State of Maine Information Technology Plans

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Administrative & Financial Services, DEPARTMENT OF

Information Technology Plan

Accounts & Control, Bureau of
Submitted by: Carol Whitney, Joseph Shaw, and MFASIS Steering Committee

Date Revised: March 6, 2000

Introduction: For several years MFASIS has been at 100% maintenance, with no discretionary funds available to replace or enhance the system. An Enterprise System, currently MFASIS, provides the core or umbrella for all sub systems within the agencies. Sub systems are interfaced with MFASIS to capture all transactions, ensuring accurate financial reporting. Today's ERP systems provide the automation and functionality necessary to conduct wise and prudent business practices. An RFP for an ERP system has not been developed but will begin before the next legislative session, where funding will be requested for the accounting and HR production systems (the performance budget production system is in implementation currently). The MFASIS Steering Committee voted to request funding for MFASIS replacement from the one time money (surplus) from year-end FY99, and was denied by the Executive. Virtually all states have leading edge ERP systems or are in implementation currently, which will alert Maine to successful paths and pitfalls as we advocate for a replacement ERP system. The business and technical plan will be a joint effort of BAC/BHR/BOB/BIS and selected agency groups. Approval will be by the MFASIS Steering Committee, followed by the Commissioner/Executive with approval for an appropriation request. It is a strategic business imperative, if this state is to accept attrition, work lean and smart, and satisfy mandates from any number of sources like GASB, the federal government, etc.

Initiative: Replace MFASIS Accounting and Human Resources Production System

Business Function Affected (Description): Replacement of the MFASIS Accounting and HR Production Systems.

Relationship to the Agency's Strategic Business Plan: The Bureau is showing start up of the accounting replacement in FY2001, the first opportunity to request an appropriation for the software/hardware purchases and implementation. The RFP will be ready for release upon receiving an appropriation.

Estimated Life: 10 years

Estimated Development Time: Minimum of 2 years (accounting 1.25 years and HR .75 years).

Technology Used: Oracle database, the software is purchased from a vendor based on an RFP selection process, and the requirements and the software vendor selected will determine hardware.

User Community Impact: The user community, all agencies, and other public sector entities wanting secure space at cost, will receive adequate training as part of the overall project and parallel processing will occur but is not expected to be onerous. Sub-systems that have been built by agencies to fill the MFASIS functionality gap can be abandoned once the replacement system is live.

Alternatives That Were Considered: None. Any further customization of the MFASIS system is neither fundable nor prudent.

BIS Service Impact: NA, The BIS MFASIS Team will lead and do the heavy lifting on the technical side. Many BIS services will notice less call for service, as the new ERP system becomes familiar.

Expected Benefits:

- Considerable added functionality in many areas to be determined by agencies in the requirements section of the RFP.
- Substantial increased productivity.
- Virtually paperless environment.
- Internal Controls embedded in the ERP system.
- Enterprise warehouse with significant functionality, including management reports.
- CAFR software particularly related to GASB 34/35.
- Cutting edge procurement functionality.
- E-commerce applications, embedded.
- Exception processing.

- Functionality re federal mandates.
- Low maintenance costs, and a minimum of customization.
- Many other advantages too numerous to mention.

Initiative: MFASIS, Electronic Data Interchange (EDI) Translator to Allow Addenda Records to Accompany Electronic Payables to Vendors

Business Function Affected (Description): An electronic data interchange (EDI) translator is being provided by BIS: MFASIS Team, to allow addenda records to accompany electronic payables to vendors, program clients and other public sector entities. This application is especially attractive to those entities that have numerous/frequent payments due from the State. All monthly payments due, for example, can be paid in one electronic amount with addenda records to identify individual payments within the whole. Examples of likely users of this application in each category mentioned: FedEx, Medicaid providers, and the City of Portland.

Relationship to the Agency's Strategic Business Plan: Creating process efficiencies and delivering the best possible customer service are business plan linchpins, which this application specifically addresses.

Estimated Life: Until a more advanced application replaces EFT/EDI.

Estimated Development Time: BIS is the arbiter of application availability, as they control the RFP process and the subsequent rates to support the service.

Technology Used: Defer to BIS

User Community Impact: Departments will be educated around application availability and how to identify likely candidates, with some marketing support. Work done by Loder Drew identifies all payables by Department, along with those vendors with multiple payments due.

Alternatives That Were Considered: None at this time

BIS Service Impact: RFP selection process, some programming by the MFASIS Team, structure rates to compensate BIS for purchase of the hardware/software and any network usage.

Expected Benefits: Satisfied customers, significant productivity savings associated with no check issuance, hard dollar savings on the primary bank analysis (or bill) monthly. There is a wide range of costs associated with producing hard checks, and no particular rule of thumb. However, it is clear that the State of Maine would save BAC accounting/payroll and BIS production time, check stock, and the time to perform many other manual practices.

Initiative: The Department of Transportation has developed a prototype of a Time and Attendance System. The Bureau of Accounts and Control and the MFASIS team will develop and adapt the system for statewide use.

Business Function Affected (Description): New Statewide Time and Attendance System

Relationship to the Agency's Strategic Business Plan: This initiative will help to facilitate the operational and system efficiencies throughout State Government.

Estimated Life: 10 Years

Estimated Development Time: Begin: April 2000. End: July 2001

Technology Used: Web Server, Oracle Database, Oracle forms, and the Intranet.

User Community Impact: All State Employees

Alternatives That Were Considered: Other alternatives include an offline desktop database for tracking leave and uploading to the MFASIS Payroll System. This was rejected due to its limited functionality and its inability to allocate payroll costs by project.

BIS Service Impact: BIS staff will have significant project involvement. In addition, the system will impact the State's WAN and require other alternative for reporting time worked, such as, voice activated systems.

Expected Benefits: There will be significant productivity savings within all agency payroll divisions and central payroll processing. It is estimated that productivity savings will exceed $2 million within 3 years of the implementation of the new system.

Initiative: Replace current microfiche system with Optical Scanning System

Business Function Affected (Description): Optical Scanning System

Relationship to the Agency's Strategic Business Plan: This new scanning system will create operational efficiencies and direct savings to the State.

Estimated Life: At least 10 years.

Estimated Development Time: Begin: April 2000. End: May 2000

Technology Used: Bar Code Printer, Optical Scanner, Web Server, and Database.

User Community Impact: Initially, the scanning system will be available to the Bureau of Accounts and Control only. In the future, all agencies will be able to scan their financial records over the State's Intranet. All agencies will be able to retrieve their records over the State's Intranet.

Alternatives That Were Considered: Outsourcing was considered, but the cost was over $.14/page (over 1.5 million pages per year). The solution cost is less than $.05/page.

BIS Service Impact: Desktop will support the Windows NT server and will assist in the implementation. Intranet access will need to be addressed.

Expected Benefits: This new scanning system will save the Bureau of Accounts and Control over $100,000/year. The internal resources required for the maintenance of the State's records will be reduced from 2.5 FTEs to 1.0 FTE.

Budget, Bureau of the

Submitted by: Jack Nicholas, State Budget Officer

Date Revised: March 4, 2000

Initiative: Replace existing (MFASIS) with new Budget and Financial Management System

Business Function Affected (Description): Provide hardware, software licenses, software maintenance and network service for the replacement of the current Budget and Financial Management System.

Relationship to the Agency's Strategic Business Plan: Replacement of the Budget and Financial Management System supports the goals of the Department of Administrative and Financial Services. Fully implement performance budgeting to include the development of a new budget document and the re-engineering of the budget process. Performance Indicators: Have the new Budget and Financial Management System on-line and in use for the 20002/2002 biennial budget. Number of agencies submitting performance-based budgets by September 1, 2000. Fully implement leading edge technology solutions in the financial arena to include replacing MFASIS. The replacement of the Budget and Financial Management system will be the first MFASIS system to be replaced.

Estimated Life: Five years

Estimated Development Time: Implementation began on October 25, 1999. Core Budget Development and Personal Services forecasting will be implemented on July 1, 2000. The remaining components of the system (annual budgets, cost allocation and legislative tracking) will be implemented no later than May 1, 2001.

Technology Used: The state has contracted with Legacy Solutions for the packaged software. The Legacy solutions software uses the Oracle database Version 8 running on the Unix operating system. Power builder is the development tool. The software will reside on a BIS sever but will also use three Citrix Metaframe application servers.

User Community Impact: The primary user community includes the Bureau of the Budget and the Chief Financial Officers and their staff in the departments and agencies. We expect to run in a parallel mode for some time with the Personal Services Forecasting Module. The possibility of

running in parallel mode for Core Budget Development has yet to be discussed. Although that approach would be desirable, we need to assess the impact on users from duplicate budget entry. Training will be provided as part of the contract with Legacy Solutions. Ongoing training will be organized through the Bureau of the Budget. Additional users will include the Commissioner of the Department of Administrative and Financial Services, the Governor and his/her senior staff and the Legislature and their staff. As use by the latter community will be on an informational basis only, training for the most part will not be required. However, training for staff of the legislative Office of Fiscal and Program Review will be provided, as they will be more intensive users of the system.

Alternatives That Were Considered: Coopers & Lybrand evaluated the possibility of enhancing the existing Budget and Financial Management System. That option was not recommended because of the estimated cost to meet basic functionality ($500,000) and the uncertainty that the current system could provide the full functionality needed.

BIS Service Impact: The Budget and Financial Management System is using two BIS staff as Project Manager and Deputy Project Manager. Other BIS staff will be dedicated to the project for technical support and expertise on an as needed basis (e.g., ADA compliance, etc.). The software vendor will provide all programming as required by the contract. BIS network services will be impacted, the cost of which in identified in the accompanying spreadsheet.

Expected Benefits: Budget and Financial Management System Functional Goals and Expectations:

- User and version control.
- Integrate department strategic plans and performance measures with legislatively defined program budgets.
- Eliminate the need for off line systems and duplicate data entry.
- Support budget development and reporting at cost center or responsibility center aggregated up to legislatively defined program budgets.
- Track legislation with fiscal impact.
- Allocate budgets and costs to reflect accurate costs of operating units and eliminate manual entries and ‘paper’ journal vouchers.
- Eliminate data redundancy.
- Dynamic personal services forecasting and analysis.
- Support budgeting on a Generally Accepted Accounting Principle (GAAP) basis.
- User friendly.

- Combine text, data and graphics.
- Integrate optional sub schedules for budget development and analysis.
- "What if" budget scenario capability.
- Flexible reporting and data access.
- Flexible organization structure.
- Easy and flexible download and upload of data into spreadsheets for analysis.
- Ten years of historical data for trend analysis.

General Services, Bureau of

Submitted by: Richard Thompson, State Purchasing Agent

Date Revised: March 1, 2000

Introduction: The Bureau of General Services consists of several Divisions and sub-divisions that provide a series of unique products and services to State Agencies and other governmental and educational facilities. Each has individual needs for IT, usually using standard software products of varying complexity depending on use. The following initiatives represent current and proposed activity in the remainder of the biennium. The current mix of desktop devices represent about 75% desktops under service level agreements with the Bureau of Information Services, the balance owned by the various divisions. A complete inventory and refreshment plan will be developed prior to the budget submission in July of 2000. The following list of initiatives will be updated to include plans for future enhancements in the Professional Services Division and Property Management Division. Leased Space and Risk Management currently use the standard desktop hardware and shrink-wrapped software products to perform the functions within their offices.

Purchases, Division of

Submitted by: Terry DeMerchant

Date Revised: March 1, 2000

Initiative: Electronic Purchasing/Catalog Buying

Business Function Affected (Description): Electronic Purchasing/Catalog Buying

Relationship to the Agency's Strategic Business Plan: State Agencies and vendors will both be able to submit information electronically.

Estimated Life: 5 years

Estimated Development Time: 3/1/00 to 6/30/00

Technology Used: Web Browser only

User Community Impact: One-half day training for state agency users and vendors, 1-1/2 days training for Purchases staff. Real time information will be available on commodity procurements and catalog items will be available using a shopping cart order format.

Alternatives That Were Considered: Other proposals received offered a client server based solution and others were over the allotted budget.

BIS Service Impact: WAN traffic will be increased by agency users as information will be electronically sent by state agencies. No increase in vendor traffic is anticipated since an application service provider will host the system.

Expected Benefits: Paper process savings, as everything will be done electronically. Soft dollar timesavings are anticipated, but not calculated.

Unit: Surplus Property

Submitted by: Andrew Vellani

Date Revised: March 21, 2000

Initiative: Sales, invoicing, inventory and reporting controls for Federal Surplus Property

Business Function Affected (Description): Sales, invoicing, inventory and reporting controls for Federal Surplus Property.

Relationship to the Agency's Strategic Business Plan: Integral part of accountability to provide quality Federal surplus property at a reasonable cost to donees.

Estimated Life: 5 years

Estimated Development Time: September of 2000 to July of 2001

Technology Used: Inventory software package and barcode technology.

User Community Impact: Training provided by selected vendor. Users will be able to access inventory via catalog system in Purchases.

Alternatives That Were Considered: Manual process currently being used is inherently error prone.

