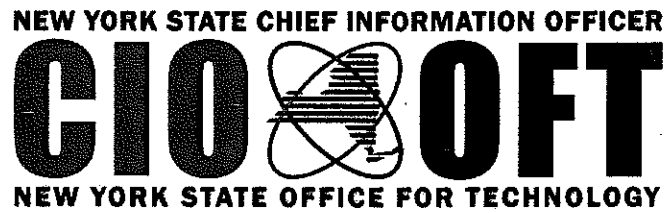## Agency Programs/Activities: Inventory and Key Data
Chief Information Officer / Office for Technology

Relation to Core Mission (H/M/L)	Program/Activity	Spending Category (SO, ATL, CAP)	3/31/09 FTEs (All Funds)	General Fund Disbursements ($000s)				State Special Revenue Funds Disbursements ($000s)				Capital Projects Funds Disbursements ($000s)				Internal Service Funds Disbursements ($000s)			
				2006-07 Actual	2007-08 Actual	2008-09 Plan	2009-10 Projected	2006-07 Actual	2007-08 Actual	2008-09 Plan	2009-10 Projected	2006-07 Actual	2007-08 Actual	2008-09 Plan	2009-10 Projected	2006-07 Actual	2007-08 Actual	2008-09 Plan	2009-10 Projected
H	IT Planning & Policy Development (Includes Consulting - IT Planning and Policy)	SO	14	430.6	1,503.7	1,036.4	948.7												
H	Finance Services	SO	22	1,588.5	1,602.2	1,583.5	1,843.1												
M	Human Resource Services (includes Time management implementation)	SO	17	904.0	932.0	1,196.9	1,395.4												
H	Contracts & Procurement Services (Includes Equal Opportunities & Diversity Dev.)	SO	15	296.2	537.2	704.2	826.4												
M	Facilities Services	SO	8	525.3	756.6	666.6	773.5												
H	FMS Project	SO	2	137.0	156.7	82.6	97.9												
GRAND TOTAL			749	19,000.0	21,413.0	29,918.0	31,287.0	11,712.0	14,471.0	15,600.0	16,734.0	258.0	55.0	12,444.0	151,393.0	205,661.4	206,587.6	219,459.0	223,072.0

Relation to Core Mission (H/M/L)	Program/Activity	Spending Category (SO, ATL, CAP)	3/31/09 FTEs (All Funds)	General Fund Disbursements ($000s)				State Special Revenue Funds Disbursements ($000s)				Capital Projects Funds Disbursements ($000s)				Internal Service Funds Disbursements ($000s)			
				2006-07 Actual	2007-08 Actual	2008-09 Plan	2009-10 Projected	2006-07 Actual	2007-08 Actual	2008-09 Plan	2009-10 Projected	2006-07 Actual	2007-08 Actual	2008-09 Plan	2009-10 Projected	2006-07 Actual	2007-08 Actual	2008-09 Plan	2009-10 Projected
H	Chief Information Officer and Director of OFT	SO	11	774.2	1,209.1	1,331.2	1,499.1								·				
L	Counsel and Legal Services (Includes Retainer/Copyright)	SO	15	904.3	1,012.8	950.1	1,102.8												
H	Statewide Wireless Network & Interoperability Program	SO	35				-	11,712.0	14,471.0	15,600.0	16,734.0								
H	Statewide Wireless Network & Interoperability Program	CAP					-							8,444.0	106,393.0				
H	Infrastructure Delivery Services - Customer Network Solutions & LAN	SO	95	1,999.8	1,905.9	1,366.1	1,427.2									29,374.0	31,189.4	31,602.0	32,268.0
M	Infrastructure Delivery Services - Telecommunications	SO	89				-									80,114.6	78,859.8	86,942.0	87,306.0
H	Data Center Operations & Services	SO	290	1,065.7	672.3	3,287.0	3,302.3									92,037.8	91,447.4	93,779.0	96,102.0
M	Data Center Operations & Services - Interim Space	CAP					-							4,000.0	7,000.0				
H	Data Center Operations & Services - New Data Center	CAP					-					258.0	55.0		30,000.0				
H	Broadband	ATL				5,000.0	5,000.0												
H	Broadband	CAP					-								8,000.0				
M	Application Delivery Services - Applications	SO	43	3,134.7	4,409.4	4,509.3	4,738.3												
H	Application Delivery Services - Directory	SO		3,079.2	3,543.1	3,186.7	3,278.3												
H	Application Delivery Services - NYSeMail	SO	5				-									4,135.0	5,091.0	5,236.0	5,236.0
H	Governor's Website/Translation Software	SO				600.0	600.0												
H	MWBE	SO				100.0	100.0												
M	Customer Training & Support	SO	29	972.3	1,216.2	1,415.0	1,626.8												
H	Customer Care Center	GF	12	-	15.6	375.7													
H	Customer Care Center	ISF	10				-											1,800.0	2,160.0
M	Marketing and Communications	SO	7	-	14.2	14.6	14.6												
M	Enterprise Program Mgmt Office (Includes consulting - program management initiative)	SO	20	596.2	948.9	1,142.8	1,249.7												
M	IT Performance Mgmt. & Intelligence Svcs (Includes Actuate - Performance Management)	SO	1	-	-	303.8	303.8												
L	Security & Risk Management (Includes IAM User provisioning)	SO	10	2,592.1	977.2	1,065.5	1,157.1												

August 20, 2008

NEW YORK STATE CHIEF INFORMATION OFFICER

CIO OFT

NEW YORK STATE OFFICE FOR TECHNOLOGY

New York State Chief Information Officer and Office for Technology

Program Information Sheet

August 2008

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Program: Counsel and Legal Services

Mandate: None

Mandated Funding Level: None

Brief Description/History/Background: Counsel and Legal Services touches every area of CIO/OFT. CIO/OFT attorneys review and draft contracts, Statements of Work, and Memoranda of Understanding; draft, track and comment on legislation; promulgate and update CIO/OFT regulations; and help the agency comply with Executive Orders and statutes concerning procurement lobbying. CIO/OFT attorneys also draft or review and comment on CIO/OFT policies; represent CIO/OFT in litigation and personnel matters; research and analyze legal issues to support CIO/OFT business operations; provide ethics opinions and facilitate ethics training for all CIO/OFT employees; and respond to agency FOIL requests.

Issues: CIO/OFT's legal authority with respect to procurement remains a significant issue for the agency and for Counsel's Office. Clarification of statute as it pertains to the procurement of technology continues to be a high priority, since significant savings are attached to increasing the number and types of centralized and aggregate IT procurements.

Population Served: Counsel's Office supports internal functions within CIO/OFT as well as Governor's Counsel's Office.

Performance Measures:

#	Key Performance Indicator	Objective	Department	Source	Metric	Baseline 2007	FY 2009 Apr.
COUNSEL AND LEGAL SERVICES							
1	Contract Turnaround Time	Improve the contract turnaround time for review of legal documents and questions requiring Counsel's services.	Counsel	Counsel and Legal Services	Average number of days between submission date and the close date of contract item.	TBD	
	Continuing Education	Track continuing education courses and workshops attended by staff attorneys.	Counsel	Counsel and Legal Services	% progress toward biennial requirement.	TBD	100%
	Ethics Training	Track overall employee compliance for biennial ethics training.	Counsel	Ethics Training Reporting	% employees received ethics training	TBD	100%

Program: Statewide Wireless Network and Interoperability Program

Mandate: There is no statutory mandate for establishment of this program. The Statewide Wireless Network program was established administratively.

Mandated Funding Level: None

Brief Description/History/Background: The mission of the Statewide Wireless Network is to provide a statewide interoperable land mobile radio network for first responders and public servants to communicate whenever, wherever and however they require to meet the demands of day-to-day and crisis operations. At the direction of the Director of State Operations, the Statewide Wireless Network program was initiated in 2000 within the Office for Technology as an all-agency enterprise strategy for the replacement of the State's aging communications infrastructure. The initiative followed efforts by the New York State Police in the 1990's to upgrade their radio system.

The project aligns with CIO/OFT's Plan 2010 Strategic Roadmap by not only seeking to deliver an innovative IT solution to a critical problem but also establishing CIO/OFT's leadership in providing a strategic enterprise direction to addressing the problem. The Statewide Wireless Network is a centralized, enterprise-wide project to provide an IP-based, digital trunked radio network on a common platform delivered at minimum cost to participants.

In April 2004 the State awarded M/A-Com Inc. a 20 year lease payment contract to build a Statewide Wireless Network. The contract was approved in September 2005. Through 2007, the State's vendor has been designing the network, acquiring transmission sites, installing network infrastructure and testing the system. The primary focus has been on the Primary Region Buildout of Erie and Chautauqua counties. Concurrently, M/A-Com has been upgrading the existing New York City-based State Police radio system for eventual incorporation into the statewide network. M/A-Com, CIO/OFT and State and local government users have conducted three rounds of technical and operational tests in September 2007, April 2008 and July 2008. The results of the testing have been unsatisfactory and the vendor has been unable to comply with functional requirements of the contract. Currently, M/A-Com is attempting to correct deficiencies with the system so that additional testing may be conducted. On August 29th, the State will decide whether to accept the Primary Region. If accepted, a decision to proceed with a statewide buildout will be made by October 1, 2008. If the region is not accepted, CIO/OFT may proceed with a variety of legal and contractual measures to protect the interests of the State.

Issues: The program is currently at a critical juncture. On August 29, 2008, CIO/OFT is scheduled to decide whether to accept the first region on the network, the Primary Region Buildout, from the State's vendor, M/A-Com Inc. Acceptance of this region would lead to a subsequent decision whether to proceed with Phase II of the project – statewide network buildout. An unfavorable decision could prompt a range of State actions and decisions. Among those actions are providing the vendor more time to remediate deficiencies the State has identified, declaring the vendor in default of the contract provisions and

terminating the contract. Vendor performance and State decisions in the coming weeks will impact further development of the network in 2008-09 and in future years.

Population Served: The Statewide Wireless Network is being designed to accommodate up to 65,000 State and local government users. The network will serve public safety and public service personnel in over three dozen State agencies including the State Police, the departments of Transportation and Environmental Conservation and the Office of Parks and Recreation. In addition, county and municipal first responders will be able to participate on the network, at their option, for day-to-day and crisis communications.

Performance Measures: The Statewide Wireless Network is in the design and development phase and, as such, does not have operational performance measures. However, CIO/OFT tracks several performance measures for the project.

The Statewide Wireless Network consists of 12 regions. CIO/OFT has a goal of having site construction completed on at least one site in each of the SWN regions. Presently, two SWN regions have completed sites, with both of the regions having 100% of their sites completed. A second performance measure pertains to the number of partnerships CIO/OFT has entered into with New York counties. Of the 62 counties, CIO/OFT has signed agreements with 34 counties or 55% of all counties. A goal of 100% of all counties signed as Level 1, 2 or 3 partners has been established by CIO/OFT. Additionally, partnership agreements are pending with 27 other counties or 44% of the total.

Program: Infrastructure Delivery Services – Customer Network Solutions (CNS)

Mandate: Section 103 (5) State Technology Law: to establish, oversee, manage, coordinate and facilitate the planning, design and implementation of the state's common technology networks.

Mandated Funding Level: None

Brief Description/History/Background: CNS is a managed services provider operating a consolidated customer network to deliver comprehensive desktop support and network services to NYS agencies, allowing them to deliver application services to their users across all of New York State. CNS services can be classified in three broad categories:

- <u>User Access Services</u> (e.g., authentication, file and print, and Internet Access)
- <u>Network Services</u> (e.g., remote and central customer networking and remote access)
- <u>Workstation services</u> (e.g., PC images, patch management, end-point security and support)

CNS began in the late '90s as a consolidation initiative within the Health and Human Services agencies and refined and updated its service offerings primarily through an extensive modernization effort culminating in 2005. In fiscal year 06/07, CNS was successful in enabling a legislative change to offer services to all State agencies, and not just those that were federally funded. In addition, services previously provided under a single rate were broken down to more granular rate based services, enabling agencies to better control costs.

CNS supports the mission of CIO/OFT by delivering innovative and integrated desktop and networking solutions that enable agencies to focus on their core missions in improving the quality of life for our citizens, businesses and visitors, rather than focusing on technology.

Issues: Need better leverage in consolidation efforts across NYS agencies to maximize the advantages of CNS as an enterprise service.

Population Served: Key customers of CNS include: CIO/OFT, DOH, DOL, OCFS, and OTDA. In support of the NYS Health and Human Service Agency missions, the CNS customer base also extends to users in all counties' local district social services offices, as well as community-based organizations and voluntary agencies. In addition, services are expanding into DOB's Financial Management Services (FMS) group and the Office of the Medicaid Inspector General (OMIG). In total, the following quantitative population data is offered:
- Users supported – 50,000
- Workstations supported – 35,000
- Remote users (Client VPN & SSLVPN) supported – 12,000
- Network equipment – 4,800 devices (varying sizes) at nearly 800 sites within NYS
- WAN Circuits managed – 900

Performance Measures: The following is a sample of measurements collected, with recent statistics:

Metric	Rec'd	Comp	%
Investigation and triage will begin within 30 minutes for Severity 1 tickets	27	27	100
Investigation and triage will begin within three business hours for Severity 2 tickets	31	31	100
Investigation and triage will begin within three business days for Severity 3 tickets	356	350	98
99% of all circuits do not exceed 60% utilization for more than two weeks	1000	997	100
If bandwidth exceeds threshold, a detailed analysis will be conducted within two business days	208	79	62
Evaluate and block inappropriate and malicious websites – one business day	2	2	100
Remediate workstations and servers experiencing infections – one business day	22	22	100
Scan all workstations for infections – daily	33,787	32,506	96

Program: Data Center Operations & Services

Mandate: Mandate: Data Center consolidation operations are authorized by N.Y. State Technology Law Section 103, subdivisions 1, 2, 5, 7 and 9.

