yes

Description:
This BRT is to replace the current Treasury Unclaimed Property system (TUPS) with a commercial off the shelf (COTS). Treasury's Division of Unclaimed Property (UCP) is responsible for the administration of the Unclaimed Property Act, a consumer protection law that protects the property rights of absentee owners. The Division received more than 11,000 holder reports and added more than 1.3 million new owners to the owner database in FY2019. The Division received more than \$254 million and 10.4 million security shares as unclaimed property remittances. It is the Division's primary mission to reunite property reported by holders after a period of inactivity with its rightful owner. The total dollar value of claims paid to owners in FY19 was \$87.1 million for 28,000 claims covering more than 130,000 asset accounts. The Division also

accounts for a securities portfolio of stocks, bonds, and mutual funds of \$320 million. Currently, UCP uses TUPS as its unclaimed property database solution along with integrated document management software called PaperVision and its Workflow solution. Treasury also maintains a 24/7 public-facing searchable database on the web called Click and Claim that is integrated with TUPS. TUPS and Click and Claim were developed in-house and PaperVision with Workflow is a purchased software application that was selected and programmed to use with TUPS. TUPS consists of modules for processing holder and owner information, a claims module, a securities module and an outreach module. There are updates needed for the TUPS system to provide necessary business functionality. In addition, the Click and Claim searchable database needs a significant rewrite. These updates have not been completed because of the lack of manpower. Treasury is pursuing a next generation unclaimed property management cloud-based third party solution for unclaimed property business processes. We have discovered there are vendors in this space that provide this service to multiple states. A SaaS based managed solution, will enable Treasury to utilize modern technology that is consistent across many States, increase our auditing, compliance and improve the ability to return unclaimed property holdings to their rightful owners.

BRnT - Virginia Agency Property System (VAPS) Integration into Civitas

BRT Type:	Business Requirement for Existing Technology
Date Submitted:	8/29/2019
Mandate:	No
Mission Critical:	No

Description:

(Risk Management's member, claims and billing system) (BRnT) - To enhance efficiencies in accounting and reporting and to provide for future upgrades, this stand-alone system should be migrated to Civitas and become a module of Civitas where all member data is stored and maintained. This integration improves the customer experience by modernizing the VAPS portal making it more compatible with modern web browsers. Operational efficiencies will be gained by centralizing member data, accounts and system administration. Perform complete and thorough business analysis of department operations to improve productivity and to better align with current and new business processes. There is currently no funding for this necessary upgrade. This item will be considered for internal development or procurement that will utilize a cloud environment per the Executive Order #19.

BRnT - Virginia Auto Count and Car Care System (VACCS) Integration into Civitas

BRT Type:	Business Requirement for New Technology
Date Submitted:	8/29/2019
Mandate:	No
Mission Critical:	Yes

Description:

(Risk Management's member, claims and billing system) To enhance efficiencies in accounting and reporting and to provide for future upgrades, this stand-alone system should be migrated to Civitas and become a module of Civitas where all member and billing data is stored and maintained. This integration improves the customer experience by modernizing the VACCS portal making it more compatible with modern web browsers. Operational efficiencies will be gained by centralizing member data, accounts and system administration. Perform complete and thorough business analysis of department operations to improve productivity and to better align with current and new business processes. There is currently no funding for this necessary upgrade. This item will be considered for internal development or procurement that will utilize a cloud environment per the Executive Order #19.

BRnT -Information Technology Management Suite

BRT Type:	Business Requirement for New Technology
Date Submitted:	8/29/2019
Mandate:	No
Mission Critical:	No

Description:

An information technology management system that will assist in the overall management of Information Technology resources consisting of account management, equipment inventory, software inventory, reporting, project and change

management modules. The new system would replace the existing standalone Centralized Access Database (CAD) account management system and Workspaces, the Information Systems project and documentation system. A new integrated system will bring operational efficiencies and improve security within the agency, decrease error rates with account management, and overall reduce ongoing operational costs. There is currently no funding for this necessary upgrade. This item will be considered for internal development or procurement that will utilize a cloud environment per the Executive Order #19.

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Report Title: IT Strategic Plan Projects

Agency: 152 Department of Treasury (TD)