BIS Service Impact: Website to include donee viewing of all available inventory with possible options to "hold" property, possible online sales with electronic transfer of invoicing to the accounting section.

Expected Benefits: Streamline sales, invoicing, inventory and reporting processes. $ Unknown at this point.

Unit: Central Printing Services

Submitted by: Bruce R. Trask

Date Revised: March 24, 2000

Initiative: Print Shop Management System

Business Function Affected (Description): Print Shop Management System (Info Net)

Relationship to the Agency's Strategic Business Plan: Central Printing needed a system that could perform multiple tasks - track jobs, pricing/billing, reports, and to receive electronic job submission.

Estimated Life: 5 years or more.

Estimated Development Time: May 1999 to May 2000 to convert job tracking and pricing/billing systems. Electronic job submission will be set up in a beta site to test and work out any problems before it is rolled out to other customers May to July 2000.

Technology Used: Server, PC's, Info Net print shop software.

User Community Impact: Electronic print job submission will allow direct access to the service from a user's desktop. Customers may need some training on how to fill out and send the electronic requisition/electronic print job.

Alternatives That Were Considered:

BIS Service Impact: LAN use, BIS nightly backups, service on server and PC's as needed. There will be network traffic volume with the electronic transfer of documents.

Expected Benefits: Time and convenience to customers is paramount. Customers will be able to electronically send work, saving time. Improved print quality if print jobs are sent electronically – no print degradation from making copies of copies. With electronic job submission, we'd be aiding in a form of paperless environment, as customers would not need to print out originals from their printers to send us to print from. More accurate billing process due to the electronic pricing component in the software.

Unit: Central Fleet Management

Submitted by: Mark Bailey

Date Revised: March 6, 2000

Introduction: Telephone calls regarding vehicle rental reservations, requests for leased vehicles, and questions regarding policies and procedures were consuming much of our staff's time. Allowing our customers to access policy and procedural information, make inquires, and fill out request forms for rental and leased vehicles by use of the State's intranet system would eliminate a great number of these calls. Projected costs to achieve this initiative are unknown at this time. Discussions with BIS will need to be conducted in order to estimate the costs associated with such an initiative. To reduce filing we would like to set up a scanning process to scan mileage reports, repair orders and vendor invoices. This would allow staff the ability to view this information from their computers vs. going to a paper file to retrieve the information. Cost unknown. Reconfigure our network setup. Our current network configuration is not efficient. We experience network failures on a regular basis. This problem creates an unacceptable amount of down time for our staff.

Initiative: Vehicle Reservations over the State Intranet

Business Function Affected (Description): Use State intranet to allow customers to make reservations for rental vehicles, request permanent and seasonal vehicles, and obtain policy and procedural information.

Relationship to the Agency's Strategic Business Plan: This initiative should improve our ability to provide vehicles to using agencies.

Estimated Life: Unknown

Estimated Development Time: July 2000 to July 2001

Technology Used: PCs with Web Browser Software

User Community Impact: Anyone with general knowledge of internet/intranet use should be able to easily access and use.

Alternatives That Were Considered: Voice mail system considered but too much time would be spent using this method.

BIS Service Impact: Assistance may be needed regarding State guidelines for building web pages. Some technical assistance may be needed to create web pages.

Expected Benefits: Reduce number of telephone inquiries, eliminating the possible need of more staffing.

Initiative: Scan Mileage Reports

To reduce filing we would like to set up a scanning process to scan mileage reports, repair orders and vendor invoices. This would allow staff the ability to view this information from their computers vs. going to a paper file to retrieve the information. At this time, this initiative is only a concept. If deemed feasible, we will update our proposed plan. Cost unknown.

Initiative: Reconfigure LAN

Reconfigure our network setup. Our current network configuration is not efficient. We experience network failures on a regular basis. This problem creates an unacceptable amount of down time for our staff. At this time, this initiative is only a concept. If deemed feasible, we will update our proposed plan. Reconfiguration of our network when the State Office Building renovation is complete may alleviate the current problem.

Unit: Central Mail Services

Submitted by: Jay J. Carlson

Date Revised: March 31, 2000

Initiative: Mail Management

Business Function Affected (Description): Mail Management System (New England Shipping) (ASCOM)

Relationship to the Agency's Strategic Business Plan: The department needed a system that could automate the department's postal accounting and charge back system.

Estimated Life: 5 years or more.

Estimated Development Time: December 1998 to May 1999.

Technology Used: Server, PC's, ASCOM software.

User Community Impact: Customers may need some training on how to fill out bar coded mail cards.

Alternatives That Were Considered: Hand written system was replaced by this system.

BIS Services Impact: LAN use, BIS nightly backups, service on server and PC's as needed.

Expected Benefits:

- Connectivity to 9 (nine) postage meters and one freestanding unit (may be expanded).
- Ability to confirm and validate account codes.

- Provide automatic surcharge for each account.
- Transmission of real time data.
- More accurate billing because of the pricing component in the software.
- Storage of transactions.

Unit: Central Warehouse

Submitted by: Andrew Vellani

Date Revised: April 10, 2000

Initiative: Warehouse Management system

Business Function Affected (Description): Ordering, inventory and invoicing software.

Relationship to Agency's Strategic Business Plan: Replacement of current system which is obsolete.

Estimated Life: 8+ years

Estimated Development Time: 5-22-00 to 7-31-00

Technology Used: Axiom Warehouse software, written in visual basic (32 bit) installed on existing PCs and server running on Windows 95/98 and/or Windows NT 4.0 utilizing barcode scanners for order fulfillment and uploading to accounting for electronic invoicing. The system will accept orders through a portal existing on the Division Of Purchases E-Mall software.

User Community Impact: Training will be included in contract cost and will be required by successful Vendor.

Alternatives That Were Considered: None

BIS Service Impact: This software will accept orders a Division Of Purchases portal over the Internet/Intranet with electronic transfer of data, via a flat file to the division accounting section. The system will also utilize networked printers and uploading real time transactions with barcode scanners.

Expected Benefits: Expected increase in productivity with a significant reduction in inventory discrepancies. Also will streamline the inventory process and eliminate redundant manual date entry in the accounting section through the application of electronic file transfer.

Unit: Central Copy Center

Submitted by: Bruce Trask

Date Revised: April 26, 2000

Initiative: Print Control Software

Business Function Affected (Description): Print control software.

Relationship to the Agency's Strategic Business Plan: Update of current print control software from a DOS based application to a enhance and streamline the data collection process allowing management from a central PC to facilitate the downloading of machine key readings from a remote site connected photocopier. Data is currently being collected in the Augusta, Hallowell and Gardiner areas by physically downloading from each individual photocopier to a laptop.

Estimated Life: 4+ years

Estimated Development Time: June 2000 to June 2001.

Technology Used: Server, PC and software. RFP is being developed to solicit bids.

User Community Impact: System complexity anticipates minimal training requirements.

Alternatives That Were Considered: Various products are currently being researched.

BIS Service Impact: LAN use, BIS nightly backups, data drops, maintenance on server and PC as needed.

Expected Benefits: Ability to gather billing data (key readings) from a central PC saving gas and vehicle mileage, better customer service, permitting employee to be readily available, and enhancement of features of current system.

Human Resources, Bureau of

Submitted by: Richard Paradis

Date Revised: March 17, 2000

Initiative: Imaging System for Personnel Records

Business Function Affected (Description): Replace microfiche with data imaging and make the digitized images available through the state's Intranet.

Relationship to the Agency's Strategic Business Plan: Accessible, reliable and cost justifiable record keeping.

Estimated Life: 10+ years.

Estimated Development Time: Installation of equipment and software - one week, Implementation - one week, Catch-up of backlog of personnel records - 6+ months, Digitizing paper employment applications - 1 year, Digitizing paper job classification records - 1 year

Technology Used: Kodak 3500D Scanner, Alchemy WEB Server, Powerscan image management software (IDEA Capture), In-house RAID system, 150 disk CD Jukebox

User Community Impact: Personnel, job class, position and applicant data will be available to user departments and MSRS.

Alternatives That Were Considered: Paper records - costs of storage and retrieval

BIS Service Impact: There should be additional load on the WAN due to the transmission of employee records electronically.

Expected Benefits: Planned savings in photocopying, reduction in floor space requirements, near immediate access to records and safe long-term storage of records.

Initiative: Internet based Requisition for Employees

Business Function Affected (Description): Internet based requisition for Employees. Departments will be able to access the state employment register to enter data necessary to process a Certified list of Employees. In addition, it will be possible to determine how many candidates are available so immediate decision can be made whether to advertise or use the names available. This will fill vacancies sooner.

Relationship to the Agency's Strategic Business Plan: Rapid and reliable access to BHR Services

Estimated Life: 5+ years

Estimated Development Time: 40 days

Technology Used: NT Server, SQL Server, IIS, ASP, VB, BHR RAID Server

User Community Impact: Users will need training and we will run in a test mode for selected agencies for 8 weeks.

Alternatives That Were Considered: The only database having this data is in BHR and making that database accessible through the Internet is the most cost-effective solution to the problem of making the certification process more responsive.

BIS Service Impact: There will be minimal additional traffic on the WAN as agencies request data on employment registers on-line.

Expected Benefits: Less time delay in filling positions. Better service to user agencies.

Initiative: Work Preference Matching for Selected Job Classifications

Business Function Affected (Description): We will provide the mechanism through the applicant tracking, employment applications and requisitions for employees for better matching between work and sub-occupation preferences in certifying employees to vacancies.

Relationship to the Agency's Strategic Business Plan: Easy and reliable access to BHR Services

Estimated Life: 3-5 years

Estimated Development Time: 60 days

Technology Used: NT Server, SQL Server, IIS, ASP, VB, BHR RAID Server

User Community Impact: This will require the development of a new employment application and additional requirements for selected applicants when completing that application. Requisitions for employees will also require more information and this will mean training of department personnel staff and supervisors.

Alternatives That Were Considered: This has been a long-term project that depended on the development and implementation of an automated employment register. Alternatives are to repetitiously send names for employees to vacancies in which they are not interested and too frequently decline.

BIS Service Impact: There will be additional WAN traffic.

Expected Benefits: Decreased time in filling vacancies with resulting fewer referrals of non-interested or poorly matched candidates.

Initiative: Staffing History and other Reports on-line

Business Function Affected (Description): We are moving almost all standard and repetitive reports on-line so they can be accessed through the intranet by authorized employees.

Relationship to the Agency's Strategic Business Plan: Rapid and reliable access to BHR Services.

Estimated Life: 1 - 5 years

Estimated Development Time: Work intermittently on this project over 3+ years. Never ending.

Technology Used: NT Server, SQL Server, IIS, ASP, VB, BHR RAID Server

User Community Impact: We need to notify users when their reports have been moved to the Internet.

Alternatives That Were Considered: The mini-computer that did most of the reporting has been phased out. We either drop the reports or move them to another platform. The best fit technologically is the Internet because we do not have to maintain desktop software.

BIS Service Impact: Minimal WAN impact.

Expected Benefits: Ease of maintenance and support, added services

Initiative: Internet Employment Application

Business Function Affected (Description): We currently have the employment application available for .pdf or .txt downloading to a document template. We plan to enhance this procedure to allow applicants to provide actual data on-line that will be downloaded to BHR for review, scoring and electronic processing.

Relationship to the Agency's Strategic Business Plan: Rapid and reliable access to BHR Services.

Estimated Life: 5+ years

Estimated Development Time: June 2000- Dec 2000

Technology Used: NT Server, SQL Server, IIS, ASP, VB, BHR RAID Server

User Community Impact: This will require extensive testing on trial job classifications before extending to all job classifications.

Alternatives That Were Considered: We can continue the current paper application process. The need to provide rapid response to our advertisements for applicants has never been greater. Candidates have many jobs available to them now and they do not remain as job seekers for extended periods of time.

BIS Service Impact: There will be additional WAN traffic.

Expected Benefits: Cost will be in reduced time for mailing and processing applications.

Initiative: Employment Register Maintenance

Business Function Affected (Description): We will, at set intervals, send a postcard to individuals on the register to determine whether they are still interested in employment with the state. If they return the pre-paid postcard we will extend their register eligibility for 6 months. If they do not return the card, we will remove them from the employment register.

Relationship to the Agency's Strategic Business Plan: Rapid and reliable access to BHR Services.

Estimated Life: 5+ years

Estimated Development Time: 90 days after funding becomes available.

Technology Used: NT Server, SQL Server, IIS, ASP, VB, BHR RAID Server, bar code reader, impact printer.

User Community Impact: All applicants that are on the register will be affected. We should be able to increase the length of registers because we are keeping only interested applicants on the register. Applicants will have to apply less often which saves them time and money.

Alternatives That Were Considered: To continue the current system that increases costs associated with advertising and processing of applications.

BIS Service Impact: There will be additional WAN traffic.

Expected Benefits: Savings in application printing and mailing as well as special advertising.

Initiative: Internet Access to Examination and Register databases

Business Function Affect (Description): This will allow applicants to access information on applications for employment and on the employment register. Using a password we will allow users to find out current status of applications, etc. Eventually we will allow users to make on-line changes to telephone numbers, addresses, and work locations and to inactivate records.