Mandated Funding Level: None

Brief Description/History/Background: The State Consolidated Data Center initiative was begun in 1996 when the Office of General Services (OGS), on behalf of the Governor's Task Force on Information Resource Management, (the predecessor to OFT), contracted with Compass America to analyze the mainframe operations at several state agencies. The study evaluated three options for consolidation: a single data center, three separately managed data centers organized according to mainframe technology, and three separately managed data centers organized by business function (criminal justice, human services, and revenue). Compass recommended that the State consolidate its data centers into a single data center because it was the lowest cost alternative, allowing the State to achieve efficiencies by reducing the cost of redundant infrastructures, promote more efficient staffing of operations, and help increase computing capacity without increased equipment and staff.

In 1998, the State began consolidating the multiple agency data centers. The successful consolidation of mainframe computers and server operations has demonstrated the economic benefits of data center consolidation.

While the CIO/OFT strategic goal is to build and consolidate to one Tier 3+ "green" Enterprise Technology Center, the data center currently provides network services for four state data centers that support over 1,700 open systems servers and 43 mainframe partitions for 25 state agencies. In 2005, the data center implemented an enterprise infrastructure delivering a single, standardized network that interconnects the network infrastructures of the four Data Center sites using the OFT Telecom managed – DWDM. It consists of a highly available, redundant production network, application-level security via secure tiered environments, secure administrative and backup networks, and diverse Internet and NYeNet customer access points. Data center staff work closely with system administrators, technical representatives from customer agencies, and agency application service providers in the support, migration, and disaster recovery preparation of critical systems hosted at the data centers.

Data Center Consolidation achieves the CIO/OFT strategic framework principles by making it possible to provide NYS customers with more cost effective security measures and environmental protections than otherwise possible. Customers not only benefit from OFT's centralized Operations support, Help Desk and Incident Handling procedures, OFT has instituted a robust Information Security Architecture, which is the framework that guides all network security and access controls, the required levels of fault tolerance and resiliency to failures, and the core technologies to provide high speed backup, recovery and secure transfer of data. OFT's management of this environment is subject to an ongoing Enterprise /Service Delivery Risk Management program, a proactive vulnerability scanning and penetration testing program, plus compliance to state and federal security polices including HIPAA and CSCIC.

Issues:

Existing environmental limitations:
- Limits our ability to provide a highly available environment for our customers to deploy mission critical applications to serve New York State residents and guests. Scheduled and unscheduled power and cooling outages continue to occur;
- Limits our ability to expand Data Center consolidation beyond mainframes to the server and storage environments due to limited power, cooling and space and lack of secure, resilient facilities.

Multiple staff locations:
- Increases cost to provide data center services by needing to staff multiple locations and increases supervisory and management issues.

Start up funding restrictions:
- Hampers our ability to fund the research and implementation new technologies which could ultimately reduce the total cost of computing for New York State.

Reliance on contract staff due to staffing limitations:
- Although we can never maintain all of the skill sets we will need utilizing State employees due to the pace of emerging technologies, we could reduce costs if we could either replace consultants with State employees at appropriate grades or insource existing contractors.

Population Served: 25 State agencies, statewide NYSeMail, Domain Name and Directory Services customers.

Performance Measures:

Metric	Baseline 6/2008
Remaining KW all Data Centers	875
# Physical Servers	1348
# OS Instances – Windows	1152
# OS Instances – Unix	434
# OS Instances – Linux	114
# OS Instances – Other	23
FTE to OS Instance Ratio 1 FTE Manages: x OS instances	55
Cost per OS Instance (State and Consultants)	$5,630
IBM Mainframe Cost per CPU Second Used	$0.0545
Unisys A Cost per CPU Second Used	$0.0193
Unisys 2200 Cost per SUP	$0.00062
Total GB Storage Allocated Tier 1 – IBM Enterprise Disk Storage	104,444
Total GB Storage Allocated Tier 2 – IBM Mid-range Disk Storage	62,524
Total GB Storage Allocated Tier 3i – EMC Centera	0
Total GB Storage Allocated Tier 3c – EMC Celerra	4,080
Total GB Unisys EMC MF Attached Storage	17,557
Total Cost by GB Tier 1 – IBM Enterprise Disk Storage	$3.39
Total Cost by GB Tier 2 – IBM Mid-range Disk Storage	$2.37
Total Cost by GB Tier 3i – EMC Centera	$1.74
Total Cost by GB Tier 3c – EMC Celerra	$2.03
Total Cost by GB Unisys EMC MF Storage	$5.57
Images – One Printed Side of Page	237,284,255
Time to install equipment in data center (ERB) (weeks) (e.g. Servers, storage, routers,...)	6
Establish CIO/OFT Data Center Technology Standards with valid procurement records	10
Onsite Technical Coverage (Hrs/Days)	10hrs/5days
Data Center Availability	99.89%
Realign IT Resources – Mainframe	97%
Realign IT Resources – Server	13%
Staff Training (Hours per year per staff person)	>=37.5hrs

Program: Broadband (local and capital)

Mandate: The formation of the Broadband Council was announced by the Governor on December 6, 2007 at the New York Farm Bureau Annual Meeting, in Niagara Falls.

Mandated Funding Level: None

Brief Description/History/Background: The Governor of New York, Legislative Leadership and the State's Office of the Chief Information Officer/Office for Technology ("CIO/OFT") are committed to providing universal high-speed Internet access to all citizens, businesses and visitors in New York State. Ensuring broadband capability is universal or ubiquitous is but one component of the state's overarching broadband strategy. If broadband is available, but not affordable, its full value to New Yorker's is not achieved. Similarly, if broadband is available and affordable, but citizens do not to subscribe to the broadband services because they have not been exposed and educated to the capabilities and benefits of the Internet, the State's vision cannot be realized. Technology adoption and cultural barriers also need to be overcome. Having a robust broadband infrastructure in place is only half the work. Applications and immediate uses to engage citizens, businesses and visitors to use the Internet must be advanced. Given these considerations, an effective broadband strategy must include all of these key components.

An effective statewide broadband strategy is important to enable New York State to achieve and maintain global competitiveness. To that end, the State has adopted a broad, comprehensive and multifaceted strategic approach to providing affordable universal broadband access to its residents, businesses and visitors. The CIO/OFT is engaging partners across a wide spectrum of public sector, private sector and not-for-profit organizations to provide innovative broadband solutions to well-documented impediments for closing the remaining digital divide gaps in New York State. The State's basic broadband requirements include:

- A robust broadband network infrastructure capable of delivering broadband service today (and into the future) which is extended into areas with no broadband access;
- Adoption of a statewide digital literacy standard made possible through innovative training programs to increase the level of digital literacy in unserved and un/underserved urban and rural communities;
- Programs to increase technology adoption and address ownership barriers;
- State-provided e-Government services made available and deployed over the Internet to foster technology adoption for those in need of the government's services;
- Deployment of innovative economic development strategies to build digitally smart and stronger workforces of the future in depressed communities by leveraging technology; and
- Creation of collaborative strategies that engage public, private, academia and not-for-profit partnerships to advance the broadband vision of universal coverage

This program is in direct support of the NYS CIO/OFT Plan 2010 Strategic Roadmap. Goal 5, "Operate "Best In Class" IT Environment for Mission-Critical Applications," Strategy 3 states: "Implement a Statewide Universal Broadband Strategy and Grant Program." Further, within this document, the following specific performance measures are identified: "State Broadband Penetration" and "Average Consumer Broadband Speed."

One advantage of the NYS strategy when compared to other state approaches is its further division into five "Action Teams," formed to work on addressing specific strategic areas. Action Teams are comprised of members from the public and private sector. The five Action Teams are: Broadband Network Infrastructure Access, Digital Literacy and Community Outreach, E-Government Applications for Low-Income Households, Economic Development and IT Workforce Development and Governmental Initiatives

2007-2008 activities have included a Broadband Roundtable in October '08, continuing with monthly Council and Action Team leadership meetings and bi-monthly Action Team tactical meetings. In March of '08 multiple grants were awarded to a variety of public/private partnerships and coalitions ". . . specifically for increasing accessibility to, and addressing affordability of, broadband services" (Universal Broadband Strategy Document).

2008-2009 will see progress monitoring for the '08 grant recipients, release of the next grant RFP, a quarterly Broadband Council meeting in mid-June '08, and involvement of the NYS CIO/OFT Enterprise Program Management office with the assignment of a Program Manager who will be further assisting the Council Chair, members and Action Teams in execution of the broadband strategy. The first part of 2009 will see the next round of grant winners taking New Yorkers along on the next steps in their journey from broadband vision to broadband reality.

Issues: In the absence of a national broadband strategy to ensure universal access to broadband services, this responsibility falls to the individual state. A number of states have developed strategies to ensure universal access to broadband for their citizens and businesses.

In refining its broadband strategy New York needs to address the following priorities:

- New York State has no mechanism to identify un/underserved communities and therefore cannot target investments or develop targeted strategies to address the issues confronting these communities.
- New York State's broadband assets are not effectively utilized to meet the Governor's broadband objectives to provide affordable universal broadband access.
- New York State lacks an overall broadband capital infrastructure plan which can accelerate the State's long term broadband objectives.
- The ability of New York businesses in un/underserved areas of the state to compete in the global economy is impaired by a lack of broadband for the following, among other, reasons: (1) difficulty in developing and training a skilled workforce; and, (2) reduced access to information and research to spur business innovation.

- Establishing a reliable funding mechanism for broadband.

Some drivers for addressing these issues include:

- Two-thirds of those living in New York City do not have affordable high-speed Internet access
- 4.1million of the 7 million residential households (58.3%) in New York State currently subscribe to high-speed Internet service and broadband is currently available to another 40% of households or 98.3% total. However, 40% have not yet chosen to subscribe[1]
- High-speed Internet use in New York State grew 55% between December 2005 and December 2006
- Within New York State, digital subscriber line (DSL) service is available to 78% of the state's residential households, just below the national average of 79%
- DSL technology serves 1.1 million of the 5.6 million total residential and commercial broadband customers in the State of New York
- High-speed cable modem broadband Internet is available to about 96% of residential households in New York State. Cable modem broadband service accounts for 2.9 million of 5.6 million total residential and commercial broadband customers in the state[2]
- New York is ranked 6th in median broadband Internet access speed, preceded by Rhode Island (1st), Delaware (2nd), New Jersey (3rd), Virginia (4th), and Massachusetts (5th)[3]

[1]Source: *NYS PSC and High-Speed Services for Internet Access: Status as of December 30, 2006, FCC Industry Analysis and Technology Division – Wireline Competition Bureau, October 31, 2007.* Also note that FCC figures show a total of 1.5 million commercial broadband users within NYS in addition to the 4.1 million residential customers for a total of 5.6 million. Number of occupied residential New York State households (7.088 million) from U.S. Census Bureau – 2006 American Survey Data.
[2]Source: *NYS PSC and High-Speed Services for Internet Access: Status as of June 30, 2006, FCC Industry Analysis and Technology Division – Wireline Competition Bureau, January 2007.* Also note that FCC totals for every state include other technologies such as traditional wire line, fiber, fixed wireless as well as satellite and wireless services that they do not enumerate separately on a state by state basis. However in the case of New York State satellite and mobile are significant and do account for approximately 900,000 of the state's broadband users according to the FCC.
[3]Source: Communications of America (CWA) Communications Broadband Group, "Speed Matters" (August, 2008). A report of 80,000 broadband users which ranks United State on median download speeds, U.S.A Today. NYS download median speed is 4.1 Mbps.

Population Served: Broadband is not just about infrastructure, but rather, what that infrastructure can do for the entire state -- its citizens, its businesses, and its visitors. Although broadband services are available to many New Yorkers, there remain segments of the population where citizens and businesses either do not have access to high-speed broadband Internet service and/or cannot afford it. Increased access to broadband service combined with digital literacy programs can dramatically improve social, cultural, and educational opportunities that lead to increased job creation and economic

development. A lack of broadband access too often keeps both businesses and people, Upstate and Downstate, from competing in the twenty-first century economy. The New York State Council for Universal Broadband has been designed to address this critical initiative head on. The Council has broad representation from key legislative leaders, local government officials, libraries, several state agencies, community associations, community technology centers, and experts from academia and the broadband sectors.

Performance Measures:

State Broadband Penetration Ranking* - 2007: 4th; 2008: 6th; 2010 target: 3; 2017 target: 1

Average Consumer Broadband Speed* - 2007: 3.4 Mbps; 2008: 4.1 Mbps; 2010 target: 10 Mbps; 2017 target: 20 Mbps

* According to Speedmatters.org, among all U.S. states

Program: Application Delivery Services - Applications

Mandate: Section 103, State Technology Law

Mandated Funding Level: None

Brief Description/History/Background: The Applications Delivery Services function is responsible for developing and supporting the entire lifecycle of applications and websites from requirements gathering through building, testing, implementing, supporting and maintaining. This program area centralizes application needs for CIO/OFT, other smaller New York State agencies, and statewide initiatives for both custom and commercial off the shelf (COTS) software. In addition to numerous internal CIO/OFT applications maintained in this area, critical statewide applications include the Statewide Telephone Directory and delegated administration tools used to support provisioning and self-service into CIO/OFT's enterprise service offerings. Various websites are also maintained, including major components of the New York State website and the CIO/OFT public website.

Since it's inception in the early days of OFT, the application function has grown in capability and in breadth of customers. Application platform infrastructures have been designed and implemented in conjunction with the State Data Center, Internet and intranet searching services via search appliances are provided to agencies, content management software has been established to allow manipulation of website content by non-IT professionals (particularly enticing for smaller state agencies), and quality assurance testing tools maintained by the application function have been utilized by many state agencies. The sheer number of agencies and CIO/OFT operational groups dependent on the applications function within CIO/OFT has grown enormously.

Initiatives of this group support a "Best In Class" IT environment for CIO/OFT as articulated in "Plan 2010 – Strategic Roadmap".