Date: 6/5/2020

Projects			
EO19_Qlik_Rehost			
Oversight and Governance Category: Category 4: Low/Medium, Low/Low		Investment Business Case Approval	
In support of EO-19 Treasury will be virtualizing the two remaining physical servers which host the Qlik application.			
Planned Project Start Date: 6/1/2021		Planned Project End Date: 12/1/2021	
Estimated Costs:	Total	General Fund	Nongeneral Fund
Project Cost	\$10,000.00	\$0.00	\$0.00
Estimated project expenditures first year of biennium:	\$0.00	\$0.00	\$0.00
Estimated project expenditures second year of biennium:	\$0.00	\$0.00	\$0.00
Project Related Procurements			
There are no procurements for this project			
TRS New Unclaimed Property SaaS Solution Project			
Oversight and Governance Category: Category 3: Medium/medium, Medium/Low, Low/High		Investment Business Case Approval	
<p>This Project (RFP) is to replace the current Treasury Unclaimed Property system (TUPS) with a commercial off the shelf (COTS) abandoned property system or provide funding to make needed enhancements to the current system. Treasury's Division of Unclaimed Property (UCP) is responsible for the administration of the Unclaimed Property Act, a consumer protection law that protects the property rights of absentee owners. The Division received more than 11,000 holder reports and added more than 1.3 million new owners to the owner database in FY2019. The Division received more than \$254 million and 10.4 million security shares as unclaimed property remittances. It is the Division's primary mission to reunite property reported by holders after a period of inactivity with its rightful owner. The total dollar value of claims paid to owners in FY19 was \$87.1 million for 28,000 claims covering more than 130,000 asset accounts. The Division also accounts for a securities portfolio of stocks, bonds, and mutual funds of \$320 million. Currently, UCP uses TUPS as its unclaimed property database solution along with integrated document management software called PaperVision and its Workflow solution. Treasury also maintains a 24/7 public-facing searchable database on the web called Click and Claim that is integrated with TUPS. TUPS and Click and Claim were developed in-house and PaperVision with Workflow is a purchased software application that was selected and programmed to use with TUPS. TUPS consists of modules for processing holder and owner information, a claims module, a securities module and an outreach module. There are several updates needed for the TUPS system to provide necessary business functionality. In addition, the Click and Claim searchable</p>			

database needs a significant rewrite. These updates have not been completed because of the lack of manpower. Treasury is pursuing a next generation unclaimed property management cloud-based third party solution that is in use by other states unclaimed property business areas. The proposed supplier will need to be a leader in the industry providing Unclaimed Property resources, technologies and best practices to states.

Planned Project Start Date: 7/1/2020 Planned Project End Date: 7/1/2021

Estimated Costs:	Total	General Fund	Nongeneral Fund
Project Cost	\$2,715,000.00	\$0.00	\$2,715,000.00
Estimated project expenditures first year of biennium:	\$755,000.00	\$0.00	\$755,000.00
Estimated project expenditures second year of biennium:	\$490,000.00	\$0.00	\$490,000.00

Project Related Procurements

Procurement - TRS Unclaimed Property SaaS Solution

This Procurement is to replace the current Treasury Unclaimed Property system (TUPS) with a commercial off the shelf (COTS) abandoned property system or provide funding to make needed enhancements to the current system. Treasury's Division of Unclaimed Property (UCP) is responsible for the administration of the Unclaimed Property Act, a consumer protection law that protects the property rights of absentee owners.

Project - TRS - New Investment Accounting and Reporting System

Oversight and Governance Category:
Category 3: Medium/medium, Medium/Low, Low/High **Investment Business Case Approval**

Treasury is seeking to procure an off-the-shelf investment accounting system that will meet both Treasury's needs for investment tracking and reporting, and also meet VITA's ECOS requirements. A Request For Proposal (RFP) was issued earlier in 2019 to find a replacement investment system, but was cancelled due to lack of funding. We have since received funding.

Planned Project Start Date: 7/1/2020 Planned Project End Date: 12/31/2021

Estimated Costs:	Total	General Fund	Nongeneral Fund
Project Cost	\$349,000.00	\$349,000.00	\$0.00
Estimated project expenditures first year of biennium:	\$349,000.00	\$349,000.00	\$0.00
Estimated project expenditures second year of biennium:	\$0.00	\$0.00	\$0.00

Project Related Procurements

Procurement - TRS New Investment Accounting and Reporting System

This request is to procure a new off-the-shelf investment accounting system and pay its on-going monthly service fees. The procurement of the off-the-shelf investment system is estimated at a one-time cost of \$349,000. The on-going annual service fees are estimated at \$144,000, in addition to the needed 30,000 per annum for Security services, totally 174,000 per year.



Report Title: IT Strategic Plan Procurements

Agency: 152 Department of Treasury (TD)

Date: 6/5/2020

Stand Alone Procurements:	
Procurement Name:	Custodial Services for Unclaimed Property (TUPS)
Procurement Description:	Treasury Unclaimed Property division utilizes a third party vendor (currently Bloomberg) for custodial data services. This service, Bloomberg Data Service (?Per Security?), currently provides daily stock calculation information to Treasury via secure file transmission. In order to perform these calculations, TUPS (Treasury Unclaimed Property System) interacts each day with Per Security, this interaction was created within TUPS to bridge from Bloomberg to TUPS data. The calculation determines how much stock property and cash get paid to claimants. ECOS does not apply to the current contract as the service is not categorized as SaaS, selection of a new vendor and service may change that categorization.
Procurement Date:	5/23/2019 Multiyear Contract