Relationship to the Agency's Strategic Business Plan: Rapid and reliable access to BHR Services.

Estimated Life: 5+ years

Estimated Development Time: July 2001 - Dec 2001

Technology Used: NT Server, SQL Server, IIS, ASP, VB, BHR RAID Server

User Community Impact: We will need to advertise this feature is now available and notify users when they call that they could have made the changes themselves.

Alternatives That Were Considered: To continue the current system of having BHR staff members do all the updating. There are no other alternatives.

BIS Service Impact: There will be additional WAN traffic.

Expected Benefits: Reduced telephone calls, less record maintenance by BHR staff, more interested candidates referred to vacancies.

Initiative: Replace 28 PC Desktops, Replace all BHR Desktops which are 2 + years old now. This needs legislative funding.

BIS Service Impact: No BIS impact.

Initiative: Replace 1 BHR Server, Replace the oldest BHR Server which is now 3 years old. This needs legislative funding.

BIS Service Impact: No BIS impact.

Initiative: Sign a SLA with BIS for desktop management. This needs legislative funding. Recommended by BIS.

BIS Service Impact: BIS Desktop and Helpdesk Services.

Initiative: Fund Continuing WAN Access charges. This needs legislative funding. Recommended by BIS.

BIS Service Impact: No BIS impact.

Initiative: Fund continuing E-mail charges. This needs legislative funding. Recommended by BIS.

BIS Service Impact: No BIS impact.

Initiative: Replace two office printers. Both office printers are more that 6 years old.

BIS Service Impact: No BIS impact.

Initiative: Purchase new color printer for training division. We have a small personal size printer that is not adequate in terms of speed or quality.

BIS Service Impact: No BIS impact.

Initiative: Purchase Microfiche Reader for Digital Conversion

When we have all the paper employment records digitally stored we will want to copy microfiche records into the digital records system so personnel records of active employees are all in one place.

BIS Service Impact: No BIS impact.

Initiative: Integrated job class table for history, special job class characteristics and mailing list generation

We will consolidate several tables that are used for mailing, job class history and data elements that are not available on MFASIS.

BIS Service Impact: No BIS impact.

Initiative: Training Management System

Business Function Affected (Description): Implement a statewide training management system that will capture and maintain training records for all state employees that attend both external and internal training funded by the state. To retain that data and to create various reports and support administration and management of training functions. This will improve the effectiveness and efficiency of the state's training system.

Relationship to the Agency's Strategic Business Plan: Accessible, reliable and cost justifiable training and employee development

Estimated Life: 10+ years.

Estimated Development Time: Systems requirements: April - July 2000, Systems selection and implementation (6 agencies): July - Dec 2000, Systems implementation for rest of state: (Jan - Jul 2000

Technology Used: BIS Computer hardware and systems, Purchased software to be selected by RFP

User Community Impact: All state agencies will be expected to eventually use the system and will be trained in its use when scheduled.

Alternatives That Were Considered: Continue with paper records that are difficult to manage and make a complete record for an employee next to impossible to compile. Impossible to provide statewide data on training usage.

BIS Service Impact: This will possibly have a large impact on: WAN: Agencies will maintain database from remote locations, Help Desk: System problems will be reported to the BIS Helpdesk, Desktop Services: The system, if client-server, will require client software installation and maintenance, Remote Access: Possible new users of the State's WAN, Programming: Installation of Server software, upgrades, modifications.

Expected Benefits:

- Analyze the state's training delivery system both quantitatively and qualitatively.
- Increase amount of time available for training

- Greater consistency in program quality and delivery.
- Allow compilation of consolidated training record for employees.
- Create reports on training delivery.

Workers Compensation, Division of
Submitted by: Earle R. Pease
Date Revised: March 10, 2000

Initiative: Electronically manage State employee workers' compensation claims

Business Function Affected (Description): Workers' Compensation Claim Software on a Microsoft Windows platform would allow the Workers' Compensation Division to manage claims over the State WAN.

Relationship to the Agency's Strategic Business Plan: Claims Software will help the Division accomplish its goal of providing quicker service and reduce case reserves and per claim costs.

Estimated Life: Unknown until contractor is selected.

Estimated Development Time: Plan to begin project by June 1, 2000 and have system operational by January 1, 2001

Technology Used: Claims Software would depend on contractor selected Microsoft Windows

User Community Impact: Division staff and designees in State departments and agencies will be trained to use Claims Software

Alternatives That Were Considered: Current "paper process" is neither cost effective nor effective in managing claims.

BIS Service Impact: Unknown

Expected Benefits: Process claims faster, Eliminate annual ($150,000+) contract for outside data entry services

Information Services, Bureau of

Development Services, Division of
Submitted by: David Ellis
Date Revised: April 19, 2000

Initiative: Purchase an EAI hub for the benefit of all state agencies.

How Was The Plan Developed: Plans to purchase an EAI hub for the benefit of all State agencies began several years ago as plans for an EDI hub. Since then industry software developers have generalized EDI-specific transformation/mapping capabilities into Enterprise Application Integration (EAI) software that transforms data between any tow message formats that have been defined in the hub's middleware. BIS has three requests/mandates for immediate ASC X12 EDI capability (vendor payments, child support payments, and Workers Compensation filings). When Governor King issued his Internet services challenge to the State IT community, the plans for an EAI hub made even more sense. Virtually every part of all three branches of State government can make use of the hub to improve internal data processing and management and customer access to services.

Relationship to the Agency's Strategic Business Plan: How does it fit with the agency's strategic plan and/or performance-based budget: Similar to existing statewide IT applications residing at BIS, such as the Human Resources, Budget, and Accounting systems, and Momentum Intelligent Network Gateway (ING) automated file manager, the EAI hub is a centralized technology that will benefit all agencies. Acquisition of the EC hub software supports Governor King's e-Government initiative which we assume is in all agencies strategic plans for FY 01, as it is in the BIS plan. Cost of the EC hub is compatible with the DAFS/BIS performance based budget. Consistent with its existing business model, BIS will recover its upfront costs by charging agencies that use the EC hub. Usage rates will be established by the ISPB.

Initiative: Enterprise-Strength EC Hub Software

Business Function Affected (Description): Enterprise-strength EC hub software providing full (EAI, B2C, B2B) application integration capability throughout and beyond State government to its business partners, including enabling EDI and Internet connectivity of legacy systems including those on the IBM mainframe. Bids on BIS' RFP will include the cost of 8 integrated applications (3 EDI and 5 Internet).

Relationship to the Agency's Strategic Business Plan: Provides a quickly implemented, flexible technology with a short payback period to get and keep State government organizations in the forefront of a variety of technologies, such as the Internet, EDI, XML, and EAI.

Estimated Life: Seven years. Depreciate over three years.

Estimated Development Time: Contracted development: 9/00-8/01 (estimated, to coincide with the Governor's Web initiative). In-House development: Ongoing for the life of the system as agencies integrate existing and new applications.

Technology Used: Middleware on a server at BIS (can share the server with another application; easily moved to its own server if desired), connected to the State WAN, the Momentum ING, and the Internet.

User Community Impact: All EC hub users are relieved of having to build and maintain point-to-point integration programs – a major savings for many IT shops. Integration of their systems is transparent to users. User agency business analysts define business rules of each application to

be integrated to the EC hub. All training and operations support affect BIS only. Typically 1-2 weeks initial training for IT staff before beginning the development process, and within a few weeks, staff can usually complete interfaces independently. Some network services and some remote training would be required. No desktop services required.

Alternatives That Were Considered, and Why They Were Rejected: EDI-only transformation/mapper software was rejected on the basis of getting the best buy for our dollar. The larger upfront investment in full-strength (EAI, B2C, B2B) integration hub software provides significant advantages to the State along with an expected attractive ROI.

BIS Service Impact: WAN: increase traffic for applications that are newly integrated with others across the WAN, such as inter-agency back office systems integration. Internet and WAN: increase traffic as previously paper-only documents are made Web accessible and are integrated with back office processing systems. Programming: Radically less programming and maintenance to achieve integration using an EAI hub versus point-to-point integration efforts that would be done without the hub. Help Desk: Adds a new infrastructure component to be dealt with. Desk Top Services, Remote Access: Some network services would be required. No desktop services required.

Expected Benefits: Many EC technologies, including EAI and full integration, are most efficiently deployed from a central enterprise hub. In terms of initial and ongoing costs, support staff training, operations, network connection, security, system administration and maintenance, the total cost and ease of implementation and use of the technology is optimized through a single implementation that is available to all parts of the enterprise.

Other Benefits of Using a Central EAI Hub

- Very attractive Return on Investment (ROI). Benefits outpace costs in the short-term.

- Available now: rapid deployment and ease of maintenance.

 Dramatically reduces system maintenance, requiring N, rather than N (N-1), integration interfaces. That means if you integrate 100 systems through an EAI hub vs. point-to-point integration, you only have 100 interfaces to build, manage, and maintain rather than 9900!

- EAI provides seamless integration of e-commerce data with core, back-office systems, business partners' systems, and customers.

- Leverages all existing technology investments by Web-enabling them and does so with little or no application recoding.

- Provides the enterprise with the benefits of CRM, ERP, and SCM applications without the high costs of these applications through enabling data sharing across back office applications.

- Enables EDI, HL7, HTML, XML, CICS, and literally hundreds of other messaging standards, public and proprietary, via a "messaging standards library" stored in the EAI hub.

- Provides a single, open architecture that is scalable, non-invasive, and operates across environments, connecting databases, warehouses, packaged and custom legacy systems.

- Maintains a single management view of all integrated systems by avoiding custom code.

- Implements enterprise integration standards.

- Implements consistent security across integrated applications.

 Handles high volume Web traffic and reduces delivery time for both Web and back office-based services.

- Fosters successful Web storefronts and service offerings through integration of the State's core systems.

- Improves customer and business partner service via convenient 7 x 24, real time response.

- Increases data accuracy via edits at the time of input, greatly reducing error resolution costs.

- Frees IT staff to use new technology to replace older systems, rather than spending full time fixing legacy system interface code. Very likely to improve staff morale and reduce staff turnover.

Network Services, Division of
Submitted by: Ellen Lee
Date Revised: February 29, 2000

Introduction: Network Services is responsible for providing networking infrastructure for voice, data and video to all state agencies. The agency also looks at new technologies to determine fit and benefit to improve the overall efficiencies of offering new services to their customers (i.e., voicemail, message services, etc). The division's strategic plan and funding is approved by the ISPB.

Initiative: Windows 2000

Business Function Affected (Description): R&D - Windows 2000 testing and deployment strategy for State of Maine.

Relationship to the Agency's Strategic Business Plan: BIS plays a major role in researching and analyzing new technologies for statewide deployment and in staying current with Microsoft's platforms.

Estimated Life: 1-3 years

Estimated Development Time: December 1999 - June 2000

Technology Used: Microsoft Windows 2000 server and client operating systems

User Community Impact: Has potential for statewide impact to be analyzed during development stage, Coordinated directory services strategy must be supported by all agencies migrating to W2K

Alternatives That Were Considered, and Why They Were Rejected

BIS Service Impact:

Expected Benefits: Has the potential to standardize 80-90 percent of all state PCs and servers on a single operating environment

Initiative: DHCP Implementation

Business Function Affected (Description): IP Management - DHCP Implementation

Relationship to the Agency's Strategic Business Plan: Continues the divisions role in centrally managing IP infrastructure, Improves WAN reliability, Required for fully utilizing W2K environment

Estimated Life: 6-12 months

Estimated Development Time: March 2000 – June 2001

Technology Used: Will use industry leader IP Management software; with Unix and NT hardware platforms

User Community Impact: Close coordination and communication with agencies as we move forward

Alternatives That Were Considered: Status Quo – Feedback from two studies of the state's WAN have indicated the need to move in this direction

BIS Service Impact: Will reduce Desktop services PC setup requirements

Expected Benefits: Will stabilize IP address deployment

Initiative: Routing Implementation

Business Function Affected (Description): IP Management - Routing Implementation

Relationship to the Agency's Strategic Business Plan: Continues the divisions role in centrally managing the state's WAN, Improves WAN reliability and performance

Estimated Life: 3-5 years

Estimated Development Time: Sept. 2000 – Dec. 2001

Technology Used: Will use industry standard hardware and software platform (Cisco, Nortel)

User Community Impact: Close coordination and communication with agencies as we move forward in both planning and deployment

Alternatives That Were Considered: Status Quo – Feedback from two studies of the state's WAN have indicated the need to move in this direction

BIS Service Impact: WAN, Helpdesk

Expected Benefits: WAN availability is critical for state resources doing their day-to-day business both internally and with the public. Lost hours of productivity can/should be considered when looking at the benefits of routing.

Initiative: Converges WAN with ATM Definity

Business Function Affected (Description): Converged Network with the ATM Definity. This converged network will provide voice, data and video.