Issues:
- Staffing/dependency on contractors
- Difficulty in finding state resource for newer technologies
- Complexity of environment

Population Served: Groups directly supported by various services of this function include: CIO/OFT (internal groups), HRVG, GORR, Judicial Nomination, Governor's Office, DCJS, DOB, DOT, DTF, OCFS, MWBD, GORR, OSC, OTDA, HESC, GOER, DMV, Agriculture and Markets, CSCIC, Insurance Department, Office for the Aging, Tappan Zee Bridge, and the following ISFs within CIO/OFT: Customer Networking Solutions, State Data Center, Telecommunications.

Performance Measures: Statistics for applications are reported via Livestats. The following are for June 2008:
- Web page views: 1.2 million
- Web transactions: 400,000
- Web searches: 500,000

Program: Application Delivery Services - New York State Directory Services (NYSDS)

Mandate: NYSDS is not mandated as such, but it supports a number of mandated programs deployed by NYS agencies.

Mandated Funding Level: None

Brief Description/History/Background: NYSDS is a 7x24 service that provides the identity and access management solution for NYS web-based applications. This solution includes enablement of single sign-on capability for applications across all participating State agencies and local governments. It also provides users with personalized views of all applications that they have been authorized to access. Additionally, the solution includes customer self service applications and a delegated administration facility. These applications support customers ranging from State agency personnel, to business partners, and even the general public. The NYSDS is a strategic component of the Identity and Access management which supports the following CIO/OFT strategic goals:

- **Goal #4: Enhance Vendor Accountability and Investment Return Strategies:** 1. Leverage enterprise IT solutions to improve IT investment returns ;
- **Goal #5: Operate "Best In Class" IT Environment for Mission- Critical Applications:** 4. Develop and maintain relevant policies in technology architecture standards for voice and data networks, desktops, servers, storage, security, documents and applications.

NYSDS started in 2001 in conjunction with the NYeNET and supported a single agency application for Workers Compensation Board with slightly over 1000 users. Support for dual factor authentication was added in 2007. NYSDS being expanded to support Federation to enable better integration with Agency and business partner applications.

Issues:

- Lack of an enterprise authoritative store for NYS employees
- Staffing/dependency on contractors
- Lack of a rate for the service and support
- Limited user administration capabilities.

Population Served: As of July 2008, the NYSDS provides the Identity and access management solution for 115 applications for 16 NYS agencies. The NYSDS maintains approximately 580,000 digital identities for agency personnel, NYS business partners, and the general public. Among other applications, the NYSDS supports OTDA's myBenefits and CentraPort, IJAB's eJustice portal, DTF's Online Tax Center, and SED's Online Teacher Certification.

Performance Measures: The NYSDS reports availability on a monthly basis. The June and July 2008 availability of NYSDS was 100%.

Program: Application Delivery Services - NYSeMail

Mandate: This service is not mandated, but was established to achieve cost efficiencies.

Mandated Funding Level: None

Brief Description/History/Background: New York State E-mail (NYSeMail) is a Microsoft based unified messaging and communication operation supporting 50,000 users within 22 different agencies. NYSeMail was first implemented in production in the spring of 2003 and has seen much growth in its customer base and evolution in its infrastructure. Initially deployed using Exchange 2000, NYSeMail was upgraded to Exchange 2003 and is currently in the final stages of a hardware and software upgrade to Exchange 2007. Exchange 2007 will provide additional functionality to customers beyond email, including audio and video conferencing, instant messaging and using email to retrieve voice mails.

NYSeMail staff have successfully migrated agencies from both Lotus Notes and GroupWise messaging systems, and have the necessary technical skill sets to meet the stated CIO/OFT 2010 goal of 50% eligible agencies using NYSeMail.

NYSeMail has been able to leverage an enterprise IT solution for messaging that allows customer agencies to focus on their own programs and operational processes. CIO/OFT will continue seek opportunities to fill requested service gaps in making NYSeMail, a mission critical messaging and communication function, a "Best in Class" IT environment.

Issues: Customer agencies have requested the ability to archive messages. NYSeMail currently can offer this only through Microsoft's Hosted services. CIO/OFT has formed a team with the Attorney General's office to determine the feasibility of bringing the archiving service in-house. A more coherent state-wide policy on email archiving would benefit the requirement gathering process.

Population Served: There are currently 50,000 users from 22 agencies on NYSeMail. Key customers include: CIO/OFT, OCFS, OTDA, DOL, DOCS, DOH, DCJS, DOB and DOS. An additional 10,000 customers will be added upon the migration of DOT from their GroupWise messaging system onto NYSeMail. Last year, DOCS was migrated into NYSeMail and an additional 20,000 DOCS users are anticipated to be migrated over the next 2 years. Finally, an MOU with OMRDD calls for their 20,000 users to migrate onto NYSeMail in about 2 years.

Performance Measures:

NYSeMail	11 Month Average	11 Month Total
Total Messages/mo	19,442,810	213,222,245
Total Volume/mo (KB)	1,474,703,215	16,111,885,261
Daily Messages (#)	891,324	891,324
Daily Volume (KB)	67,622,808	67,622,808
Users	52,099	52,478
Availability	99.981	99.981

Program: Governor's Website/eGovernment Coordination

Mandate: N/A

Mandated Funding Level: None

Brief Description/History/Background: This is a newly realigned and expanding function. CIO/OFT coordinates a statewide e-government effort with State agencies through a network of agency-designated coordinators. In conjunction with other areas of CIO/OFT, this group helps to develop state technology policies, standards and guidelines for agencies in regard to their websites. Currently, there are a number of these in effect regarding the use of the State Common Web Banner, Agency Contact Web Pages, Accessibility, and Internet Privacy Policies. Additionally this group will be responsible for creating a governance structure for the ny.gov web presence. This group in coordination with the Chamber, will coordinate and build the new ny.gov and associated web pages.

The Application Delivery Services Group (ADS) has developed and supported the State website for several years. It has undergone two design changes that were mostly cosmetic in nature. This initiative looks to bring in expertise to assist New York with meeting its goal to operate a "Best In Class" IT environment as outlined in the Plan 2010. The goal is to make government services and transactions seamless and easy and to provide citizens with information about New York and its programs and services.

Issues: CIO/OFT has absorbed this function within existing funding and staffing levels.

Population Served: Governor's office; all State entities.

Performance Measures: Statistics for applications are reported via Livestats. The following are for June 2008:
- Web page views: 500,000

Program: Minority and Women-Owned Business Development

Mandate: There is no specific mandate for this function, although the services supplied assist the Division of Minority and Women Business Development to comply with Article 15-A of the Executive Law.

Mandated Funding Level: None

Brief Description/History/Background: CIO/OFT has undertaken the redesign and modernization of certification, compliance and website services for the Division of Minority and Women Business Development. Applications are currently developed and hosted by Empire State Development. The website has been launched, using CIO/OFT's content management platform, with enhanced directory search for MWBE vendors and an online fill-able form. Analysis is underway for backend compliance and certification requirements.

The Application Delivery Services Group (ADS) began working with MWBD in early 2008 in an effort to modernize the applications and processes used to certify minority and woman-owned businesses in New York.

This initiative establishes MWBE as a "Best In Class" IT environment and seeks to increase the participation of these businesses in State procurements.

Issues: Services provided to MWBD thus far have been absorbed with CIO/OFT's existing staffing and funding resources. MWBD is seeking significant additional support for which no funding exists, including procurement of an enterprise compliance monitoring tool, and sponsorship, coordination and logistics for additional MWBE networking events.

Population Served: Minority and Women-Owned technology businesses, the Division of Minority and Women Business Development.

Performance Measures: CIO/OFT has established a goal of 20% participation in IT procurements by MWBEs by 2010, both in terms of percent of total dollars awarded and percent of total firms engaged.

Program: IT Customer Development and Relationship Management Services - Customer Training and Support

Mandate: This service is not mandated.

Mandated Funding Level: None

Brief Description/History/Background:

Description: This unit serves as the primary contact base for CIO/OFT's State and Local Government customers. The unit's focus is on building customer relations and customer satisfaction, to be responsive to the customer, to deliver the CIO\OFT mission in a clear, consistent manner and to ensure that all operating components of CIO/OFT are meeting customers' needs. This unit also provides training to build and retain a talented state IT workforce. It capitalizes on existing learning resources, augments services where they are minimal, and develops new learning resources.

Background: In late 2002, CIO/OFT's Customer Service organization was established in order to improve service and support of all of the customer service initiatives of the NYS CIO/OFT.

Several CIO/OFT realignments have occurred and the CTS function continues with a more dedicated and proactive agenda.

In response to Plan 2010 CIO/OFT Strategic Roadmap
Goal # 3: Achieve Customer-Focused Delivery Excellence

1. Serving as a liaison between customers and CIO/OFT to ensure the provision of quality services
2. Monitor and improve customer satisfaction and the customer's image of the agency.
3. Increase customer usage of CIO/OFT services.
4. Build and retain a talented statewide IT workforce.

Issues:

- Challenged by preconceptions of agency's abilities and responsiveness to the customers' requests and needs.

- Communication efforts to our customers have often been disjointed creating frustrations and misconceptions.

- Lack of centralized funding for technical training, which presents challenges related to offering attractive educational opportunities, and a shortage of workforce inhabits training participation.

Population Served: Customers include the 58 Local County entities, all State agencies, and other entities over which the Governor has executive power and the State University of

New York, City University of New York and all public benefit corporations the heads of which are appointed by the Governor.

Performance Measures:

Key Performance Indicator	Objective	Source	Metric	Baseline 2008	Target 2009	July Metrics
Technology Academy Service Usage	Track the amount of usage by identified agencies of major Tech Academy services.	TA statistics from usage reports.	Average percentage of usage divided by audience for the major Tech Academy services.	31.0%	55%	31.25%
State Accounts Customer Satisfaction	Increase the customer satisfaction rating among state accounts.	CIO/OFT Monthly Customer Survey	State accounts customer satisfaction rating (Likert scale: 1-5)	3.4	4.0	4.3
Local Accounts Customer Satisfaction	Track and report on the customer satisfaction rating among local accounts to improve service quality.	CIO/OFT Monthly Customer Survey	Local accounts customer satisfaction rating (Likert scale: 1-5)	3.4	4.0	4.13

Program: IT Customer Development and Relationship Management Services — Customer Care Center (CCC)

Mandate: None. Established to achieve cost efficiencies.

Mandated Funding Level: None

Brief Description/History/Background: CIO/OFT's Customer Care Center (CCC) (formerly the Enterprise Help Desk (EHD)) provides Level 1 help desk support for over 50,000 personal computers, terminals, and peripherals, located at more than 1,500 locations across New York State. The CCC (EHD) has supported the CIO/OFT services, as well as, application support for numerous state agencies for the last seven years.

A full range of modern, automated tools are available to the CCC, including telephony systems that provide efficient management of calls, broadcasts of significant known problems for call and cost avoidance, and direct call routing. Operating as a single point of contact is provided for all customers on a 24x7 schedule maximizing efficiencies and enabling the CCC to provide quality services addressing NYS agency needs including receiving initial calls, triaging calls, managing critical incidents and referring unresolved calls to appropriate Level 2 and 3 organizations, including vendors, NYeNet, the State Data Center, and NYS agencies for agency-specific applications.

This program is related to CIO/OFT's "Plan 2010 — Strategic Roadmap" as follows:

GOAL # 3: ACHIEVE CUSTOMER-FOCUSED DELIVERY EXCELLENCE

- Deploy the IT Infrastructure Library (ITIL) methodology to improve service delivery

Goal #5: Operate "Best In Class" IT Environment for Mission- Critical Applications

- Implement Customer Care Center (CCC) as "one stop shopping" for all CIO/OFT services

Issues:
Key Challenges to Achieve SFY 2008-2009 Planned Accomplishments:
- **Single Customer Service System:** Need to implement a single integrated ticketing and work order system to improve our ability to react to and resolve customer problems.

- **Staffing:** Because we are taking over a service currently provided by an external vendor, continued support for additional staff is essential to the successful completion of the transition of the CCC to state Help Desk agents.

Population Served: The CCC provides Help Desk support to the CIO/OFT customers. CIO/OFT's customers include all State agencies, departments, offices, divisions, boards, bureaus, commissions and other entities over which the Governor has executive power and

the State University of New York, City University of New York and all public benefit corporations the heads of which are appointed by the Governor.

Performance Measures:

OPERATING UNIT PERFORMANCE MEASURES FOR SUCCESS (BASELINE AND TARGETS)				
Performance Measure	**Baseline (12/31/07)**	**Target (12/31/08)**	**Increase / Decrease**	**% Change**
CCC End-User Call Satisfaction Rating	3.4	4.0	0.6	17.65%
CCC vs. EHD Usage	10%	100%	90% pts.	900%

Program: IT Customer Development and Relationship Management Services -
Marketing and Communications

Mandate:

Mandated Funding Level: None

Brief Description/History/Background:
Description: This unit is responsible for coordinating the communication, explanation and
promotion of CIO/OFT technical services to our customer community and internally within
CIO/OFT. It is responsible for the development and implementation of CIO/OFT's
marketing plan, including planning, design and development of communications and
marketing materials to our internal and external customers, both the internal and public
website, and media releases.

Background: These functions were being handled in various units since the inception of
OFT. They were merged into IT Customer Development and Relationship Management
Services in November 2007. The goal is to supply communications to our customers that
will provide a better understanding of the technical services administered and offered by
CIO/OFT. This unit's role has increased significantly since January 2008.

> **In response to Plan 2010 CIO/OFT Strategic Roadmap**
> **Goal # 3: Achieve Customer-Focused Delivery Excellence**
> * Monitor and improve customer satisfaction and the customer's image of the
>   agency.
> * Increase customer usage of CIO/OFT services.
> * Improve customer communications by publishing a new quarterly CIO/OFT
>   newsletter.

Issues:
* Charged with the intense task of using a re-branding strategy that will promote
  our strategic plan and image in a more consistent and clear manner.

* Keeping our internal and external customers up to date and informed of initiatives
  and successes.

* Creating a successful system, via a consistent source, that defines how
  communications should be delivered to our customers.

Population Served: Counties, Agencies, Public, Legislature and Media.