Relationship to the Agency's Strategic Business Plan: Continues the divisions role in centrally managing network infrastructure, Improves services, Improves support of the network

Estimated Life: 1 ″ -2 years

Estimated Development Time:

Technology Used: Definity G3R ATM architecture using both fiber connected local EPNs and T1 connected remote EPNs to provide an end-to-end ATM network

User Community Impact: None

Alternatives That Were Considered:

BIS Service Impact:

Expected Benefits: Ease of maintenance and support, added services

Initiative: Video Conferencing

Business Function Affected (Description): Video Conferencing

Relationship to the Agency's Strategic Business Plan: Continues the divisions role in centrally managing network infrastructure, Improves/offers new services to customers

Estimated Life: 6 months – 1 year

Estimated Development Time: June 2000- Dec 2000

Technology Used: Vendor equipment TBD

User Community Impact: Training Requirements for conference rooms available for video conferencing

Alternatives That Were Considered:

BIS Service Impact:

Expected Benefits: Cost savings related to travel, lost productivity and accommodations for users of video conferencing

Initiative: Upgrade the State Office Building's Definity PBX

Business Function Affected (Description): Upgrade the State Office Building's Definity PBX to a status of High Reliability

Relationship to the Agency's Strategic Business Plan: Continues the divisions role in centrally managing network infrastructure, Improves services,

Estimated Life: 3 months

Estimated Development Time: April 2000 – June 2000

Technology Used: Lucent Definitiy Product Line

User Community Impact: None

Alternatives That Were Considered:

BIS Service Impact:

Expected Benefits: Redundant services for all EPNs linked to the State Office Building's PPN. This will provide all call centers (DOL, MRS, BMV) with high reliability during times of disaster or system failures.

Production Services, Division of
Submitted by: Mark Kemmerle
Date Revised: March 8, 2000

Initiative: Implementation of Momentum communications server for EFT, tax filings, other data exchanges.

Included in BIS cost base

Discussed impact with customers

Initiative: Migration of DHS Medical Claims from BLAST to MOMENTUM

Included in BIS cost base

Discussed impact with customers

Initiative: Migration off BULL mainframe by 6/30/2001

Included in BIS cost base

Discussed impact with customers

Initiative: Upgrade/expansion of BISPROD data warehouse CPU and storage

Included in BIS cost base

Discussed impact with customers

Initiative: Elimination of VM/ESA software

Included in BIS cost base

Discussed impact with customers

Initiative: Upgrade of OS/390 operating system to Release 2.6

Included in BIS cost base

Discussed impact with customers

Initiative: Upgrade of CICS software to Version 5

Included in BIS cost base

Discussed impact with customers

Initiative: Upgrade of DBS software from Version 5 to Version 6

Included in BIS cost base

Discussed impact with customers

Initiative: Implementation of 3590 tape technology

BIS rates should cover cost

Implementation could be delayed if rates need to be increased

Initiative: Xerox Open System Print Server -- PRISM

BIS rates should cover cost

Implementation could be delayed if rates need to be increased

Initiative: Disaster recovery contracts for mainframes

BIS rates should cover costs

Cost benefit analysis will be presented to ISPB if additional funding is required

Initiative: TN3590 Replacement for Windows 98/2000

BIS rates should cover costs

Cost benefit analysis will be presented to ISPB if additional funding is required

Maine Revenue Services, Bureau of
Submitted by: Tom Howker
Date Revised: March 2, 2000

Introduction: The MRS IT plan has been developed by collecting technology ideas and priorities from the various business managers within MRS. Each manager may suggest one or several projects with reasons for accomplishing the project. The projects are reviewed and ranked according to relative importance, costs and benefits. A rank ordering of projects is continuously maintained to set the direction of the MRS IT support unit. Project plans and status are reviewed quarterly. The Deputy Director and Executive Director of MRS approve projects.

Initiative: Data Warehouse of tax and other related data

Business Function Affected (Description): Create Data Warehouse of tax and other related data. This information will provide for improved audit selection, collections management, non-filer identification, revenue forecasting, proactive internal security analysis, timely reports, and Legislative impact analysis. The warehouse will integrate with the current systems at MRS.

Relationship to the Agency's Strategic Business Plan: Tax data is protected from release by legislation. MRS will be the only user of the data.

Estimated Life: 10 years.

Estimated Development Time: Start April 2000 – Finish July, 2001.

Technology Used: MRS will deploy the system on existing BIS hardware. This hardware will likely need expansion to accept the additional system load. Oracle Data Mart Suite, Data Mart Builder, Express, Discoverer.

User Community Impact: Select MRS employees will need training to effectively use the data warehouse. Research analysts, select auditors, select collectors, and programmers will be trained. The system supplements an existing accounting system by making data much more readily available. Parallel system operations do not apply.

Alternatives That Were Considered: DB2 and other databases were considered for the data warehouse. They were rejected because they are not state standard. BIS has significant skills in the data warehouse area and with Oracle. Oracle was felt to be the best tool.

BIS Service Impact: The Solaris Oracle server will need expansion to service these requirements. A capacity similar to MFASIS's data warehouse is anticipated. BIS development services are anticipated to be required to aid in design and construction of the warehouse.

Expected Benefits:

COSTS	First Year	Ongoing
MRS share of BIS Oracle server	$200,000	$200,000
Oracle Data Mart Suite Load Utility	$35,000	$7,000
Oracle Discoverer	$60,000	$12,000
Oracle Express	$65,000	$13,000
Oracle Consulting	$775,000	
Revenue Solutions Inc. Consulting	$500,000	
Training	$115,000	$18,000
Total Cost	$1,750,000	$250,000
BENEFITS	CURRENT	INCREASE
FY 1999 Audit Results - Amount Assessed	$21,847,574	
Predict 5% increase		$1,092,379
Collections of Delinquent Accounts	$28,000,000	

Predict 2% increase		$560,000
Annual Non-filer Assessments	$12,000,000	
Predict 2% increase		$240,000
Total Revenue Increase Due to Data Warehouse		$1,892,379

Initiative: Internet Filing of Individual Income Tax

Business Function Affected (Description): Internet Filing – MRS is creating a facility for individuals to file their Individual Income Tax (1040) Short or Long form over the Internet. This project will also allow all filers to lookup the processing status of their return through the Internet. MRS presently supports Sales Tax and Combined Quarterly Withholding filing over the Internet. This is an expansion of the present plan.

Relationship to the Agency's Strategic Business Plan: The Department has a strategic plan to convert to electronic commerce from a paper transaction based system. This project directly supports this conversion.

Estimated Life: Indefinite with maintenance and upgrades.

Estimated Development Time: Begin February 2000 – End December, 2000

Technology Used: Microsoft SQL Server, IIS, ASP, Windows NT Server.

User Community Impact: Maine 1040 filers will be educated to the availability of the program by an outreach advertising program which makes people aware of all of MRS's electronic filing initiatives (Telephone file, Internet file, electronic filing). MRS employees will be trained how to view the returns using an Internet display format versus the standard paper/image display format.

Alternatives That Were Considered: Internet filing is a strategic direction of the Agency. The program is extremely important.

BIS Service Impact: MRS will replace several existing Internet servers in the BIS machine room with more capable servers. BIS server personnel will support this change.

Expected Benefits: The quantity of tax returns filed via paper should decline. Each paper tax return costs approximately $3.00 each to process. Estimate 15,000 to 40,000 returns will be filed in this manner in 2001. ($45,000 to $120,000 costs savings). Offsetting maintenance cost will be 1 person per year (approximately $75,000).

Initiative: Phase II of integration of the Department of Labor Unemployment Insurance tax system with MRS Maine Automated Tax System (MATS)

Business Function Affected (Description): Complete combination of Department of Labor Unemployment Insurance tax assessment and collections system with MRS Maine Automated Tax System (MATS) accounting system. Project was started in 1996. This is Phase II to further integrate the systems.

Relationship to the Agency's Strategic Business Plan: Consolidation of business functions and computers systems where reasonable is a statewide target. This project directly supports this objective.

Estimated Life: 10 Years

Estimated Development Time: Begin March, 2000 – End June, 2001

Technology Used: Existing computer system enhancement: DB2, COBOL, IBM mainframe.

User Community Impact: DOL and MRS users will be trained on new system functionality. Unclear whether legacy DOL system will continue to be operated or retired. Project in planning phase currently.

Alternatives That Were Considered: See above.

BIS Service Impact: None. Minimal growth of IBM mainframe cycles.

Expected Benefits: Standardization of MRS and DOL accounting and billing procedures, One fewer computer system to maintain, No financial estimates at this time, Complete Migration from BULL to new Property Tax Billing System

Initiative: Unorganized Territory Property Tax Billing System

Business Function Affected (Description): Unorganized Territory Property Tax Billing System – Complete cutover from the existing Bull property tax system to the newly purchased Property Tax Billing System. System conversion will allow eventual retirement of existing Bull application. New system will allow addition of property tax record cards and an assessment module in the future.

Relationship to the Agency's Strategic Business Plan: Retirement of the legacy Bull Tax application is a strategic objective for MRS. The new system is designed to integrate with LURC's records and allow E-911 data to be added.

Estimated Life: 10 years

Estimated Development Time: Begin October 1999 – End July 2000

Technology Used: Microsoft SQL server, Access, Windows NT server, Visual Basic, C++.

User Community Impact: Property tax unit will operate the legacy Bull system while the new system is being trailed. Personnel in Property Tax are being trained now.

Alternatives That Were Considered: An internally developed system was considered and rejected. Outside vendors presently provide property tax billing systems to many Maine municipalities. Business functions completed at MRS are similar to business functions of other Maine cities.

BIS Service Impact: None. The server has already been installed.

Expected Benefits: Retirement of the legacy MRS Bull applications will save approximately $50,000 per year. The new system costs approximately $20,000 per year to operate. Payback of the initial investment should occur within 2 years due to reduced costs and increased functionality.

Initiative: Maintenance and updates to MATS and MIPS

Business Function Affected (Description): MATS and MIPS maintenance. Existing Taxes will be updated on MATS and MIPS, seven small additional taxes will be added to the MATS and MIPS, new injured spouse logic will be implemented, tax account matching logic and setoff logic will be implemented, and a telephone payment system will be implemented.

Relationship to the Agency's Strategic Business Plan: MATS and MIPS are mission critical line of business computer processing systems. These systems tend to evolve and improve versus being replaced. Both systems are critical to the accounting of tax returns and payments.

Estimated Life: 10 Years

Estimated Development Time: On-going.

Technology Used: IBM mainframe, AIX server, DB2, Cobol, Visual Basic, C++. PC service level agreement from BIS.

User Community Impact: Not applicable.

Alternatives That Were Considered: Not applicable.

BIS Service Impact: None.

Expected Benefits: Continued maintenance and enhancement of the existing software applications extends the life of the application and improves its functionality. Installation of the new taxes and other features standardizes how all tax returns are processed and improves electronic interfaces to other systems.

Conservation, Department of
Information Technology Plan

Submitted by: Will Harris
Date Revised: March 30, 2000

Introduction: Our plan was developed through a combination of business needs and a review of the technology available to meet that need. The members of the Department's Computer Unit, Information Services Technology Committee (ISTC), and Executive Management of the Department reviewed it. The plan is approved through consensus at each of the above-described levels. It is designed to fit with the Department's overall strategic plan by meeting the business needs laid out in the various objectives and strategies of the programs and in accordance with the overall mission statement for technology described below:

Technology will be used in all units and programs to further the mission of the Department. The Department's mission is to preserve, protect and enhance the land and water resources of the State of Maine; to encourage the wise use of the State's scenic, mineral and forest resources; to ensure that coordinated planning for the future allocation of lands for recreation, forest production, mining, and other public and private uses; and to provide for the effective management of public lands.

There are several characteristics of the Department of Conservation that we took into account as we have made our business plan for technology. One of those characteristics is that the Department came into the automation age relatively late in the game with our first system being purchased in 1983 which was used primarily for word processing and simple spreadsheet functions. The system was an early version of client server made by Unisys. In the early 90's we made the move to a PC-LAN based system, a more modern version of which we have today. All of our major programming efforts have been made since the move to PC's and we never had legacy systems on the mainframe. Many of the database applications have become critical to the overall mission of the Department's programs. On the hardware side of our technology plan, we have been relatively aggressive in replacing our PC's and servers on at least a 3-year rotation. During a major Departmental reorganization in 1995, we down sized staff, but increased our reliance on technology. We have been determined to keep at least up with the technology curve so that we can do our jobs well. Thus most of our equipment, especially that used in critical functions is quite new. We have likewise kept up with new releases of both the server and desktop operating systems and applications. It is our intention to continue on this same plan.

While we have turned to technology to improve the productivity of the administrative side of our work, the nature of much of our business is very "hands-on" and low tech. The suppression of forest fires on the ground and the operation of state park facilities is labor intensive, manual work using basic hand and power tools. However, more and more we are finding ways in which these manual operations can be assisted and supplemented with technology. One of the most important aspects of our system is supplying information to and receiving information from our field office locations and employees. That means assuring that the Department's central servers and regional office servers' hardware and operating systems are fully connected as well as the Department's e-mail system. In addition, we have several important multi-user databases

including Parks Reservations, Forestry Notifications (FONS), and LURC permitting and enforcement (PERMAP and EARS) which are used by central office and field employees.