Performance Measures:

Key Performance Indicator	Objective	Source	Metric	Baseline 2008	Target 2009	July Metrics
Customer Satisfaction Rating of Communication from CIO/OFT	Improve the delivery of communication received from CIO/OFT.	CIO/OFT Monthly Customer Surveys and Newsletter Surveys	Customer satisfaction rating of communication from CIO/OFT (Likert scale: 1-5)	3.4	4.0	3.38
Proactive Media Coverage	Increase the amount of media coverage of CIO/OFT	Press Releases & Other Media Communications	Number of proactive submissions to the media	1	3	1

Program: Enterprise Project Management Office (EPMO)

Mandate: State Technology Law section 103 (3)

Mandated Funding Level: None

Brief Description/History/Background: The EPMO at CIO/OFT is NYS's Enterprise PMO. The EPMO expedites the delivery of quality services by consistently applying defined project management techniques, providing well-defined scope, budget, resources, schedule, and delivery of quality benefits aligned with the strategic vision. The responsibilities of the EPMO continue to increase in number, diversity, level of skills required, and criticality to the agency's operational goals and mission. The EPMO serves multiple roles including project and portfolio management within CIO/OFT, a Center of Excellence in Project Management for all state agencies, and Enterprise project portfolio management. Through the EPMO Enterprise projects are tracked and reported on centrally and comprehensively. This approach increases accountability, visibility, and project success.

A PMO was established within OFT in 1999 to build a core competency in project management across the state. In that role, we provide a common methodology as outlined in **The New York State Project Management Guidebook, Release 2** and **Management's Guide to Project Success,** the annual Project Management Mentoring Program, co-chair the NYS Forum's PM Committee, represent NYS on NASCIO's PM Advisory council, participated extensively in the creation of a PM title series, and provide other PM support where requested and resources allow. There is substantial demand and tremendous potential for this statewide role to be expanded. Many agencies continue to look to CIO/OFT to provide this expertise. We receive continued requests to make various PM services available to other agencies and have established an Internal Service Fund as the first step in delivering those services.

EPMO's activities are directly related to Goal #4 of the "Plan 2010- Strategic Roadmap": Enhance vendor accountability and investment return; deploy an effective Project Portfolio Management Program.

Issues:
- Increased and sustained development program for staff PMs is required to diminish reliance on contractors.
- "Start up" capital and staff time not currently available are required to establish services and to maintain enterprise PM tools (i.e., methodology maintenance).
- The demand for EPMO services internal to the agency currently exceeds capacity.

Population Served: CIO/OFT program areas and all state agencies.

Performance Measures: These metrics have only begun to be collected in the current year. For previous work not managed formally as projects, there are no baseline metrics.
- % Projects finished on time & in budget: not yet available
- Project Sponsor Satisfaction: 4.75 of 5
- Project Management training sessions offered:

Program: IT Performance Management & Intelligence Services

Mandate: No statutory or other mandate, but performance measurement has been communicated as an expectation of this Administration.

Mandated Funding Level: None

Brief Description/History/Background: Agencies are required to adopt performance measures to determine how effectively and efficiently the agencies deliver services to citizens, businesses and visitors, using goals and service targets. Toward this end, the New York State enterprise information technology (IT) strategic planning process will align information technology resources to measure progress against common quantifiable service delivery goals for all IT organizations across the state enterprise.

A common barrier to alignment between IT and other parts of an organization has been the communication of achievements linked to technical and operational measures such as server uptime, network utilization rather than business terms effectiveness measures (e.g. impact of server downtime in terms of revenues, cost, customer service, etc.). This inability to explain the impact of IT using common business terminology has blunted understanding of IT impact and perception of value for customers and others charged with IT oversight or making future IT investments. The performance management program serves to remove these barriers in delivering clear communication about IT performance outcomes across all state IT agencies while promoting confidence and answerability in NYS state government to citizens, businesses and visitors.

The Performance Management Office is responsible for CIO/OFT Performance management program which consists of the Operation, Strategic and Enterprise Scorecard's and Dashboards along with the measurement of key performance indicators (KPI's). This office also coordinates and collaborates with the Governor's task force on agency Performance Metrics and ensuring alignment between business performance measures and information technology measurements.

Issues: A gap exists in measuring NY State IT progress against common quantifiable services that will make NY state agencies more accountable, transparent, and accessible. There is also a need to identify for leaders to be more responsive to the needs of the State Legislature, and identify where agencies need to improve performance.

Performance measures, evaluations and report generation include will disclose and assess whether:

- Agencies or programs are complying with applicable laws and legislative intent
- Services are provided efficiently and in a cost-effective manner
- Programs and services are achieving intended results

Population Served: CIO/OFT and NY State Agencies through Enterprise IT Performance Metrics.

Performance Measures: The tangible benefits of the performance management system are difficult to measure in terms of dollar savings for each state agency; however, the intangible benefits are improvements in:

- senior executive IT performance and decision making;

- linking performance management with the results-oriented goals specific to the Government Performance and Results Act of 1993, the Governor's vision, and the state CIO's mission that aligns with NASCIO.

- setting and communicating workers and organizational goals and expectations;

- monitoring and tracking performance using key performance measures that aligns agency results with customer, employee, or other perspectives; and

- Using performance results as a basis to award workers' for realigning and implementing improve business processes.

Note: Strategic and operational performance measures for CIO/OFT have been deployed and capturing current statistics to help improve business processes and performance levels. Enterprises measures have been developed and require executive approval.

Program: Security & Risk Management

Mandate: NYS Technology Law (section 103, #2, 3, 5)

Mandated Funding Level: None

Brief Description/History/Background: The Security & Risk Management Program oversees the CIO/OFT's information security efforts to ensure a safe technology environment for the platforms and services that CIO/OFT provides to its customer agencies. This includes the development of security policies and standards as well as ensuring agency compliance with Federal and State security policies and requirements; operating a vulnerability management program which includes vulnerability scanning, monitoring and auditing; reviewing project designs and architecture to ensure secure solutions; managing the agency security awareness and training program; overseeing the agency Continuity of Operations Planning (COOP Plans); managing the agency Internal Control Program and overseeing projects implementing security solutions. The program director is the designated Information Security Officer (ISO) and Internal Control Officer (ICO) for coordination and reporting of agency activities (e.g. to OHS regarding NIMS and COOP requirements, to CSCIC regarding State Security Policy compliance, to DOB regarding Internal Control certification). The program is temporarily coordinating external audits of the agency until an Internal Audit function is established.

Issues: Security exploits of vulnerabilities continue to grow which require vigilance and keeping current with technology and tools to combat this growth and maintain an acceptable level of risk, thereby protecting the State's technology infrastructure that supports many critical State agency program. Upgrading security tools and technology will require additional funding as products evolve over future years.

Population Served: This program serves all customers of CIO/OFT data center and network services. Currently, several thousand network points and servers are scanned monthly to isolate and correct vulnerabilities. Monitoring activity is on-going on over 20 devices reviewing over 1 million logs each month.

Performance Measures:

Measure	Current
High Vulnerabilities	Down 14%
Medium Vulnerabilities	Down 15%
COOP Plans In Place	Up 1%
COOP Plans Tested	96%
Agency Internal Controls	32%
CIO/OFT employees completed security training	99%

Program: IT Planning, Policy and Development

Mandates:
- Advisory Council for Technology as per State Technology Law 104-105, however this council has not been active since the creation of the CIO Council.
- Statewide IT Strategic Plan as per Executive Law 206-a (13), no less than every three years
- Statewide IT Inventory as per Executive Law 206-a (12-a) including methodologies re IT spending, TCO, etc.

* Governor Spitzer EO3 issued January 1, 2007 (Promotion of Public Access to Government Decision-making), CIO/OFT coordinated the requirement of all agencies to report to the Governor by 12/31/07. We may be responsible for future requests. (http://www.ny.gov/governor/executive_orders/exeorders/3.html).

Mandated Funding Level: None

Brief Description/History/Background:
Functions provides the support required to:
- Coordinate the development & promulgation of statewide IT policies, standards and best practice guidelines;
- Coordinate the development & promulgation of agency wide (internal) policies and information bulletins;
- Coordinate the work of the NYS CIO Council and provide professional support for the Council & its Action Teams and work groups;
- Coordinate the development of the NYS enterprise IT strategic plan and related annual tactical/action plans;
- Manage the Annual Technology Plan & Plan to Procure initiatives, including coordination of the Enterprise IT Procurement Reform Initiative;
- Assist NYS agencies in the development of IT strategic & tactical plans;
- Coordinate statewide website accessibility issues & ensure CIO/OFT websites (internal & external) are accessible; and
- Coordinate agency wide IT research consultant contracts.
- Coordinate research and advisory functions of the office through Gartner, NASCIO, Government Technology. Often times the State CIO, DOB or Exec Chamber needs information related to technology and what other states are doing in comparison to NY.

History
2000 ESRA group was created to facilitate Electronic Signatures & Records Act & soon expanded to include eGovernment/eCommerce
2001 ESRA become responsible for the NYS Portal implementation & maintenance
Late 2001 ESRA group merged into Strategic Policies, Acquisitions & eCommerce (SPAC) & included responsibility for internal & enterprise (IT) policies/standards
2004 In recognition of the need for leadership on strategic initiatives, SPAC was realigned into Strategic & Executive Services (SES) & added responsibility for internal controls, audit coordination, strategic & executive project coordination (e.g., Strategic Plan, Statewide IT Inventory, Project 2015, Quality Communities), assisting CIO Council

<u>2005</u> SES became responsible for agency internal communications including redesigning & maintaining intranet, publishing agency monthly newsletter, developing 3-year plan to improve internal communications.

Issues:
- Insufficient staff. The office consolidated the functions of another vacant office while being impacted by a reduction of staff. The office is currently under filled by about 10 positions and cannot meet its responsibilities.
- 25% of current staff are part-time student assistants

Population Served:
- Internal functions: agency-wide – all CIO/OFT staff/business units
- External functions: statewide –CIOs & technical staff from all NYS agencies, authorities, commissions, etc., as well as local government – Governor's Office – DOB – etc.

Performance Measures:

PTP Turnaround time – Fast-Track	Average number of days between date "Fast-Track" PTP submitted and date action taken.	2 days
PTP Turnaround time – Less than $500K	Average number of days between date PTP (with total value <$500,000) submitted and date action taken.	5 days
PTP Turnaround time – More than $500K	Average number of days between date PTP (with total value >$500,000) submitted and date action taken.	30 days
ATPs Received	% of ATPs received from NYS Agencies required to complete ATPs (total: 58)	100%
IT Policies	% of required IT policies reviewed and updated.	Function Not occurring due to resource constraints
IT "Best Practice" Guidelines	% of required IT "best practice" guidelines reviewed and updated.	Function Not occurring due to resource constraints
IT Standards	% of required IT standards reviewed and updated.	Function Not occurring due to resource constraints
Internal Policies	% of Internal Policies reviewed and refreshed	100% over 2 years. Function barely occurring due to resource constraints

Program: IT Governance (funded from IT Planning, Policy and Development)

Mandate: Section 103 (1), (2) of the State Technology Law

Mandated Funding Level: None

Brief Description/History/Background: In 2006, CIO/OFT began to implement IT Governance within the agency. IT Governance provides a framework in which the decisions made about information technology (IT) issues are aligned with the overall business strategy and culture. Governance sets directions, establishes standards and principles, and prioritizes investments. Its components include **principles** (guiding ideals), **structure** (framework), **process** (standardization of procedures), and **communication** (how information is shared). CIO/OFT is an organization that grew from consolidations and transfers of function of many organizations into one. As a result, there are many processes and procedures in place for the same IT functions. The IT Governance project's goal is the establishment of new, flexible, and agile governance mechanisms that 1) are consistent with the enterprise architecture, and 2) drive greater customer-centricity and support the changing business environment. Proper IT Governance will assist CIO/OFT management to ensure the required performance of the organization through the following:

- Ensuring business continuity and sustainability;
- Aligning IT customer agency business needs and OCIO/OFT standards;
- Efficiency in allocation of resources;
- Employing innovation in services, markets, and business;
- Encouraging relationship management with stakeholders;
- Reducing the costs for an organization; and
- Ensuring the approved benefits are actually realized from each investment.

CIO/OFT purchased two HP software applications to assist in the IT governance program: Program, Portfolio Management (PPM) and Service Desk. PPM is and will be used to support the CIO/OFT's Portfolio Management, Resource and Time management, as well as the new ATP/PTP processes being implemented in August 2008. Service Desk is used to support the Customer Care Center's Enterprise Help Desk, Service Request system, as well as the agency's Change Management, Problem Management and Configuration Management processes.

The IT Governance initiative is directly linked to the 2010 Strategic Goals, specifically **Goal # 2, Strengthen IT Governance to Increase Accountability,** strategies 2, 3 and 4 and **Goal # 3: Achieve Customer-Focused Delivery Excellence** and its related strategies.

Issues: All of the IT Governance issues are focused on support for the application and hardware. The current staffing level is not sufficient to implement all of the areas being worked on simultaneously.

Population Served: All Executive agencies and all customers of CIO/OFT.

Program: Finance

Mandate: State Law and Federal mandates, Executive Orders, compliance with Division of the Budget, Office of the State Comptroller, Office of General Services and Department of Civil Service guidelines. Work with the NYFMS and FOCAS groups to implement Statewide NYFMS. Legislative reporting as provided by the Governor.

Mandated Funding Level: None

Brief Description/History/Background: The Finance Office an administrative support office providing a variety of financial and administrative assistance to all program areas in CIO/OFT. Finance Services is comprised of the following five units:

- Budget and Purchasing - is responsible for matters pertaining to the enacted budget, impact on the program areas of CIO/OFT, and the processing of requests for the acquisition of a variety of goods and services to support all ongoing operations and special project initiatives as they arise.
- Accounts Payable - is responsible for making payments to vendors who provide goods and services to CIO/OFT. All payments are processed in accordance with NYS Finance Law and guidelines issued by the NYS Office for the State Comptroller (OSC).
- Accounts Receivable - This Accounts Receivable Unit processes monthly agency billings for services provided by internal service fund programs such as the State Data Center, Human Services Network, NYSeMail and Customer Care Center.
- Financial Reporting - prepares financial statements and supporting documentation on an accrual basis of accounting as required by Federal regulations.