For the upcoming year we have several initiatives planned, as well as assuring continued high quality services for our existing systems. These include the introduction of Citrix technology to provide real-time access to our databases for employees in the field; upgrade our e-mail system to the new Exchange/Outlook standard and a multi-department effort between LURC and Maine Revenue Services' Unorganized Property Tax Division to develop a spatially enabled (GIS) permit and compliance tracking system that ties all agency actions to digital tax parcels.

Initiative: Permitting & Compliance System

Business Function Affected (Description): A spatially enabled permitting and compliance tracking system (a GIS) that ties all agency actions to digital tax parcels. This application is a two-way collaboration between DOC/LURC and MRS/Unorganized Property Tax Division, which share a jurisdiction of the unorganized territories. Each agency is proceeding with separate contract work at this point, with the knowledge that in the next year, joint work may be required. MRS to DOC/LURC: MRS is currently migrating from a mainframe, flat file database to a relational database in SQL Server. This work was scoped two years ago separately from LURC's programming. DOC/LURC will have access to this database of owners/parcels via the WAN (or synchronization) in order to develop its own tracking system database. DOC/LURC to MRS: DOC/LURC has digital coverages of all tax parcels in its jurisdiction which it will use to spatially enable its permitting and compliance system. MRS will use these digital parcels to migrate to electronic property tax management, instead of its current hand drafting onto Mylar originals. MRS to DOC/LURC: The creation of a relational database of property owners in the unorganized territories will allow LURC to efficiently use a comprehensive database for simple uses such as mailing labels, to the more complicated agency tracking software application. DOC/LURC will use the property owner information to establish records for permit applicants in its tracking system. This data will also be related to the digital tax parcels, making a complete relational connection between property owners, tax parcels, and building/development permits.

Relationship to the Agency's Strategic Business Plan: Integral to maintaining reduced permit processing times and managing a new decentralized workplace, with staff now in six regional offices.

Estimated Life: more than 5 years - daily application to be used by all staff

Estimated Development Time: Two years

Technology Used: SQL Server, ArcInfo, ArcView, Visual Basic, IIS, and Citrix, Hardware: PC desktops, laptops, GPS units, NT server

User Community Impact: Training required in ArcView (already underway - 5 staff trained and using software with "base data" not yet incorporated into a front-end application. Training required in use of GPS (low resolution, hand-held Garmin receivers) units (already underway 6 staff using them in daily work for navigational and site identification).

Alternatives That Were Considered: MRS remaining on Bull mainframe - rejected as the technology is obsolete and does not allow for relational database or GIS development. LURC continuing with existing database applications - rejected because the multiple databases are redundant, are not spatially enabled, and are not client/server which prevents reliable access over the WAN and dialups.

BIS Service Impact: Increased WAN traffic at two regional offices (Ashland/Greenville), need for more dialup access at 3 others (Jonesboro, Rangeley, E. Millinocket). Programming work for BIS staff assigned to MRS.

Expected Benefits:

- DOC/LURC: A GIS and associated database applications will allow Augusta-based supervisory staff to track work done in field, keeping permit processing functioning smoothly.

- Improved accuracy of information as GIS will overlay zoning, tax parcels, and natural resource features, which were previously represented on separate, paper maps.

- Collection of higher quality information, particularly with regard to location of development.

- Digital cartography which allows for more efficient processing of official zoning maps and their amendments, including distribution to the public.

- MRS: Digital cartography of tax maps will significantly reduce the time to make map amendments because of lots splits, joins, or other changes.

Initiative: E-Mail

Business Function Affected (Description): We will plan and implement conversion of our current Department e-mail system (cc-mail) to the new State standard - Microsoft Exchange/Outlook.

Relationship to the Agency's Strategic Business Plan: Communication within our Department and between departments has always been an important part of our strategic plan.

Estimate Life: Five years or more with update, if the State's standard for e-mail remains the same.

Estimated Development Time: The development period will be most of FY01 with the biggest concentration of work in Q2 and Q3.

Technology Used: XT Server with Microsoft Exchange and Outlook.

User Community Impact: There will be considerable training required for our IS staff in both NT administration and Exchange/Outlook. There will also be training required for all of our users.

Alternatives That Were Considered: This initiative is statewide.

BIS Service Impact: We are still investigating how we will provide the same level of functionality to our many remote users with Outlook that we currently have with cc-Mail Remote.

Expected Benefits: We will be on the same e-mail platform as all other departments in State government - thus achieving an ISPB objective.

Initiative: Thin Client Implementation

Business Function Affected (Description): Implementation of Citrix technology to provide on-line data base service to employees in regional or district offices, and certain state parks. This initiative is being developed jointly with DEP, and the funding for it is tied to both initiatives. DEP will use the DOC Citrix system for its test bed for serving databases, and DOC will use the DEP Citrix to develop and test serving GIS applications.

Relationship to the Agency's Strategic Business Plan: One of the performance objectives of General Services is to increase the level of IS services to those employees located away from Augusta.

Estimate Life: more than 5 years

Estimated Development Time: We expect to begin putting the system in place following the beginning of the new fiscal year (July), provided we receive the funding we have requested.

Technology Used: Citrix software on a new NT server utilizing Shiva dial-up.

User Community Impact (training needs, parallel operations): There will be a short user training to teach them to access the databases using this technology.

Alternatives That Were Considered: We considered using web-based programming but rejected the idea because converting all of our current databases to web-enabled ones would be much more costly than the Citrix. We also considered terminal technology but rejected it because it lacked the functionality that the Citrix would provide us.

BIS Service Impact: The implementation of this technology will help to decrease our bandwidth usage. As we develop its use we will probably increase our requirements for access through Shiva, ISP, or some other technology.

Expected Benefits: This will result in a real time saving benefit to our regional LURC staff that need to use LURC's database information in writing permits and carrying out enforcement actions. It will also set the stage for us to develop park-to-park camping reservations at our state parks.

CORRECTIONS, DEPARTMENT OF
INFORMATION TECHNOLOGY PLAN

Submitted by: Dave Packard, ATO
Date Revised: February 29, 2000

Introduction: Existing information systems within the Department of Corrections include two major systems for offender record management (COMRS and DOCIS); several inmate accounting systems (iTag, Canteen Manager, and a Q&A home grown application); an inventory management system (Traverse); and a retail sales system (Counter Point). Not listed are the dozens of additional home grown, stand-a-lone systems our users have created over the years in order to track information not captured in any of the major systems. The only systems that are currently linked are DOCIS and COMRS via a nightly batch job which transfers information between those two systems. COMRS or the Corrections Master Record System, supports the institution functions of tracking an offender's sentence, good time, skills and some program information; DOCIS - the Department of Corrections Information System, supports Adult, and to a lesser degree, Juvenile - Community Corrections.

The introduction of new business practices and programs such as the Therapeutic Community and Supervised Community Confinement, and the change to Unit Management within the facilities has our department faced with the dilemma of needing to store information that simply will not "fit" within the information management systems currently in place.

Duplication of effort caused by having to maintain many standard pieces of information (name, demographics, unique identifying information to name the most common ones) in multiple systems in order for it to be usable, has reached a critical limit for our users. We have begun the process of revamping our systems in an effort to gain the maximum benefit available by integrating our internal systems in order to eliminate duplicate data entry while providing the functionality our users need in order to perform their jobs effectively.

In addition to department specific applications, we are working toward providing production quality e-mail services to the Community Corrections staff. Up until now, staff whose primary connection to the State's network is via dial up service have not had access to production e-mail post offices. The DHS bulletin board system, World Group Manager, has served to allow limited access to E-mail, as its user directory is not part of the State Global Address List. With the introduction of the Windows 98 platform on the newest laptops and PCs, reliability of the DHS BBS system degraded to making it virtually unusable. A pilot project to get these users on an MS Exchange Post Office is planned.

Also in our plans is the migration from the Lotus suite to Microsoft Office 2000.

The management staff in our department not only support these planned initiatives they are partners in the planning and prioritizing efforts which have been underway. These initiatives are a key component of our department's strategic plans. Work to incorporate required funds into the budget is ongoing.

Initiative: Information Systems Infrastructure

Business Function Affected (Description): The existing information systems infrastructure within the Department of Corrections will be revamped in order to provide the necessary foundation for the new and revised business functions that support the operations of the new adult and juvenile correctional facilities and community corrections. A process will be defined that identifies a clear path -- a road map -- towards consistent processes and information system definition. An incremental approach to system development is proposed that includes an agreed upon high level overview of the functions and architecture of the information system and then gradual detailed definition and introduction of individual modules or components which support the high level view.

Once the processes and high-level view have been established, individual modules will be defined and developed according to a prescribed set of standards, fully tested and integrated into the existing system. The adherence to industry standards provides the opportunity to evaluate a variety of off-the-shelf products for inclusion in the overall system. The use of off-the-shelf products can greatly reduce cost and risk.

Where appropriate, the system will support web-based technologies. Protected access of data via the Internet allows all defined users access to all data all of the time without the need for time consuming downloads of data to individual laptops. With web-based technologies comes a simplified user platform and associated maintenance. The "thin-client" approach allows less expensive client user machines to be used.

The defined system will be capable of supporting the department into the next century and will replace existing information systems. The incremental development approach also provides a path for continual evaluation and upgrade of the system as the needs of the department grow or change.

Relationship to Agency's Strategic Business Plan: The information system upgrade is essential to the department's ability to meet the goals and objectives described in the strategic business plan. The department's corrections master plan relies on the availability and use of an integrated information system that supports the new business functions and operations of the new correctional facilities. The department's policies and procedures -- our business rules -- are currently being rewritten with the expectation that many functions will be automated.

Estimated Life: 10 years

Estimated Development Time: September 1998 -- June 2004 since we are proposing an incremental approach, the information system upgrade will be accomplished in a series of modules and may not take as long as we have estimated.

Technology Used: Application servers, system and development software, commercial off-the-shelf software that meets defined standards. Database platforms include Oracle and Microsoft Access.

User Community Impact: Users will be trained for the system's new or modified modules as they are developed. Because not all modules impact all users, a smaller number of staff will require training on release of new modules. Rather than training users on a large system with many components, training will only be required for new functionality.

Alternatives That Were Considered:

BIS Service Impacts: increased access and use of WAN, support of new solutions such as video-conferencing, programming assistance to migrate existing information systems to new information system, application testing.

Expected Benefits: For workers, the benefits include the tools to do their work, information at their fingertips concerning offender history, services available, risk/needs assessment; less paperwork -more casework; automatic calculations of key business decisions such as good time, release dates, victim notification, restitution owed and time left on probation/sentence.

For managers, the benefits include the ability to demonstrate policy outcomes such as population projections, recidivism rates and the fiscal impacts of sentencing changes; to identify service gaps in treatment, supervision/sanctions and geographic distributions; to track system flow (and bottlenecks) and provide for quality control; and to collect quality data for planning and analysis including recidivism rates, program effectiveness and cost benefit.

Initiative: Desktop Suite and E-mail Upgrade

Business Function Affected (Description): In order to keep pace with current desktop and e-mail software changes and insure ease of interoperability with other state agencies, we plan to migrate our users to Microsoft 2000 for the desktop suite and MS Exchange for e-mail software.

Relationship to the Agency's Strategic Business Plan: Having all users on the same desktop suite and e-mail platform is in line with our agency's strategic business plan.

Estimated Life: 2 years between software upgrades.

Estimated Development Time: No development, roll out expected to take six to ten months to complete.

Technology Used: Ghost cloning techniques where practical.

User Community Impact: Training could be augmented via training materials supplied if the state enters into the enterprise agreement outlined by BIS last fall. Existing lotus products will be used until migration of user files is completed. Deadline not set for removal of Lotus.

Alternatives That Were Considered: Lotus Millennium suite and Lotus Notes for e-mail. Too expensive, appeared it would require extensive resources to implement and maintain.

BIS Service Impact: BIS will be the likely provider of Exchange e-mail services for the pilot group of 170 Community Corrections users. Following completion of the pilot, we will begin plans for the migration of the remaining cc:Mail users (approx. 200 at this time).

Expected Benefits: Reduction in communication and file sharing obstacles. As part of an enterprise wide initiative, optimal license costs and value added benefits such as Microsoft Help Desk support and training materials are anticipated.

EDUCATION, DEPARTMENT OF
INFORMATION TECHNOLOGY PLAN

Submitted by: Jim Watkins, M.I.S. Team
Date Revised: April 10, 2000

Introduction: To be developed: How was the plan developed, who has reviewed it, how does it get approved, how does it fit with the agency's strategic plan and/or performance based budget

Initiative: Automation of the Annual Report of Special Education Students

Business Function Affected (Description): The department annually currently collects information on 40,000+ special education students enrolled in Maine schools, using a paper-based form and manual data entry. In this initiative, the current reporting system will be replaced by a new reporting system in which local school units will enter and update student data directly into a state Oracle database system which is accessible via the State's Oracle web server. Some changes in the reported data will also be accomplished.

Relationship to the Agency's Strategic Business Plan: This initiative directly supports two components of the Department's Strategic Plan. The electronic reporting system will result in a reduction of paper-based reporting from local schools and school units and will provide quicker availability of reported data to policy-makers and other users. These two results support Goal 3 of the Department's Strategic Plan ("To deliver the highest quality services that meet the needs of our constituents.") The changes in reported data are necessary to support new data needs regarding funding of local school units in accordance with the Essential Programs & Services model. Availability of this new data will support Objective B of Goal 3, regarding fair and adequate educational opportunities for all Maine students.

Estimated Life: When this initiative is completed, the new reporting system is expected be in service for 5 to 10 years.

Estimated Development Time: This initiative is expected to require nine months to complete.

Technology Used: The completed system would require the use of an Oracle database server, accessible by local school unit staff through the State's web server.

User Community Impact: All users (both in the Department and in local school units) already have appropriate hardware and client software (a browser), as well as access to the State WWW

server via WAN or via Maine School Library Network internet connections. The department would need to train the local school staff in the use of the new reporting system.

Alternatives That Were Considered: No alternatives were considered. The Department had already completed a similar WWW-based reporting system for another application. That pilot has quite successful, and the appropriateness of the technology for this new initiative is proven.

BIS Service Impact: The department plans to do much of the programming but would require some programming assistance from BIS.

Expected Benefits: In addition to the benefits described above, in the above discussion of the strategic business plan, the elimination of data entry requirements will save an estimated $3,000 annually.

Initiative: Migrate the Department's E-mail System from Microsoft Mail to Microsoft Exchange

Business Function Affected (Description): The Department of Education currently uses Microsoft Mail. This initiative will implement an upgrade to Microsoft Exchange Server, which is the strategic target e-mail system for all of state government. The Department would enter into a Service Level Agreement with BIS to provide e-mail service with Exchange Server.

Relationship to the Agency's Strategic Business Plan: This initiative will support all components of the Department's strategic plan.

Estimated Life: When this initiative is completed, the new reporting system is expected be in service for several years.

Estimated Development Time: This initiative is expected to require two months to complete.

Technology Used: The completed system would require Microsoft NT Server and Microsoft Exchange Server.

User Community Impact: The department's IT staff will need to be trained in MS Exchange and Microsoft NT

Alternatives That Were Considered, and Why They Were Rejected: The Department considered providing its own Exchange Service, rather than entering into a Service Level Agreement with BIS. This alternative was rejected because the Department has limited technology staff and cannot dedicate the additional time required to support Exchange Server.

BIS Service Impact: BIS would provide all e-mail support, under a Service Level Agreement.

Expected Benefits: The Department's staff would be able to take advantage of the additional features of MS Exchange such as scheduling, calendars and significantly faster remote access to e-mail.

Initiative: Redesign of Data Being Collected

Business Function Affected (Description): The department currently collects educational data from local schools and school units in Maine. The current data collection system must be redesigned to reflect the following objectives: 1) Reduce redundant data and eliminate data of minimal value to the Department and its strategic plan, and 2) Collect new educational data that will be needed to provide school subsidies reflecting the Essential Programs & Services model, or to monitor implementation of the Essential Programs & Services model at local schools and school units.

Relationship to the Agency's Strategic Business Plan: This initiative directly supports two components of the Department's Strategic Plan. The elimination of some collected data will assure that even with the addition of new data to support the Essential Programs & Services model, data providers in local schools and school units will not experience a net increase in their total data reporting work load. This result supports Goal 3 of the Department's Strategic Plan ("To deliver the highest quality services that meet the needs of our constituents.") The new data is necessary to support new data needs regarding funding of local school units in accordance with the Essential Programs & Services model. Availability of this new data will support Objective B of Goal 3, regarding fair and adequate educational opportunities for all Maine students.

Estimated Life: When completed, the benefits of this initiative will have an on-going life.

Estimated Development Time: Development will extend from the current date to June 30, 2003

Technology Used: As of the date of this report, the exact requirements are not yet specified, so the technology is unknown.

User Community Impact: Little user community impact is anticipated, other than training as needed regarding the new data reporting requirements.

Alternatives That Were Considered: As of the date of this report, the exact requirements are not yet specified, so alternatives have not yet been considered.

BIS Service Impact: As of the date of this report, the exact requirements are not yet specified, so the BIS service impact is unknown.

Expected Benefits: This initiative will result in benefits that have been described above, in the section "Relation to the agency's strategic business plan".

Initiative: Maintenance & Upgrades

Business Function Affected (Description): The Department's current technology infrastructure and data processing systems must be maintained and, on a periodic basis, upgraded; user

problems must be quickly addressed and resolved; and modifications to existing programs must be implemented to adjust to changing user needs.

Relationship to the Agency's Strategic Business Plan: This initiative supports Goal 3 of the Department's Strategic Plan ("To deliver the highest quality services that meet the needs of our constituents.")

Estimated Life: This initiative is an on-going business requirement

Estimated Development Time: This is a continuing obligation.

Technology Used: The current technology includes a Novell network, with COBOL and Oracle applications on a UNIX server with desktop PC workstations using Windows 95 & 98, Microsoft Office 2000, and other specialized software.

User Community Impact: On-going training opportunities are provided, periodically and as needed.

Alternatives That Were Considered: No alternatives were considered.

BIS Service Impact: This initiative will not impact BIS.

Expected Benefits: This initiative will allow the Department to continue working at current productivity levels.

ENVIRONMENTAL PROTECTION, DEPARTMENT OF
INFORMATION TECHNOLOGY PLAN

Submitted by: David Blocher, IS Manager
Date Revised: March 2000

Introduction: This submission is based upon a five year IT plan developed by the Department's Information Systems Steering Committee (ISSC) and Senior Management Team. The process included forums with Department staff and prioritization by the ISSC and Division Directors. The MDEP ISSC will revise this plan as part of the biennial budget process during the summer of 2000.

Senior managers reviewed the plan to insure conformity to strategic business plans as embodied by the Performance Based Budgeting process of the state and the Performance Partnership Agreement with USEPA. These projects also support the Environmental Information Technology initiatives set forth in the Governor's priority agenda this fall.

The Department has identified the following priority IT initiatives to be addressed during the next three years:

Integrate Data Management Across Program-specific Environmental Systems

Automate Electronic Data Capture

Utilize GIS As Desktop Tool to Access and Analyze Environmental Data

Make Environmental Data Widely Available in a Timely and Accurate Manner

Automate Key Administrative Functions to Reduce Costs and Improve Productivity

Maintain an IT Infrastructure that Meets the Needs of MDEP and Enable Staff to Use It Effectively

Initiative: Integrate Data Management Across Program-specific Environmental Systems

Business Function Affected (Description): Current MDEP databases are designed to support individual business programs (e.g. Application Tracking, Oil Spills, Underground Tanks, Wastewater Discharges, RCRA Clean-up, Air Emissions Point Sources). Data about facility name, ownership, location, etc. is duplicated in each database. This project will normalize the common data and enable all data for a site or facility to be linked for access and analysis. As part of the conversion to the new database structures we will clean up existing data and put into place long-term data management and QA/QC organizations and procedures to insure that data are documented and usable throughout the department and in the public domain. The first phase of the project consists of developing a Common Identifier Registry (CIR), modifying two existing databases and creating a new database to integrate key multi-program data: 1) Application Tracking System – tracks the progress of issuing environmental permits for across programs**,** 2) Groundwater Database – contains site information for threats to groundwater and serves as a repository for groundwater related sampling data, and 3) Compliance Tracking System – (new) tracks compliance with permit, inspection and enforcement conditions across programs.

Future phases will address modifying other databases and applications to work with the Common Identifier Registry and provide access via the Internet. We also expect to work with the Department of Professional and Financial Regulation and other agencies to utilize common systems to integrate professional licensing data.

A Federal grant is being used to complete the planning of this initiative in FY 2000. A General Fund appropriation has been requested in FY 2001 to start the long-term restructuring of much of the department's data. We are applying for a Federal One Stop Grant to assist with later phases of this effort.

Relationship to the Agency's Strategic Business Plan: The Data Integration Initiative supports the emerging vision of department management and staff that environmental data needs to be organized around geographic locale as well as program interest. Program staff, management and the public need to interpret program-specific data in the context of other activities in the immediate geographical area.

Objective B-5 requires that groundwater data be gathered and organized in a manner that enables the department to set objective measures to protect groundwater quality. Locating and integrating data relating to known threats to groundwater is a key strategy to accomplish this.

Objective C-1 requires that information be integrated to track contaminated sites from a variety of sources.

Objective C-3 requires that staff issuing permits look at other activities when approving waste and petroleum operations in order to protect public health and the environment.

Estimated Life: The logical restructuring of databases and institution of better data management procedures should have indefinite benefit. Specific implementation features are expected to last 3-7 years before significant upgrades are needed.

Estimated Development Time: A preliminary planning phase is being conducted in FY 2000. Phase I development is anticipated to take place from September 2000 to September 2001. Later phases will be carried out as resources become available and will take until the end of FY 2004 or beyond to complete.

Technology Used: Applications will be implemented using Oracle Designer 2000 and Oracle 8 RDBMS. Oracle Forms is the likely user interface.

User Community Impact: This project is expected to have a significant impact on the staff of the Department. We expect to analyze the workflow relating to data management and re-engineer several jobs to provide focused attention on QA/QC functions. We will attempt to restructure existing jobs to accommodate these changes. There will need to be extensive user involvement in the definition and design of the new data structures and applications as well as significant training in their operation and use. We expect to meet the training needs with existing in-house training staff.

Alternatives That Were Considered: The Department is still in the planning phase of this initiative. Once we have completed detailed user requirements, we will evaluate various implementation options including cooperating with environmental agencies of other states.

BIS Service Impact: Minimal, This project is a restructuring of existing databases. There may be a minor increase in the use of Oracle Forms and ReportSmith database access from our three regional offices in Portland, Bangor and Presque Isle. The applications all reside on a server housed in the Ray Building.

Expected Benefits: This is a key initiative to allow the Department to begin integrating data across environmental media (air, land, water, waste). This integration is required by USEPA, will improve the quality and reduce the burden of environmental regulation and will allow the Department to address policy and compliance across environmental media. This integration will make it easier to access all information related to any regulated entity, thus facilitating better communications between the Department and the regulated community. It will also prepare a foundation for public access to quality data.

Initiative: Automate Electronic Data Capture

Business Function Affected (Description): The goal of this project is to capture transactional and reporting data in a digital form as close to the source as possible and automate the transmission, validation and entry of this data into Departmental databases. The MDEP intends to provide its reporting sources with tools to assist in data preparation and validation and to accept transmissions via the Internet with direct entry into target databases. The current phase of this project includes: Convert Groundwater Electronic Data Transfer Pilot to full production, Purchase and customize a commercial database and client package for air facilities and waste water treatment plants, Develop or customize a database and collection system for the Toxic Use Reduction program, and Inventory and evaluate other repetitive reporting forms for automation. All forms will be accessible for download via the Internet. USEPA is phasing out its mainframe system for Air Facility Data in the fall of 2000. This project will provide an improved replacement.

Relationship to the Agency's Strategic Business Plan: Electronic reporting is an important process that will help to reduce reporting burdens, contain costs and improve the quality and timeliness of data the department requires to perform its core functions.

Objectives A-2 and A-3 and USEPA regulations require that regulated entities report and the Department track point-source emissions of regulated and non-criteria pollutants and set objectives for reductions.

Objective B-3 and USEPA regulations require that regulated entities report and MDEP track point source discharges to surface water bodies.

Objective B-5 and C-1 require that the Department collect sampling data to protect and clean up groundwater resources.

Objective C-5 requires the Department to collect and maintain a database of toxic use reduction information and to make this available to the public.

Legislation passed during the last session requires the Department to move forward with electronic reporting to make it easier for businesses to meet their reporting obligations to the state.

Estimated Life: We expect that the individual data feeds will have a useful of 2 to 4 years before significant upgrade are needed. The most likely situation is that more standardized means of data collection will become available over time as the result of public–private partnerships.

Estimated Development Time: July 2000 to December 2001

Technology Used: Microsoft Access as a remote client for sources to input and validate data. Some sources may electronically populate the source databases, Oracle Application Server to control user sessions to exchange files, instructions, validation dialogues and database queries, Oracle 8 RDBMS for databases.

User Community Impact: A major objective of this initiative is to reduce the burden of reporting data to the Department. We will evaluate existing commercial environmental data management packages that are in use by facilities to see if they can be modified to format and transmit the required data to MDEP regulatory programs. We would like to have the facility "client" part of the system add value to the business and simplify the reporting process.

BIS Service Impact: The overall impact should not be significant. The size and frequency of more submission files is similar to present day e-mail and FTP traffic for other agency work. We expect the following changes: Minor new traffic on the Internet and State WAN, Need capacity on BIS Oracle Application Servers (OAS) to control user sessions, and Need to pass through the firewall to establish connections between the OAS and departmental databases.

Alternatives That Were Considered: We will investigate using commercially available packages to capture, and transmit data to the Department. We are also investigating ways to use InforME as an intermediary to handle e-government transactions.