Rates - is responsible for establishing the rate structure to be utilized when billing other State agencies for services provided to them by CIO/OFT.

Issues: The consolidation of finance functions that had existed in several business units, with varying business processes and systems remains challenging.

Population Served: Programs and staff within CIO/OFT, State agencies utilizing services billed from CIO/OFT services, DOB, OSC, SWN, Federal government, vendor community.

Performance Measures: Measures are being assessed to identify the response accuracy of delivery of services. Given the numerous and varied services being delivered we are at this time beginning to track requests with a goal to implement more "concrete" measures as we progress.

Program: Human Resource Services

Mandate: Various Federal and State laws, Executive Orders, and union-negotiated agreements dealing with legal appointments, non-discriminatory practices; ability to legally work in the U.S.; workplace violence prevention; domestic violence in the workplace; Americans with Disabilities Act; Equal Opportunity; Fair Labor Standards; Retirement Laws; Civil Service Law; Military Law; State Finance Law; disciplinary and grievance procedures; Drug Free Workplace; Sexual Harassment Prevention; Workers' Compensation Law.

Mandated Funding Level: None

Brief Description/History/Background: The Human Resource Services Office is responsible for position classification, recruitment, exam planning, transfers, eligible list processing, posting of vacancies, leaves of absence, time and attendance issues, health insurance, Workers' Compensation, deferred compensation, orientation, benefits administration, labor relations and other functions typically performed by an HR Office. Additionally, since the agency does not have a separate Affirmative Action Office, that function including the review of all discrimination and sexual harassment complaints, as well as all requests for reasonable accommodations, is performed in HR. Other assignments often not found in a typical HR Office include fingerprint administration and review of employee criminal background information; and agency parking program administration.

Given the agency's mission, the HR Office takes a lead on a number of IT workforce issues. The top 3 managers in HR are all actively involved on one or more subcommittees of the CIO Council IT Workforce Development Action Team which are responsible for such things as working with Civil Service to develop examinations for all IT titles; developing ideas for new titles/traineeship programs (including a PMI-like program) to help NYS attract IT professionals with the necessary skills; developing proposals for higher grade level non-managerial IT titles to appropriately compensate technical skills; update the entry level position specific inventories used to match candidates with needed IT skills; in response to the IT Workforce Skills Assessment, implement strategies to address the gaps in the workforce knowledge. The HR Office is also active on virtually all of the Personnel Council subcommittees which seek to improve Civil Service policy and procedures. The CIO/OFT, with DOB's assistance, convinced CS to allow for "insourcing"- decreasing the reliance on contract staff by the creation of project items to achieve significant savings. The HR office, in conjunction with the Project Management Office, spearheaded a multi-agency 3 year effort to convince the Department of Civil Service to create a Project Manager title series. HR previously had an approved fill level of 24 (9/4/01); despite growth in our agency since then (e.g., the 2002 transfer in of 110 Telecommunications employees) our staff currently consists of 15 FTEs.

Issues: Given the 24x7x365 nature of the data center, recruitment and labor relations issues are more complex than in a 9-5 agency. The CIO/OFT grew over the last 10 years through a combination of transfers of function and active recruitment. In most program areas, major reorganizations were required since employees came from more than a dozen agencies in a hodgepodge of titles (71 of our titles are currently earmarked).

CIO/OFT has undertaken a restructuring beginning in 2007 and a realignment to achieve efficiencies continues —which requires strategic HR activities. We have a heavy reliance on temporary project jobs (42 currently) in order to be able to appoint people with the right skills for many of our jobs. All of this as well as the ever-changing technologies, means that the HR office processes more classification actions than an agency of similar size (73 requests were submitted in the last year) and the classification activities are much more complex than those from other agencies with more understandable and stable programs. The new Enterprise Technology Multiplex Facility will greatly enhance program operations and will necessitate staffing and classification adjustments. Succession planning is a significant issue: the average age of our staff is 47, with an average of 18 years of service. Our staff is in demand not only in other state agencies due to their work performance here on complex technologies but also because they become known to our customer agencies. Additionally, many are actively sought out by private industry due to their technical expertise. Attrition and lack of staff in HR prevented us from implementing the LATS (Leave and Accrual Tracking System) even though we had purchased it years ago; we have now begun a project to implement it throughout the agency.

Population Served: Primarily the managers and employees of the agency; additionally, job candidates and other agencies as the lead agency on technology issues.

Performance Measures: Implement LATS system within 6 months of successful pilot; develop a database and notification to managers regarding performance evaluation and probationary evaluation due dates; increase agency diversity; minimize number of administrative actions (e.g., grievances, ADA, SHP) overturned by reviewing agencies; reduce employee turnover.

Program: Contract and Procurement Services

Mandate: State Finance Law and Executive Law §15(a)

Mandated Funding Level: None

Brief Description/History/Background: Contract and Procurement Services is an essential support function to all other functions within the agency. In order to pursue the strategies articulated in Plan 2010, Goal #4 -- "Enhance Vendor Accountability and Investment Return", Goal #5 -- "Operate 'Best in Class' IT Environment for Mission-Critical Applications", and Goal #6 – Build and Retain a Talented IT Workforce will require significant involvement by staff from Contracts and Procurement. Specifically, in the areas of enterprise contracts, VoIP, Broadband strategy, and staff augmentation.
CIO/OFT in Plan 2010 has set ambitious goals to increase MWBE participation in IT contracts from less than 1% to 20% in 2010 and 25% in 2017. Contracts and Procurement is charged with implementing the program to increase the participation of MWBEs. In fact, the percentage of MWBE firms participating in CIO/OFT contracts has increased by 2 percent to date.

Issues: CIO/OFT has identified 6 high priority opportunities for significant statewide savings or cost avoidance through the use of centralized contracts and/or unlimited or enterprise license agreements. Discussions are underway with OGS with respect to both agencies roles and responsibilities to ensure that the contracts/license agreements are executed expeditiously and that they achieve the overall goal of driving down State costs. Granting CIO/OFT authority to execute all varieties of IT procurements, including centralized contracts, would most efficiently take advantage of CIO/OFT's knowledge and understanding of the State's technology needs.

Population Served: Procurements conducted by Contracts and Procurement serve all State agencies in the form of Enterprise contracts and services provided by the Telecommunications and Data Center Operations. The State's children are served by procurements related to CNS which provides the telecommunications for the county child abuse hotlines.

Performance Measures: Contracts and Procurement measures MWBE participation, which has increased by 2%, and is beginning an initiative to measure timely contract renewals as part of the initiative to actively manage the contracts to insure contract compliance and achieve savings.

Program: Facilities

Mandate: State Law and Federal mandates, Executive Orders, compliance with Office of General Services and Department of Civil Service guidelines.

Mandated Funding Level: None

Brief Description/History/Background: Facilities Services primary focus is on building related health and safety concerns for CIO/OFT employees with a goal to provide safe and comfortable facilities and fleet management. Facilities Services receives, delivers and arranges transportation of mail, supplies and materials; plans internal space needs, manages all physical facility upgrade projects and manages the fleet of vehicles used by CIO/OFT. In addition, the unit identifies new state or privately owned facilities as needed to ensure optimization of space needs in a cost-efficient way and uses best practices to ensure compliance with green policies regarding energy conservation and other important initiatives to protect our environment. The unit will serve as the agency's liaison with State Police, private security companies, and various units within the state Office of General Services.

Issues:
- Space planning associated with the staffing needs resulting from realignment of staff;
- Need for a new primary data center facility: the four existing data center facilities have exceeded their useful lives and are inadequate to support the needs of the Data Center. Maintenance and repair costs continue to grow for these facilities and energy consumption, due to HVAC system inefficiencies, is difficult to control, resulting in unnecessary additional cost.

Population Served: Primarily programs and staff within CIO/OFT. Interfaces with OGS and vendor community regarding issues associated with space measures.

Performance Measures: Measures are being assessed to identify the response time to delivery of services. Given the numerous and varied services being delivered we are at this time beginning to track requests with a goal to implement more "concrete" measures as we progress.

"Going From Good To Great"

Plan 2010
CIO/OFT Strategic Roadmap

— *Vision, Mission, Goals and Strategies* —

Presented to CIO/OFT Staff
and
## NYS CIO Council Members

Dr. Melodie Mayberry-Stewart
NYS CIO and Director of OFT

April 2008

Public Service

"They call what we do public service for a reason: because it's not politics. It's not parties. It's not power that counts at the end of the day. Those interests can vanish in a moment. It is the service that endures. It is service that is important. It is the service that is our mark. It is our measure. It is our record of performance."

Governor David A. Paterson
**Remarks at his Swearing In**
March 17, 2008
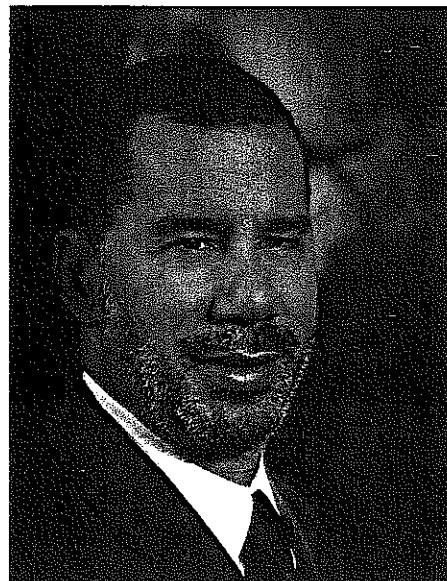
Getting it Done

"Today is Monday. There is work to be done."

Governor David A. Paterson
Remarks at his Swearing In
March 17, 2008

Past Decade of Progress — Future Decade of Promise

In 2007, the Office for Technology (OFT) celebrated its 10th year as a state agency. The original legislation creating OFT was augmented by the creation of the Office of the CIO (OCIO) in 2002. The following table highlights the major accomplishments of the past decade. Also, the planned goals through 2010 and the next 10 years are presented in **Table 1.**

CIO/OFT intends to continue advancing the original mission of OFT and OCIO by seeking collaborative partnerships to advance enterprise IT solutions.

10th

Happy

Anniversary
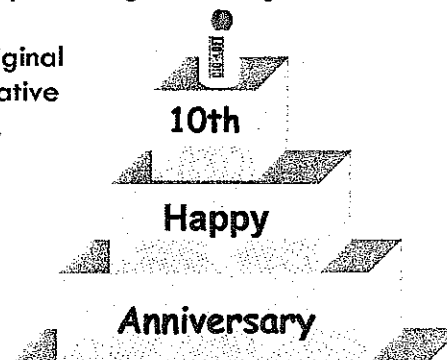
Good is the enemy of great.

— Jim Collins, Author
Good to Great – Why
Some Companies
Make the Leap... and
Others Don't

NEW YORK STATE CHIEF INFORMATION OFFICER
CIO OFT
NEW YORK STATE OFFICE FOR TECHNOLOGY

Table I "Going From Good to Great" A Decade of Progress – A Future Decade of Promise					
CIO/OFT IT Environment	A Decade of Progress			A Decade of Promise	
	1997	2003	2007	2010	2017
Enterprise Data Centers	15	4	4	4	3[i]
Number of Workstations Supported	---	23k	38k	40k	90k
Eligible Agencies Using Enterprise Email Systems	---	---	20%	50%	85%
Secure Digital Web Identities to Employees, Businesses, and Citizens	0	50k	400k	2,000,000	5,000,000
State Broadband Penetration Ranking	---	---	4	3	1
Average Consumer Broadband Speed	---	---	1.97 Mbps	10 Mbps	20 Mbps
Number of Network Users	---	14k	55k	65k	85k
Number of Telecom Agencies	137	149	151	155	160
Number of Telecom Sites	400	550	1200	1500	1700
Agencies Using Centralized Server Systems	---	---	13%	20%[ii]	40%[iii]
Minority and Women-owned Business Enterprise (MWBE) Participation Level[iv]	---	---	< 1 %	20%	25%
Average Staff Augmentation Level[v]	---	---	23%	20%	16%
Overall Customer Satisfaction Level (5 = Highest)	---	---	3.4	3.8	4.2

Technology is a set of delivery tools that help State agencies deliver services to the public. In building those tools, we need to view ourselves as a single organization rather than dozens of independent businesses. We can deliver services more efficiently if we coordinate the systems themselves. That includes the most mundane activities, like getting the lowest prices for computers based on a single aggregated buy; to more complex initiatives, such as developing inter-connected fiscal and payment systems. Our watchwords should be efficiency based upon a commonality of purpose: serving the public.

– David Walsh, CIO NYS Department of Education

Fusing OCIO and OFT Missions

OFT and CIO missions have been fused into a single agency mission to provide strategic IT leadership across the State enterprise. In 2007, the mission of OFT and OCIO was combined into a single mission statement:

"CIO/OFT will provide strategic technology leadership and deliver innovative IT solutions enabling New York government to improve the quality of life for our citizens, our businesses and our visitors. "

Deploying A Strategic Framework

- **FUSE**
  - Missions of OCIO and OFT
  - Procurements via Centralized Aggregate Buying
  - Integration and Information Sharing through Joint Interagency and Intergovernmental IT Developments
  - IT Infrastructures through Standardization and Simplification Efforts

- **FOCUS**
  - On Understanding Customer Business Requirements
  - On Providing IT Service Delivery Excellence
  - On Realigning IT Resources to Drive Down Costs
  - On Innovative IT Solutions that Create Value for Customers

- **FIX**
  - Fragmented and Inefficient IT Processes and Procedures
  - Inadequate and Obsolete Technology Legislation or Regulatory Requirements
  - Ineffective Programs to Recruit, Develop and Retain Skilled IT Talent

- **FIND**
  - Opportunities to Make a Difference and Breakdown Cultural Barriers
  - Opportunities to be More Customer-Focused, More Cost-efficient and Effective
  - Opportunities to Increase the Use of CIO Peer Reviews for IT Investments

- **FORGE**
  - Strategic Interagency and Intergovernmental Partnerships
  - Alliances with Academia and Private Industry for Research and Development Collaborations
  - Joint Programs with Academia to Build Stronger IT Workforces

- **FOSTER**
  - Sharing of Successes of IT Strategic Leadership and Transformational Change
  - Rewarding Innovation, Impact and Value Contributions
  - Recognizing Successful Collaborations and Partnerships
  - Communicating Successes to Internal and External Stakeholders

Linking Priorities, Strategic Goals & Strategies

As Co-chair of the Enterprise Architecture Action Team of the NYS CIO Council, I want to add our group's strong support for the need for a strategic focus on technology across the enterprise. There are many good reasons to maintain an ongoing strategic planning process for the enterprise: (1) the desire of residents to deal with a unified State government, rather than an unfathomable mixture of uncoordinated agencies; (2) the savings to taxpayers . when technology solutions are acquired for use in several agencies, rather than the duplication that can occur when there is no enterprise focus; (3) the enhanced ability of the Governor to achieve his program goals, which are enterprise goals, by using enterprise technology.

– Dr. Norm Jacknis, Former Westchester County CIO & Former Co- Chair of the CIO Council's Enterprise Architecture Action Team

Service is Our Measure

By 2010, we will achieve the following goals:

Goal #1: Lead IT Enterprise Strategic Direction

<u>Strategies:</u>
1. Conduct an inclusive approach to update the NYS Enterprise IT Strategic Plan and Align with the Administration's Strategic Priorities
2. Establish an Executive IT Strategic Council to provide strategic oversight for effective plan execution
3. Conduct a progress gap analysis with State Technology Law enacted in 1997

Goal #2: Strengthen IT Governance to Increase Accountability

<u>Strategies:</u>
1. Engage CIO Council Action Teams in decision-making for Major IT Investments
2. Modernize the Annual Technology Plan (ATP) and Intent to Procure (ITP) Processes in partnership with OGS, DOB and OSC
3. Update and Implement Enterprise IT Policies and Technology Standards
4. Implement and Publish Enterprise IT Performance Dashboard to Increase Accountability and Transparency

Goal # 3: Achieve Customer-Focused Delivery Excellence

<u>Strategies:</u>
1. Realign and streamline operational processes to be more cost-efficient
2. Implement Service Level Agreements (SLAs) with customer agencies
3. Standardize on a Single System for:
    a. Universal Work Order System
    b. Universal Billing System
4. Deploy the IT Infrastructure Library (ITIL) methodology to improve service delivery
4. Implement Performance Improvement Dashboard
5. Conduct Annual Customer Opinion Survey to improve user satisfaction
6. Expand CIO/OFT Product Service Offerings to fill requested service gaps of state agencies[vi]

Goal #4: Enhance Vendor Accountability and Investment Return

Strategies:

1. Leverage enterprise IT solutions to improve IT investment returns
2. Increase participation levels of Minority and Women-Owned Business Enterprises
3. Engage vendor community in IT planning process to drive innovation, value creation and strategic alignment with IT priorities
4. Reform the IT procurement environment in Partnership with DOB and OGS
5. Deploy an effective Project Portfolio Management Program
6. Cultivate collaborative opportunities to pursue shared research and development needs
7. Develop a Vendor Performance Measurement program and integrate into performance Dashboard
8. Provide easier, quicker and cost-efficient IT procurement policies[vii]

Goal #5: Operate "Best In Class" IT Environment for Mission-Critical Applications

Strategies:

1. Build a new Tier 3+ "green" Enterprise Technology Center to consolidate remaining data centers
2. Deploy enterprise Voice-Over-Internet Protocol (VOIP) solution
3. Implement a Statewide Universal Broadband Strategy and Grant Program
4. Develop and maintain relevant policies in technology architecture standards for voice and data networks, desktops, servers, storage, security, documents and applications
5. Seek opportunities to increase the use of enterprise systems to achieve greater economies of scale
6. Redesign and launch new NY.gov statewide web portal and update web policies to implement enterprise branding strategy[viii]
7. Implement Customer Care Center (CCC) as "one stop shopping" for all CIO/OFT services
8. Build partnerships with academia and industry on Research and Development projects for applying emerging technology applications in state government

Goal #6: Build and Retain a Talented IT Workforce

Strategies:
1. Expand the CIO Academy Offering with Mid-Year Summit
2. Enhance the Technology Academy Curriculum to build IT skills capacity in selected critical skills areas
3. Advocate and implement innovative strategies, with Civil Service and DOB, to recruit, develop and retain top IT talent and stem the "baby boomer" quiet crisis skills gap
4. Forge strategic alliances with academia, industry, unions and other stakeholder groups to in-source IT talent to meet growing demand
5. Develop a staff augmentation sourcing program

CIO/OFT working with CIO Council members will focus on achieving results; strengthening governance processes and ensuring IT investments and accomplishments are valued by internal and external stakeholders.

– Rico Singleton, NYS Deputy CIO for IT Governance and Planning & Chair of the NYS CIO Council

Goal #7: Achieve Global Recognition for IT Leadership, Innovation, Value Creation and Transformational Change

Strategies:
1. Increase submissions of innovative and creative IT solutions by state agencies
2. Seek opportunities to profile successful IT applications
3. Improve overall rankings on industry best practice benchmarks at the local, national and global levels
4. Engage in organizations and associations that advocate policies to advance the mission of the State's Enterprise IT strategic priorities
5. Launch Marketing and Communications plan to internal and external stakeholders

In at least a third of enterprises, business and IT are on different trajectories.... Conventional notions that company leaders must be "sold" on the strategic value of IT are misplaced. What is in question is the IT organization's ability to deliver.

– Colleen Young, Gartner, "Running IT Like A Business: Building the Necessary Management Infrastructure", Gartner Annual Conference, September 2007

Measure IT Impact and Value

Table 2 presents the outcome goals to be achieved by 2010 based on industry benchmarks. These benchmarks were selected to provide a basis to compare the New York IT performance relative to industry standards. They are indicators of performance towards advancing the IT strategic vision and goals.

Table 2 — Going From Good To Great... Plan 2010 Performance Measurements & Targets			
IT Performance Benchmark Source	**Performance Measurement (Goal)**	**Actual Baseline (12/2007)**	**Target Outcome (12/2010)**
Center For Digital Government Digital States Survey	NYS Ranking	Top 20[ix]	Top 10
Brown University Annual State and Federal e-Government Rankings[x]	NYS Ranking	#21	#2
Government Performance Project Report	NYS Grade	C+	A-
e-Government Services Offered	Average NYS e-Government Applications Growth Over Prior 2 Years (At Least 10%)	400	440
State Broadband Penetration	NYS Average Broadband Speed State Rating	#4	#3

CIO/OFT's Commitment to Strengthen CIO Council Effectiveness

It is extremely important for members of the CIO Council to participate actively in developing, recommending, implementing and monitoring progress on strategic IT initiatives that create value and improve service delivery.

Action Team Co-chairs are empowered and expected to drive IT innovation, technology standardization and interoperability in a collaborative environment to achieve integrated and cost-efficient IT solutions.

— Dr. Melodie Mayberry-Stewart, NYS CIO and Director of Office for Technology

By working together in a collaborative environment, the state will realize greater value for IT investments. CIO/OFT is committed to increasing the effectiveness of the state's IT governance by focusing on the following activities which are to:

1. Create an Inclusive and Collaborative Decision-making Process for Future IT Investments

2. Empower Action Team Co-Chairs to Drive Enterprise Outcomes

3. Strengthen CIO Community Leadership Capacity

4. Encourage and reward Innovation and Contributions that Advance the Enterprise IT Strategic Plan

5. Heighten Level of CIOs Engaged in Policy Advocacy at the Local, State, Federal and Global Levels[xi]

6. Add Value by understanding each CIO's Agency Goals and Challenges

7. Increase transparency and post IT Performance Measurements

Greater adoption of technology standards is essential if New York State is to make better use of information technology to enable more efficient, timely, and flexible government services.

...By using the appropriate standards, we can develop information systems that inter-operate, electronic services that are developed once but re-used whenever needed, enable easier and broader access to information across organizational boundaries where appropriate while also ensuring security, and shorten the time it takes to develop new systems in response to changing government needs.

...For such gains to be realized, it is vital that we select the right standards and carefully plan for their implementation. The New York State CIO Council, through its collective membership and various action teams, should continue to play a major role in conjunction with the OCIO/OFT to collaboratively identify those areas where technical standards are most needed and also where existing technical standards are sufficiently well developed and proven that they should be adopted here in New York State.

— Chip Felton, MSW,
Former Senior Deputy Commissioner and CIO
for Information Technology and Evaluation
Research,
NYS Office of Mental Health and
Former Co-Chair of the CIO Council
Architecture Action Team

ATTACHMENT A
Continuing Challenges and IT Drivers

The following NYS IT challenges are shared by most other states. We all need to:

Consolidation is the #1 strategic priority of State CIOs for 2008, followed by Security as the #2 priority.

— NASCIO 2008 State CIO Survey, November 2007

- Create "Enterprise-wide Leverage" from Agility, Information and Process Redesign
- Meet Expectations to Improve Current and New Technology Capabilities
- Deliver and Demonstrate Value for Increasing IT Investments
- Become More Cost-Efficient while Improving Government Services
- Increase Accountability for Desired Outcomes
- Drive Innovation and Transformational Change
- Achieve Greater Economies of Scale
- Address "Baby Boomer" Retirement Quiet Crisis

A recent poll by the National Association of State CIOs outlined the top 2008 IT priorities for those states responding. The results are shown in **Table 3** for strategies, management and processes.

Table 3 **State CIO Priorities for 2008 for Strategies, Management Processes and Solutions [xii] and NYS Targets**				
NASCIO Priority Ranking	**2008 Strategies, Management Processes and Solutions**	**NYS CIO/OFT Target Year**		
		2008	**2009**	**2010**
1	**Consolidation:** Centralizing, Consolidating Services, Operations, Resources and Infrastructure			X
2	**Security:** Tightening security safeguards, enterprise policies, employee education	X		
3	**Disaster Recovery/Business Continuity:** Improving disaster recovery, business continuity			X
4	**Electronic Records Management/Digital Preservation/e-Discovery:** strategies, policies, and services	X		
5	**Health Information Technology:** Assessment, partnering, implementation [xiii]		X	
6	**Shared Services:** Sharing resources, services, infrastructure			X
7	**Connectivity:** Strengthening statewide connectivity, broadband	X		

Table 3
State CIO Priorities for 2008 for Strategies, Management Processes and Solutions [xiii] **and NYS Targets**

NASCIO Priority Ranking	2008 Strategies, Management Processes and Solutions	NYS CIO/OFT Target Year		
		2008	2009	2010
8	**Governance:** Improving IT Governance	X		
9	**Interoperability:** Ensuring interoperability—infrastructure and data		X	
10	**Human Capital/IT Workforce:** Attracting, developing and retaining IT personnel; retirement wave planning		X	

Table 4 shows the results of the State CIO survey priorities for technologies, applications and tools. In addition, the NYS target implementation year for those priorities is provided.

Table 4
State CIO Priorities for 2008 for Technologies, Applications and Tools
NASCIO CIO Survey Results [xiv] **and NYS Target Activity**

| NASCIO Priority Ranking	2008 Technologies, Applications and Tools	NYS CIO/OFT Target Year		
		2008	2009	2010
1	**Virtualization:** storage, computing, data center			X
2	**Server Virtualization**		X	
3	**Security Enhancement Tools**		X	
4	**Geographic Information Systems (GIS)** [xv]			X
5	**Legacy Application Modernization and Upgrade (ERP)**		X	
6	**Identity and Access Management**	X		
7	**Networking, Voice and Data Communications**	X		
8	**Document/Content Management**		X	
9	**Wireless: Mobile, Remote and Fixed**	X		
10	**Service Oriented Applications and Architecture**		X	

Past practices were individually convenient for us—not having to worry about anyone else—but have left us with information silos. Raw independence and blind ignorance to common opportunities encourage ineffective government and inefficient business organizations.... Collaboration—both between users and IT, and among IT units, can foster far greater cost-effective sharing while breaking down barriers to innovation.... Sharing code and sharing services can dramatically cut our costs, and win back the confidence of those we serve. All we need to do is to come together in a practical, organized way—to share our talents, our insights, and our techniques—to build an inter-operating enterprise for the future.

— Robert Vitello,
CIO
NYS Department
of Labor

End Notes

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[i] Assumes one primary and one backup site and funding to complete the data center consolidation initiative started in 2001.
[ii] Assumes migrating at least 7 new agencies who have already requested hosted services.
[iii] Assumes Enterprise Technology Center is built no later than Summer, 2011.
[iv] Includes CIO/OFT agency only.
[v] Includes staff augmentation levels for top 10 IT agency organizations.
[vi] This includes disaster recovery, project management, web site development and hosting, application architecture and other consulting services, InForm Executive Productivity Series and other requested services.
[vii] This will be accomplished working collaboratively with the Department of Budget (DOB), the Office of General Services (OGS) and the Office of the State Controller (OSC).
[viii] This will be accomplished in collaboration with the Governor's Office of Communications.
[ix] NYS is currently ranked #18.
[x] The Brown University study ranks the 50 U.S. states and various federal agencies on overall e-Government performance and web site capabilities. Ranking criteria are online services, attention to privacy and security, disability access, and foreign language translation.
[xi] This includes such initiatives as eDiscovery, Electronic Records Management, Broadband, Real ID, Telecom, Security, IT Governance, and Interoperability. This also includes increased participation in other industry associations and organizations such as the Center for Digital Government, Rochester Institute of Government, NASCIO, NYS Forum, and other leading industry organizations.
[xii] Source: National Association of State CIOs, "State CIO Priorities 2008", (November, 2007)
[xiii] This activity primarily refers to Human Services Modernization Initiative of OCFS, OTDA, DOH, DOL and DTF Collaborative to upgrade antiquated legacy systems through a shared principles and leveraging IT solutions.
[xiv] Source: National Association of State CIOs, "State CIO Priorities 2008", (November, 2007)
[xv] Note: CIO/OFT will expand the use of GIS for IT infrastructure needs such as supporting the broadband initiative.