Expected Benefits: Electronic reporting will make it easier for most parties to submit required information to the MDEP. It will result in a major reduction of paper handling and manual data entry within the Department and free up staff to spend more time on QA/QC work and data analysis. It will also improve the quality and timeliness of data and lay the foundation for wider distribution of data and information.

Initiative: Utilize GIS As Desktop Tool to Access and Analyze Environmental Data

Business Function Affected (Description): Geographical Information System (GIS) technology is central to the efficient and effective conduct of much MDEP work. We plan to make these tools available at the desktop so that staff can access environmental data based on location, analyze complex environmental questions and situations and visually portray results as maps and diagrams.

By 1999, the department had trained over 100 of its staff to use GIS and had about 60 active users of ArcView. The current technology did not provide the functionality needed by users and put an unsupportable load on the state WAN. Data had to be replicated and managed in each office in order to provide local access. It was not possible to share projects between offices.

At that time, the Department undertook to address these shortcomings by working with Environmental Systems Research, Inc. (ESRI), a leading vendor in GIS to develop its next generation of GIS tools. ESRI's new ArcInfo 8 product provides the needed user functionality and object-oriented programming tools set to serve as a basis for supporting MDEP applications. Citrix Terminal Server technology will allow us to deploy GIS products and applications to all users over the state WAN and access these services with ordinary desktop PCs.

This initiative is supported by the following projects:

- Migrate users from ArcView to ArcInfo 8 standard GIS products.

- Upgrade the server infrastructure needed to deploy GIS products and applications to all MDEP offices.

- Develop an Atlas Creation and Print System for producing thematic maps.

- Convert the Marine Oil Spill Information system to ArcInfo 8 platform.

- Develop data forms for accessing groundwater databases via a GIS front-end (THUGS).

- Collect spatial locations of environmental features to enable GIS access.

The Department purchased hardware and software to support up to 24 concurrent users in FY 1999 and FY 2000. We requested a General Fund appropriation of $120,000 in the FY 2001 supplemental budget to expand the hardware to support up to 48 concurrent users by December 2000. This request was combined with a request by the Department of Conservation for a Citrix Terminal Server system to support the deployment of a database application to its remote offices. The two Departments are currently working with BIS to determine the best way to support both objectives.

We have contracted with outside vendors to convert existing custom applications to ArcInfo 8 and develop a new application to access groundwater related databases via a GIS user interface. This work began in 1999 and will be completed in 2001. The Department expects to continue GPS data gathering as funds become available through federal grants and dedicated funds.

Relationship to the Agency's Strategic Business Plan: Objective B-1 addresses improvements to customer satisfaction of MDEP services. Strategy D-1-57 calls for the "Expansion of GIS capability, in order to access environmental resources data and allow staff from both regions and Augusta to assess the potential impacts of applicant activities with greater accuracy and efficiency. Much of the utility of the Data Integration initiative depends upon the ability to access the integrated data via GIS.

Estimated Life: We expect Terminal Server technology to serve the department for at least 4 years. By then, there are likely to be new technologies that provide a better price-performance ratio. The ArcInfo object model has been designed to support full relational databases and should server for 5 or more years with version upgrades.

Estimated Development Time: July 2000-December 2000

Technology Used:

- Dell Terminal Server with Citrix Metaframe extensions for serving GIS applications

- Sun Microsystems database server for serving Oracle and Spatial Data Engine (SDE) data

- Citrix Metaframe server and PC client software to deploy access over WAN

- Oracle 8 RDBMS software for databases
- ESRI Spatial Data Engine, Geodatabase and ArcInfo 8 commercial software
- Customized applications to integrate access to agency data

User Community Impact: The shift from ArcView served as a desktop client to ArcInfo 8 is a significant step. We are doing this in an incremental manner, allowing work to continue in parallel on existing systems as users are trained and migrated to the new systems. We have set up an in-house training program to teach the basic skills needed to use the system. The process is aided by the facts that the data in the new system is better organized and easier to use, and the application functions are more intuitive.

Alternatives That Were Considered: Browser-based server technology was considered as an alternative "thin client" solution. Unfortunately, this technology is not sufficiently advanced to provide the functionality or efficiency needed for our applications. By using the Terminal Server technology we can support ArcInfo 8 in its native "out of the box" functionality and develop and deploy custom extensions to the ArcInfo 8 object model using the same technology and tool sets.

BIS Service Impact: New traffic on the Internet and State WAN. The use of the Citrix "thin client" software reduces session bandwidth to under 28KBS. Performance and network loading have been tested from all MDEP regional offices. The WAN link to Presque Isle will need to be upgraded to T1. Initially servers will be housed at the Ray Building. Over time we would like to move these to the BIS operations center.

Expected Benefits: GIS is finally becoming the tool it promised to be over the past 10 years. This technology holds promise to significantly enhance the ability of staff to find and visualize relevant environmental data, thereby improving the timeliness and quality of their decisions. It also provides a base for using an intuitive graphical interface to support public access to Departmental data in later phases.

Initiative: Make Environmental Data Widely Available in a Timely and Accurate Manner

Business Function Affected (Description): The goal of this initiative is to make the Department's data holdings available to staff, interested parties and the public in as transparent way as possible. Environmental policy and facility compliance can be greatly improved by giving all parties access to timely and accurate data.

Currently, much of our data is locked up in individual program-specific databases that do not support direct access from parties outside the primary user groups. The data integration initiative (initiative 1 above) addresses the work needed to organize and manage environmental data in a manner that can support outside access. The data collection initiative (initiative 2 above) addresses our ability to capture reported data in a timely and quality assured manner.

This initiative is currently assigned a lower priority and in the early years will aim for low hanging fruit that both has value and can be easily plucked. In FY2001, we plan to make the

Toxic Use Reduction (TUR) annual reports available on the Internet by June 2001. Funding for this is included in Initiative 2. In FY 2003, we plan to address storing and managing internal documents as electronic images in order to make the information more widely available to staff and public and to reduce the space needed for file storage.

We will continue current in-house efforts to publish summary data and information over the Internet via our departmental and bureau web pages. We will also work with InforME to identify other potential areas to be mined. As other departmental data becomes better organized to support QA and publication, we will revise this initiative to address other reporting products. These may include: Status of permits and applications, Location and type of oil and hazardous material spills, and Electronic copies of major permits

Relationship to the Agency's Strategic Business Plan: Electronic access to Departmental data and information is a key long-term objective. Objective C-5 requires the Department to collect and maintain a database of toxic use reduction information and to make this available to the public.

Estimated Life: Internet publishing is a very volatile technology undergoing explosive growth. We expect to make significant upgrades or replacements every 1 – 2 years.

Estimated Development Time: Most of these projects are still in a conceptual or planning stage. We do not expect major development activities until some time in FY 2002

Technology Used: We plan to employ several technologies to carry out this initiative.

- Publish static web pages using MS IIS
- Utilize InforME as a distribution agent for data accessed via web browsers over the Internet
- Investigate the use of Terminal Server technology for specialized access by other agencies and clients. This would provide the same functionality we give to MDEP staff using GIS applications
- Utilize Internet Mapping Service (IMS) to provide a visual interface to data.
- Utilize image scanning and storage systems to implement document management

User Community Impact: We expect this initiative to produce a positive impact on users. Environmental information will be widely accessible to staff and public from anywhere in the state of Maine. It will reduce the need to travel to obtain access to paper files and will give them the ability to learn what data and information is available.

Alternatives That Were Considered: In-house development of web-based applications using Oracle Application Server was considered. This would require extensive retraining of staff and duplicate skills and tools already available in InforME.

BIS Service Impact: This initiative will result in increased WAN and Internet traffic. No qualitative estimate is available at this time although BIS is involved in testing the impact of Terminal Server technology. Enterprise-wide and public access will increase the need for high availability to the networks and MDEP systems. We will need to move toward 24x7 operations over the years ahead.

Expected Benefits: Access to accurate and timely information is an important driver of environmental policy. An informed public is a positive influence on environmental protection and compliance.

Initiative: Automate Key Administrative Functions to Reduce Costs and Improve Productivity

Business Function Affected (Description): The Department carries out many day-to-day administrative tasks that are needed to support critical business functions. This initiative will carry forward the work started under the Productivity Task Force in 1996. There are still several areas where we can streamline business processes and reduce our administrative overhead.

We are developing a set of electronic billing and collection functions to better manage our fee-based revenue stream. The MDEP depends heavily on revenues from fees collected by many individual regulatory programs. In the past, each program set up and managed its own systems and procedures for projecting, billing and collecting these fees.

- Develop a common infrastructure and procedures to support the electronic generation of bills using the State's accounts receivable (RE) system.

- Move payment and collection processing functions to the ACE Service Center.

- Develop an electronic cashbook to streamline payments processing.

The Department of Administration and Finance is leading the development of several systems that promise improvements in business administration. We plan to participate fully in their development and implementation and will work to insure that they integrate with our departmental systems. Components identified for implementation include:

- Budget system (FY 2001)

- Time and attendance reporting (FY 2001)

- Training management system (FY 2001)

- Credit card payments (FY2001-2)

- ERP replacement for MFASIS (FY2003?)

Relationship to the Agency's Strategic Business Plan: This area was not explicitly mentioned in the latest version of the MDEP Strategic Plan. It will be included in the next update.

Estimated Life: The billing and collection and cash book systems should have a useful life of 3 to 5 years depending on the scope and timing of the MFASIS replacement project.

Estimated Development Time: A general purpose electronic billing subsystem was developed in FY 1999 and 2000 and was piloted on two programs (NPDES and OBD) that collect annual fees. We plan to extend this capability to other Departmental programs as the availability of in-house resources allows. An electronic cashbook is under development for deployment in FY 2001.

Technology Used: These functions are implemented using Oracle database and forms technology. A common set of billing tables is defined across all participating programs to provide a uniform set of billing and collection procedures and enable a hand-off of collection processing to the ACE Service Center.

User Community Impact: The use of uniform billing and collection notices and procedures should have a positive effect on our customers. They will receive invoices and statements that are more recognizable requests for payment. By improving our payments processing, we expect to reduce the number of payment errors, reduce the workload in individual programs and speed up the collection of revenue.

Alternatives That Were Considered: Other than contracting out the work, there do not appear to be alternatives for implementing billing and collections. Both our individual programs and MFASIS are customized applications. We have requested a number of enhancements to MFASIS to facilitate this process, but they have been placed on hold pending plans for its replacement.

There have been several attempts by DAFS and the State Treasurer's Office to implement an electronic cashbook. These tended to address the needs of central accounting and treasury functions and omit needed interfaces to departmental programs. To date none have been completed.

BIS Service Impact: There should be no adverse impact on BIS operations. These systems will run on departmental equipment and are generally accessed only from the Ray Building and Marquardt Building that are located on the AMHI campus. Batch files are sent to DAFS to open RE transactions and produce bills.

Expected Benefits: In addition to the improvements to customers noted above, the billing and collection system and electronic cashbook are expected to make significant improvements in our ability to manage our revenue stream. Common billing tables and procedures will enable us to improve our revenue forecasts, collect revenue in a timely basis and follow up on non-payments.

Initiatives: Moving payment and collection processing to the ACE Service Center shows promise for reducing processing costs and freeing up staff to attend to the regulatory aspects of their environmental programs. Maintain an IT Infrastructure that Meets the Needs of MDEP and Enable Staff to Use It Effectively

Business Function Affected (Description): Staff at MDEP are heavily dependent on the use of Information Technology to do their daily work. They manage mountains of data dealing with environmental quality and emissions/discharge of pollutants. They review hundreds of license and permit applications, many of which require management and analysis of data to determine potential impact on the environment. They strive to keep up with the latest science to establish a firm basis for regulations, permit conditions, program planning, and enforcement decisions. These demands require the department to make continuous improvements to the technology and techniques we employ.

During this plan period we hope to establish firm funding for the regular upgrade and replacement of IT equipment. Our goal is to implement a plan to allocate regularly recurring resources that are sufficient to keep our basic IT infrastructure current on an on-going basis.

This includes funding for:

- Annual costs of WAN charges
- 4 year replacement cycle for PC's and monitors
- 3 year replacement cycle for desktop software (Office and Windows)
- 5 year replacement cycle for office printers
- 5 year replacement cycle for servers

Other elements of this initiative include:

- Complete the replacement of LAN wiring and switches in the Ray Building (FY 2001)
- Move to Windows 2000 server architecture (FY 2001-2)
- Implement SMS or other configuration management software
- Investigate consolidating servers on AMHI campus or at Edison Drive (FY 2002-3 or whenever MDEP relocates)
- Develop an efficient back-up system for databases (FY 2002)

Relationship to the Agency's Strategic Business Plan: This area was not explicitly mentioned in the latest version of the MDEP Strategic Plan. It will be included in the next update.

Estimated Life: The LAN upgrade should have a life of at least 5 years. See above replacement cycles

Estimated Development Time: Development and procurement will be done as resources allow. Funding will come from the Administrative Overhead account.

Technology Used: MDEP is working with the IS Policy Board and IS Managers' Group to develop common standards for IT infrastructure, its procurement and support.