NEW YORK STATE CHIEF INFORMATION OFFICER
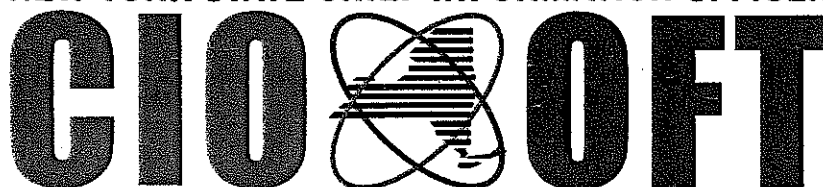
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NEW YORK STATE OFFICE FOR TECHNOLOGY

We Know IT...
IT's What We Do!

EMBRACING OUR VALUES

Customer Driven   Professionalism
Integrity   Accountability
Innovation   Teamwork
Continuous Improvement

CIO OFT

CIO/OFT
"Good to Great"
Strategic Performance
Dashboard

Year-To-Date Reporting Period:
1/1/08 - 2/29/08

Presented to:

Dr. Melodie Mayberry-Stewart
NYS Chief Information Officer and
Director of the Office for Technology

Dated: March 26, 2008

INTRODUCTION

This is the first version CIO/OFT strategic performance dashboard and scorecard. The performance dashboard and related charts provide visibility into CIO/OFT strategic goals, performance metrics, current operational state, and performance targets. The figures depicted in the "target" column of the dashboard align directly with what is to be accomplished through fiscal year 2010. A brief analysis is also provided for each performance metric.

Performance Dashboard

The performance dashboard format is the preferred way to provide a quick status of the CIO/OFT performance measures using a color-coded scheme of red, green and yellow to indicate quickly and visually the agency's progress on each of seven strategic goals. The colors indicate the status of each performance metric and target as follows:

- Green = Performance Target _Was_ Achieved
- Yellow = Performance Target Shows Positive Progress
- Red = Performance Target _Was Not_ Achieved

Dashboard Criteria

> - Performance Target _Was_ Achieved
>   The current operational state of the KPI is 95% or more, indicating that the performance target was achieved.

> Performance Target Shows Positive Progress
> The current operational state of the KPI is between 75% and 94%, indicating "positive" progress toward expectations.

> - Performance Target _Was Not_ Achieved
>   The current operational state of the KPI is below 75%, indicating progress toward expectations is not being met.

The Scorecard, Metric and Owner

The scorecard on pages 9-10 is a visualization of each key performance indicator (KPI) that are aligned with a performance metric and other critical variables. For clear accountability, each KPI has an assigned program owner who is either a Deputy CIO or a Director.

Each performance metric is expressed in quantifiable terms (a) to ensure a one-to-one relationship between the performance metric and the desired target performance level and (b) to monitor and track progress performance outcomes. The selected performance metrics form a balanced set of performance metrics and targets to assist the owners in:

- **Determining if CIO/OFT is meeting the performance target;**
- **Identifying and offering alternative solutions to quickly address problems;**
- **Improving business processes and service delivery; and**
- **Assessing if performance has improved and if corrective actions are warranted.**

Performance Target

Each performance target is aligned with a performance metrics. The performance target is the service level or improvement CIO/OFT is aiming to achieve over a certain period. The performance target provides an indication of "Actual" performance as compared to the desired "Target" performance level.

Charts

The Actual vs. the Target performance levels are depicted on each chart. The charts convey performance results including comparative data in the form of past performance results, and when available external "best practice" benchmarks, baselines, trends in performance, and progress towards achieving a performance target.

Report Time

The CIO/OFT Strategic Dashboard will be prepared each month and will be posted on the CIO/OFT website. The report deadline will be no later than the second week of the subsequent month following the end of the current reporting month. For example, the 2008 Year-To-Date (YTD) Report for March will be published and posted no later than April 18, 2008.

Not all performance data will change from month to month because the reporting frequency value is different for each KPI. The KPI reporting frequencies are shown in the performance dashboard, which is located on pages 9-10.

The alignment of all measurements into a single framework will help CIO/OFT go from performance measurement (what is occurring) to performance management (what actions should be taken).

CIO/OFT PERFORMANCE DASHBOARD

Table 1: CIO/OFT "Going From Good to Great" Strategic Performance Dashboard				
Goals and Metrics	Target	Actual	Status Indicator	Analysis
Goal #1: Lead IT Enterprise Strategic Direction				
1. Percent (%) of "required" Annual Technology Plans (ATPs) submitted By Required NYS Agencies	100%	100%	◕	Please note 2% of the agencies are not required to complete the ATP. As shown, we have full compliance.
2. Percent (%) of agencies submitting ATPs with strategic plans in place.	100%	14%	●	This target was not achieved during this reporting period. 86% of the state agencies do not have a strategic plan, which highlights the need to develop the State's Enterprise Strategic Plan.
Goal #2: Strengthen IT Governance to Increase Accountability				
3. Average processing days for Plan to Procure (PTPs) Fast Track Transactions	2 days	2.2 days		This target shows improvement with a high volume of Plan to Procure (PTPs) requests and limited resource as the fiscal year is ending.
4. Average processing days for PTPs Less Than $250K in Value	5 days	14.7 days	●	The IT Governance group is looking to reduce this number. The year-end jump in volume was expected and will be reduced in the next cycle.
5. Average processing days for PTPs Greater than $250K in Value	10 days	32.2 days	●	This area is of great concern. These items will require detailed review and should experience a drop once the new PTP policy is in place.
Goal #3: Achieve Customer-Focused Delivery Excellence				
6. Average overall customer satisfaction rating	3.8	3.4		Target not achieved. Overall survey results reflect 68% based on a Likert rating scale from 1 to 5 for 3rd quarter of current fiscal year.
7. Average account management customer satisfaction rating	3.4	n/a	●	New measure added 2/08
Goal #4: Enhance Vendor Accountability and Investment Return				
8. Percent (%) MWBE Contracts Represent of Total Contract Value	20%	.08%	●	This target was not achieved. CIO/OFT has submitted an agency MWBE Plan to meet the 20% goal. MWBE is less than 1% of total contract expenses ($22M) through third quarter of the current fiscal year.
9. Percent (%) MWBE Firms Represent of Total Technology Firms Contracted by CIO/OFT	20%	6%	●	This target was not achieved. MWBE quantity of contracts paid (count = 8) represent only 6% of total contracts paid (144) through the third quarter of the current fiscal year.

| Table 1: CIO/OFT "Going From Good to Great" Strategic Performance Dashboard				
Goals and Metrics	Target	Actual	Status Indicator	Analysis
Goal #5: Operate "Best In Class" IT Environment				
10. Agency Participation Rate for Enterprise NYSeMail Services	50%	21%	●	This target was not achieved. The Email team is analyzing how to increase this usage; and they have identified new agencies interested in the enterprise email system.
11. Agency Participation Rate for Enterprise Mainframe Services	99%	96%		This target is moving in the right direction. The new Enterprise Technology Center will enable further consolidations.
12. Agency Participation Rate for Enterprise Server Services	20%	12%	●	This target was not achieved and represents the greatest growth opportunity. A plan should be developed to consolidate servers and initiate a server virtualization initiative.
Goal #6: Build and Retain a Talented IT Workforce				
13. Average FTE/Consultant Level	20%	24%	●	Target not achieved. 3:1 ratio for FTE/Consultant levels engaged in performing IT services for CIO/OFT.
14. # of training/coaching hours completed by CIO/OFT employees.	37.5 hrs	<5 hrs	●	Target not achieved. 119 employees receive at least 37.5 training hours; whereas 513 receive less than 5 training hours.
Goal #7: Achieve Global Recognition for IT Leadership and Change				
15. NYS Ranking[1]	Top 10	18	●	This new measure was added on 2/08
16. e-Government Rankings[2]	#2	#21	●	This new measure was added on 2/08
17. NYS e-Government Online Applications	440	392	●	This new measure was added on 2/08
18. NYS Information & Infrastructure State Grade[3]	A-	C+	●	This new measure was added on 2/08
19. NYS Average Broadband Speed Rating	#3	#4	●	This new measure was added on 2/08
20. NYS Digital Economy Ranking[4]	#5	#8	●	This new measure was added on 2/08

[1] Source: Digital Government State Survey
[2] Source: Brown University
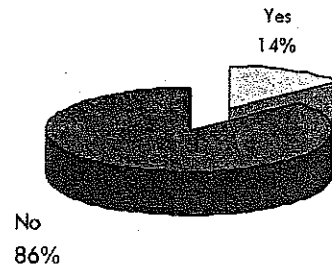[3] Source: Government Performance Report
[4] Source: The 2007 State new Economy Index
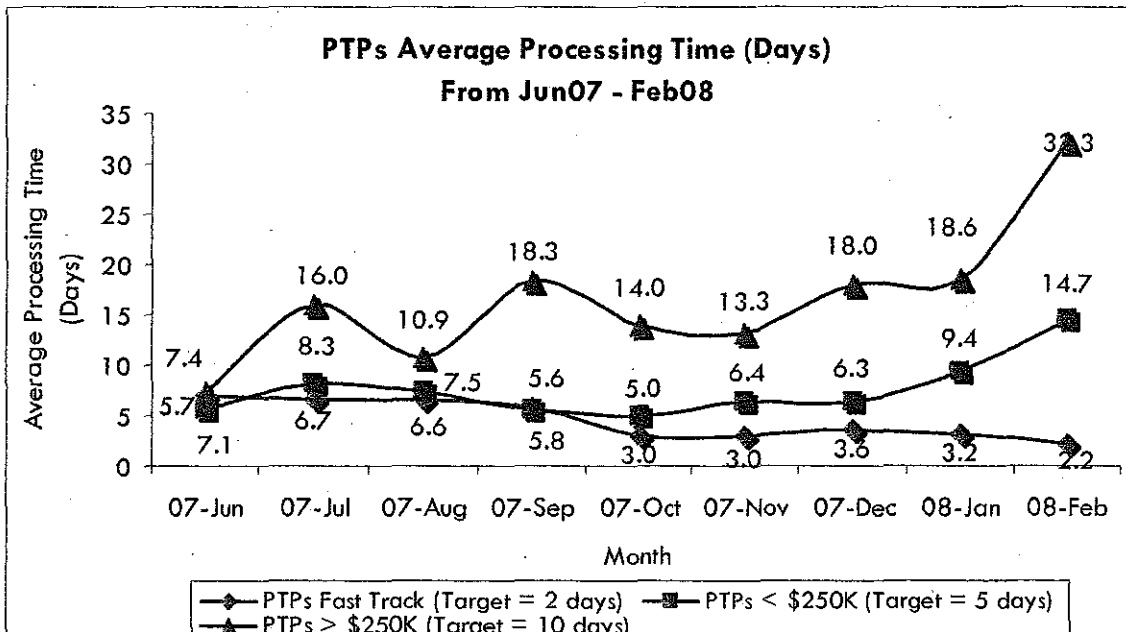
Goal 1: Lead IT Enterprise Strategic Direction

ATPs Received from NYS Agencies
As of December 31, 2007

Not
Received
0%

Received
100%
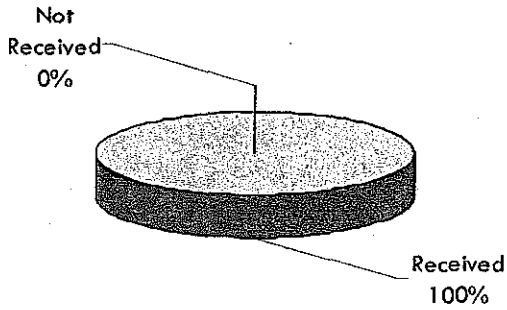
% of State Agencies with Strategic Plans
As of December 31, 2007

Yes
14%

No
86%

Goal 2: Strengthen IT Governance to Increase Accountability

PTPs Average Processing Time (Days)
From Jun07 - Feb08

Average Processing Time (Days) vs Month

- PTPs Fast Track (Target = 2 days): 7.1, 6.7, 6.6, 5.8, 3.0, 3.0, 3.6, 3.2, 2.2
- PTPs < $250K (Target = 5 days): 5.7, 8.3, 7.5, 5.6, 5.0, 6.4, 6.3, 9.4, 14.7
- PTPs > $250K (Target = 10 days): 7.4, 16.0, 10.9, 18.3, 14.0, 13.3, 18.0, 18.6, 31.3

Months: 07-Jun, 07-Jul, 07-Aug, 07-Sep, 07-Oct, 07-Nov, 07-Dec, 08-Jan, 08-Feb

Legend:
— PTPs Fast Track (Target = 2 days) — PTPs < $250K (Target = 5 days)
— PTPs > $250K (Target = 10 days)

Goal 3: Customer-Focused Delivery Excellence

Average Overall Customer Satisfaction Rating
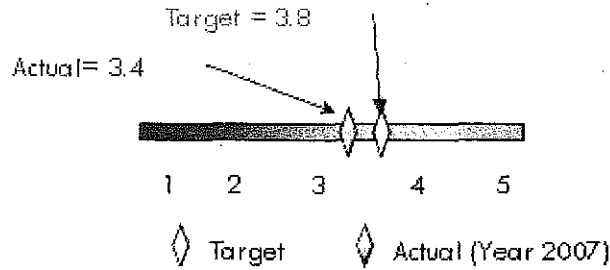
Target = 3.8

Actual = 3.4

1   2   3   4   5

◇ Target   ◇ Actual (Year 2007)

Goal 4: Enhance Vendor Accountability

M/WBE Contracts as % of Total Contract Expenditures

	1st Qtr.	2nd Qtr.	3rd Qtr.
Percentage	1.23%	0.59%	0.84%

Quarter (FY 2008)

M/WBE Contracts as % of Total Contracts Awarded

	1st Qtr.	2nd Qtr.	3rd Qtr.
Percentage	4%	5%	6%

Quarter (FY 2008)

Goal 5: Operate "Best In Class" IT Environment

Enterprise Participation Rate for Mission Critical Applications

	NYSeMail Services	Mainframe Services	Servers
Target	50%	99%	20%
Actual	21%	96%	12%

Application/Infrastructure

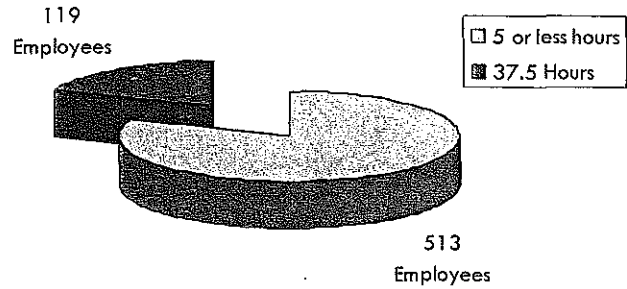☐ Actual ▨ Target
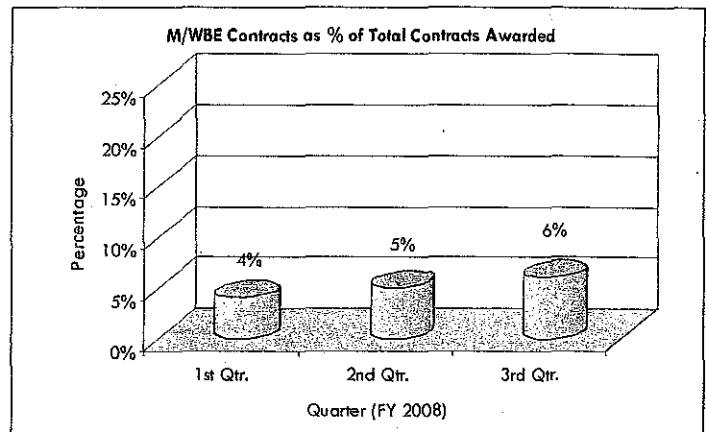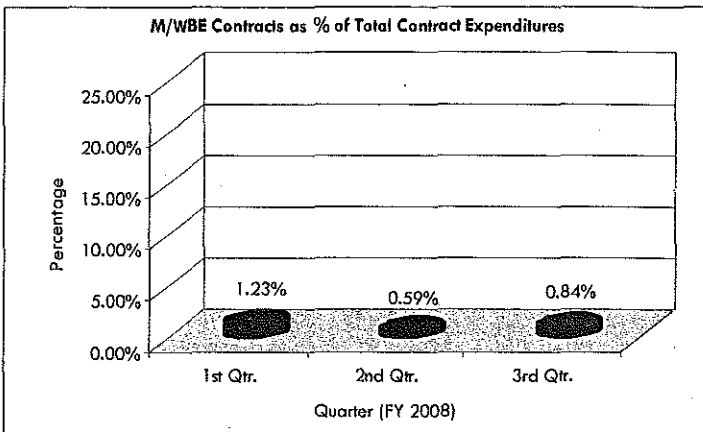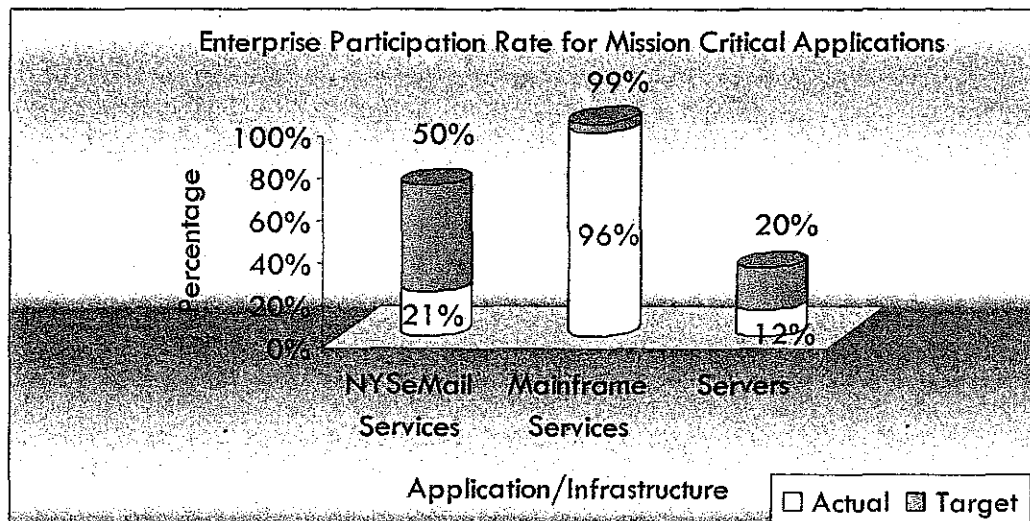
Goal 6: Build and Retain a Talented IT Workforce

**FTE/Consultant Level
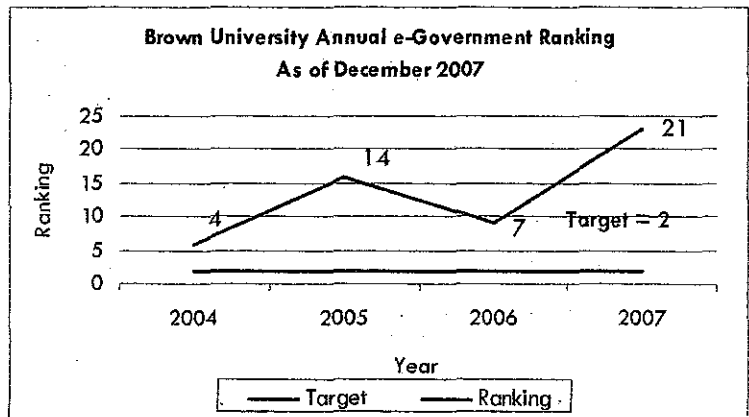As of December 2007**

Consultants
24%

FTE
76%
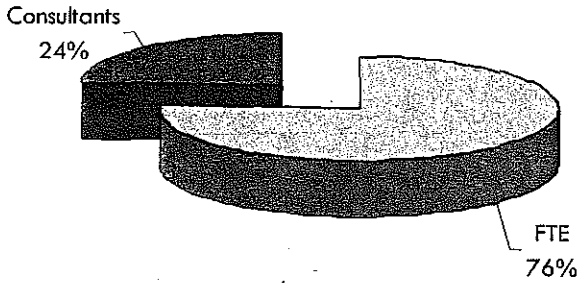
Target = 10%

**# of Training Hours Completed by CIO/OFT Employees
As of February 2008**

119
Employees

□ 5 or less hours
▨ 37.5 Hours

513
Employees

Target = 37.5 Training Hours/Employee

Goal 7: Achieve Global Recognition for IT Leadership

**Digital State Survey Rank Distance from Target
As of Year 2007**

Rank Distance

16   16
              8   8

Target = 10

2004   2005   2006   2007

Year

— Target — Rank Distance

**Average NYS e-Gov Application Services Growth
As of Year 2006**

Average Score

317   335   392

2004   2005   2006

Year

— Target — Average Score

**Brown University Annual e-Government Ranking
As of December 2007**

Ranking

                14   21
4   7   Target = 2

2004   2005   2006   2007

Year

— Target — Ranking

NYS grade – Government Performance Report

Target = 3

Actual = 4

```
      5       4       3       2       1
      ◊  Target        ◊  Actual
```
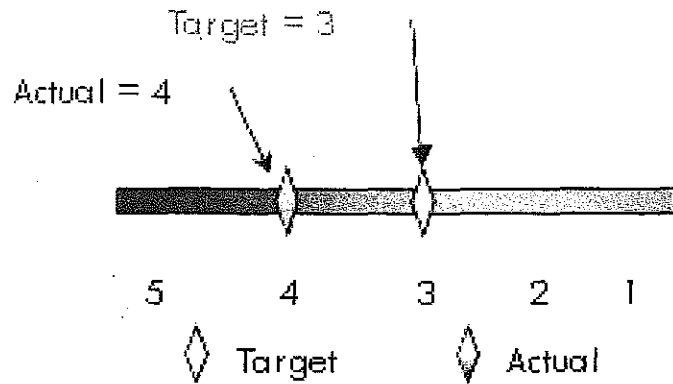
NYS grade – Universal Broadband Rating

Actual = C+

Target = A-

```
      D       C       B       A
      ◊  Target        ◊  Actual
```
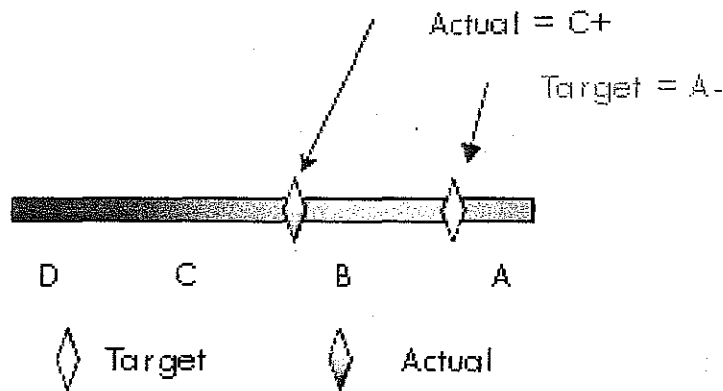
NYS grade – Digital Economy Ranking

Target = 3

Actual = 8

```
   8  7  6  5  4  3  2  1
      ◊  Target        ◊  Actual (Year 2007)
```
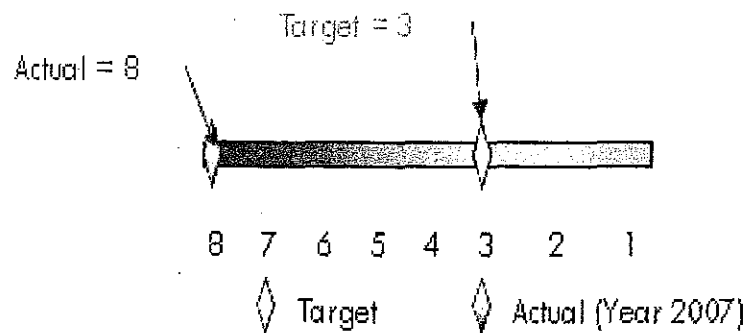
Table 2: CIO/OFT PERFORMANCE SCORECARD – FISCAL YEAR 2008

Key Performance Indicator	Program Owner	Source	Metric	Report Time	Baseline	Target
Goal #1: Lead IT Enterprise Strategic Direction						
1. Annual Technology Plans (ATPs)	Singleton	ATP Addendum Report	% of ATPs Received from Required YS agencies	Annually	98%	100%
2. Agency IT Strategic Plan	Singleton	ATP Addendum Report	% of Required Agencies With IT Strategic Plans	Annually	14%	100%
Goal #2: Strengthen IT Governance to Increase Accountability						
3. PTP Fast Track	Singleton	PTP Performance Report	Average processing time for PTP Fast Track items.	Mthly	5.5 days	2 days
4. PTP (Normal) <$250K	Singleton	PTP Performance Report	Average processing time for PTPs less than $250K.	Mthly	5.4 days	5 days
5. PTP (OCIO) >$250K	Singleton	PTP Performance Report	Average processing time for PTPs greater than $250K.	Mthly	15 days	10 days
Goal #3: Achieve Customer-Focused Delivery Excellence						
6. Overall Customer Satisfaction	Healy	CIO/OFT Customer Survey	Average overall customer satisfaction rating	Mthly	3.4	3.8
7. Account Management Satisfaction	Healy	CIO/OFT Customer Survey	Average account management customer satisfaction rating	Mthly	0	3.4
Goal #4: Enhance Vendor Accountability and Investment Return						
8. MWBE Total Contract Value	Durand	Shared Services	% MWBEs of Total Contract Value	Qtrly	0.9%	20%
9. MWBE – Total Firms	Durand	Shared Services	% MWBEs of Total Contracted Firms	Qtrly	5%	20%
Goal #5: Operate "Best In Class" IT Environment for Mission-Critical Applications/Infrastructure						
10. Enterprise Email Services Participation Rate	Kattleman	ATP Addendum Report	% of Agencies Using Enterprise Email Services	Qtrly	20%	50%
11. Enterprise Mainframe Services Participation Rate	Fitzsimmons	ATP Addendum Report	% of Agencies Using Mainframe Services	Qtrly	97%	99%
12. Enterprise Server Services Participation Rate	Fitzsimmons	ATP Addendum Report	% of Agencies using Enterprise Server Services	Qtrly	13%	20%

Table 2: CIO/OFT PERFORMANCE SCORECARD – FISCAL YEAR 2008

Key Performance Indicator	Program Owner	Source	Metric	Report Time	Baseline	Target
Goal #6: Build and Retain a Talented IT Workforce						
13. Staff Augmentation	Durand	Shared Services	% Consultants of Total IT Workforce	Qtrly	23%	20%
14. Training and Development	Durand	Shared Services	Average # of Training Hours Completed Per CIO/OFT Employee	Mthly	<5 Hours Per FTE	37.5
Goal #7: Achieve Global Recognition for IT Leadership, Innovation, and Transformational Change						
15. Digital State Survey	Healy	Center for Digital Government Annual Digital State Survey	NYS ranking	Annually	#18	Top 10
16. E Government - Brown University	Healy	State & Federal E-government in the US – Taubman Center for Public Policy, Brown University	e-Government Ranking	Annually	#4	#2
17. NYS e-Gov Services	Healy	E-Commerce Survey	# of NYS e-Government Services Available Online	Annually	400	440
18. Governing Performance Report	Healy	Government Performance Project Report	NYS grade Information/ Infrastructure	Annually	C+/B-	A-
19. Universal Broadband Speed	Corcoran	CWA, Speed Matters	NYS Average Broadband Speed State Rating	Annually	#4	#3
20. Digital Economy	Corcoran	State New Economy Index – Benchmarking Economic Transformation in the States – The Information Technology & Innovation Foundation	Digital Economy Ranking	Annually	3	8

NEW YORK STATE CHIEF INFORMATION OFFICER

CIO OFT

NEW YORK STATE OFFICE FOR TECHNOLOGY