User Community Impact: Although the goal is to provide MDEP staff with the tools they need to do their jobs effectively, upgrades of the system infrastructure, especially software packages such as office suites and e-mail have a short-term negative impact due to disruption during migration and the need for training to upgrade user skills. MDEP has its own computer-training lab and is experienced in providing needed user training.

Alternatives That Were Considered: Most of these efforts are being coordinated through the ISMG and are following State standards or ISMG guidance.

BIS Service Impact: The new Windows 2000 server architecture is likely to require significant enterprise-wide planning and coordination. Server consolidation will require facility upgrades and operational support.

Expected Benefits: It is hoped that we will be able to obtain additional General Funds to provide for regular replacement of IT infrastructure. This will reduce the need to beg for emergency funding and provide a more balanced mix of funds for IT expenditures at MDEP.

The move to Windows 2000 has promise of better integration into an enterprise-wide system management scheme and a reduction in the total cost of PC ownership.

Consolidation of servers will help to reduce total statewide facility costs, leverage operations staff, and improve the depth of coverage as service availability hours increase.

EXECUTIVE DEPARTMENT
INFORMATION TECHNOLOGY PLAN

State Planning Office
Submitted by: Lisa Ann Leahy
Date Revised:

Introduction: The State Planning Office (SPO) identifies its IT needs through preparation of it biennial budget, an inventory control system, and a business plan. SPO's role is to assist the Governor, Legislature, and decision makers with technical assistance, data, information, analyses, and policy options essential for developing environmentally and fiscally responsible state and local policies. SPO relies most heavily on E-mail, desktop applications, print and file services and Internet access. SPO senior management staff in administration approved this plan.

Initiative: Maintenance

Business Function Affected (Description): To maintain SPO's current technology infrastructure replacement of approximately one third of our computer hardware is expected each year. Software applications are replaced on an as needed basis. SPO's infrastructure consists of approximately 60 desktops, 10 laptops, 1 NT application server, 1 Novell server, 1 mail router, 2

dedicated software application servers, 10 networked printers, electronic mail application, a program to loan out laptop computers to employees, miscellaneous software unique to programs within SPO.

Relationship to the Agency's Strategic Business Plan: SPO builds computer support services into every strategy.

Estimated Life: This is an on going business requirement.

Estimated Development Time: This is a continuous initiative.

Technology Used: E-mail, desktop applications, print and file services and Internet access.

User Community Impact: In maintaining and upgrading computer ware it is expected that users will require new training.

Alternatives That Were Considered: SPO was already implementing a three-year cycle of replacement for desktop computers. Switching to a program of purchasing as the department tried to meet a need would not coincide with the planning and budgeting process.

BIS Service Impact: SPO's maintenance program does not impact BIS Service.

Expected Benefits: Streamline the process of ordering hardware and increased outcome benchmarking capability with performance budgeting.

Initiative: Re-wiring of 184, 187 & 189 State St. Buildings with CAT 5

Business Function Affected (Description): Delivery of services to SPO customers.

Relationship to the Agency's Strategic Business Plan: SPO builds computer support services into every strategy.

Estimated Life: It is estimated that this upgrade will have a life of at least three to five years. It is challenging to estimate what new technology might be coming down the pike for delivery of services to customers.

Estimated Development Time: This initiative would take an estimated four weeks.

Technology Used: Switches, routers and CAT 5 wire.

User Community Impact: Users will be able to take full advantage of the speed, which currently exists to deliver goods and services. No training will be required.

Alternatives That Were Considered: Staying with the current 10mb connection/wiring.

BIS Service Impact: BIS would be responsible for installing the new wiring.

Expected Benefits: Reduced wait time for internet/wan accessible work and increased speed in delivery of services to customers.

Initiative: Migrate from CCMail to Outlook with support via BIS

Business Function Affected (Description): Communication is a key business function of SPO, all programs and employees within SPO rely heavily on E-mail.

Relationship to the Agency's Strategic Business Plan: SPO builds computer support services into every strategy.

Estimated Life: This is an on going business requirement.

Estimated Development Time: It is estimated that it would be an overnight through two-day process to bring our existing CCMail structure onto an Exchange server.

Technology Used: Microsoft Outlook client side.

User Community Impact: In implementing a new mail package it is expected that users will require new training.

Alternatives That Were Considered: Continue use of CCMail. Housing an Exchange server at SPO.

BIS Service Impact: BIS will service all mail accounts for SPO.

Expected Benefits: BIS services all aspects of delivering this mail package. Reduced Network Administration time and effort at SPO on mail delivery issues.

Initiative: Migrate from Lotus Smart Suite to Microsoft Office 2000

Business Function Affected (Description): Communication is a key business function of SPO, all programs and employees within SPO rely heavily on use of an office suite.

Relationship to the Agency's Strategic Business Plan: SPO builds computer support services into every strategy.

Estimated Life: This is an on going business requirement.

Estimated Development Time: It is estimated that it would be an overnight through two-day process to bring our add Microsoft Office to our desktop package. Technology Used: Microsoft Outlook client side.

User Community Impact: In implementing a new office suite is expected that users will require new training and a period of time allowed for use of both packages until users are comfortable enough for phasing Lotus Smart Suite off their desktops.

Alternatives That Were Considered: Continued use of Lotus Smart Suite.

BIS Service Impact: No impact of BIS service.

Expected Benefits: More conformity with interaction between state agencies and the public.

HUMAN SERVICES, DEPARTMENT OF
INFORMATION TECHNOLOGY PLAN

Family Independence, Bureau of
Submitted by: Hilary Fleming
Date Revised: March 2000

Introduction: The Bureau of Family Independence Information technology plan was developed with input from Steve Kimball, Project Manger DSER, Michael Hughes, Project Manager DSER, Brian Guerrette, BIS System Group Manager. The plan has been sent for review to Judy H.M. Williams Director, Bureau of Family Independence and Barbara VanBurgel Deputy Director, Bureau of Family Independence. The IT initiatives included in the plan support the programs administered by the Bureau of Family Independence and are included in the Department's Strategic Plan. The initiatives provide the automated support to staff who are responsible for the collection of child support, for those who assist clients in employment and education, provide food to families, and increase access to health care. These include Goal C, D, and E of the Department's Strategic Plan.

Initiative: Upgrade NECSES to meet WELFARE REFORM requirements

Business Function Affected (Description): Welfare Reform requires that all States make significant distribution rule changes and that child support collections be disbursed within 2 days of receiving the collections into the State's automated child support enforcement system. DSER will make substantial changes to our existing financial subsystem. New requirements will include, but are not limited to, maintaining 6 new arrears balances; comply with new Office of Child Support Enforcement reporting requirements; and comprehensive tracking functions of collections through the system from distribution to disbursement. In order to accomplish these and other defined requirement of Welfare Reform, it will be necessary to modify the file structures, add new tables and screens, enhance data access, improve on data warehouse, enhance the reporting system and simplify the batch processing. The proposed design calls for the consolidation of daily distribution, monthly distribution, and disbursement processing. This consolidation is needed in order to simplify the process sufficiently to facilitate the introduction of the new functionality required by Welfare Reform. Welfare Reform also requires that a system be established to review cases in preparation to modify the child support collection and to

prepare the courts for the modification process. NECSES currently contains all the necessary steps and processes needed for expedited administrative hearings, expedited paternity processing and license revocation but all the forms mandated by law to complete these expedited processes are not currently in NECSES. Smart masters and databases in Approach have been created to import the necessary data elements to create and print the forms. The process needs to be automated to bring this process into NECSES. This will allow the user to complete the necessary forms and NECSES will be updated automatically.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 10+ years

Estimated Development Time: July 1999 to June 2001

Technology Used: Oracle 8, bridge software

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development, Increase in server use and may require larger server, Collaboration with Vendor

Expected Benefits: Meeting all Federal Welfare Reform requirements. System enhancements will assure the timely processing and distribution of child support funds. The new enhancements to the financial system will allow for quicker and more accurate data retrieval, improve federal reporting requirements by accurately collecting and formatting the information for new federal forms and allow better tracking capabilities within the system from collection to disbursement. Automating the process to bring the forms necessary for expedited paternity, administrative hearings and license revocation will allow the user to complete the necessary forms and NECSES will be updated automatically. This action should greatly reduce the time needed to complete this task and provide an accurate record of actions taken for federal reporting.

Initiative: Electronic Funds Transfer

Business Function Affected (Description): Federal Welfare Reform requires states be capable of processing EFT/EDI transactions in the Corporate Trade Exchange (CTX) format or CCD+. The division will work closely with the Treasurers Office, Accounts and Control and their financial processing system MFASIS. Modification to MFASIS and NECSES will be required in order to meet the requirement of handling incoming and outgoing EFT/EDI transactions.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: June 1999 to March 2001

Technology Used: EDI translator

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development, Collaboration with Vendor

Expected Benefits: The Division will comply with federal mandates. Enhancements will result in an improvement in cost effectiveness when handling large volumes of transactions.

Initiative: Imaging

Business Function Affected (Description): The Bureau of Family Independence is working cooperatively with all bureaus within the Department of Human Services to design, build and implement an alternative to document storage by providing imaging ability for case records to be stored and retrieved electronically. The files are currently stored in file cabinets, boxes, on microfiche and electronically. (The Division of Support Enforcement (DSER) worked with Maine Revenue Services to store 1994-1996 files electronically) However, BFI has many more additional files that need to be stored electronically and this project will include DSER files as well. BFI includes files for the eligibility/ASPIRE staff, the Medical Review Team as well as DSER. Those files and their storage are broken down as follows: DSER must keep their files for 18 years beyond the 18th birthday of the child in a case. To meet this requirement the unit stores 42,750 sheets of paper each month. The staff assesses the 25% of the closed files during the first year following archival, 20% of the files during the second year of the archival and decreasing number for every year after that with a minimum of 5% for the subsequent years. Eligibility/ASPIRE closed files are stored in file cabinets in all 16 offices. There are approximately 5400 file drawers or 18,000,000 pieces of paper stored in the regions. Approximately 15% are retrieved during the first year of archival with 10% the second year and a decreasing amount for the years that follow. These files are required to be kept for 3 years after closing but with the new WELFARE REFORM law we are required to track these cases for the clients lifetime. Medical Review Team, in BFI Central Office, has 800,000 pieces of paper in file cabinets that are to be imaged. Ninety percent of these files are retrieved annually and either Medical coverage is closed or the file is updated to continue Medical coverage. Each month an additional 13,000 pieces of paper are stored in files for either new or updated cases.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: March 2000 to October 2000

Technology Used: Hardware: Oracle Server, High-speed scanners, Software: Oracle 8, Imaging software, Proposed: Web based file retrieval

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Minimal impact to BIS. The project will be supported in-house.

Expected Benefits: There will be a savings in staff time of filing and retrieving documents and eliminating filing of documents whenever needed along with the following:

- Saving of space currently taken by filing cabinets and/or boxes.
- File security and integrity will be enhanced.
- Allow multiple users simultaneous access to electronic files.
- Decreased lost documents due to misfiling
- Faster retrieval

Initiative: NECSES Enhancements, National New Hire Directory

Business Function Affected (Description): WELFARE REFORM requires States to develop a State Directory of New Hires and report all new hires to a National New Hire Directory. States are also required to send withholding notices to employers within two (2) days of receipt of New Hire Data. In order to meet these requirements both a Secure New Hire reporting Web Site and a Voice Response Unit is being designed, built and implemented. The web site will provide access to federal and State of Maine laws, policy, requirements, procedures, instructions, and general information for new hire reporting. A data base administrator will set up the appropriate formats to allow DSER to accept new hire reporting via the Internet. An Oracle database will be developed which will include secure new hire reporting accounts, tables, logic, and final links for transmission to NECSES. Additional NECSES programming must be completed in order to extract and/or import data to and from the oracle database and to and from the National New Hire Directory. The Voice Response System will allow employers to report new hires via telephone. The system will provide the same required information as the web site as it relates to requirements of new hire reporting.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 10+ years

Estimated Development Time: One year

Technology Used: Oracle 8

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development through BIS, they would facilitate data links and/or feeds and would have to support and maintain the system.

Expected Benefits: The State will comply with federal mandates. A decrease in the need for human data entry and a reduction in time from the point of entry to the issuance of required withholding documents would be accomplished. The system will provide a cost effective means of recording and transmitting required data.

Initiative: NECSES Enhancements, Administrative Debt Collection

Business Function Affected (Description): To comply with the new federal requirements for administrative offset, the existing NECSES federal offset program must be modified to include on line and batch programming changes. NECSES will be further modified to bring other enforcement remedies under one umbrella. They will include credit bureau reporting, unemployment intercept, license revocation, and the Lottery Commission matching and state tax offset. The vision is to create a "master" NECSES screen with all administrative enforcement remedies available.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 10+ years

Estimated Development Time: November 1999 to June 2000

Technology Used: Mainframe

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development through BIS, they would facilitate data links and/or feeds and would have to support and maintain the system.

Expected Benefits: Will assist families in collecting past-due child support obligations. It allows for administrative offsets (federal payments with a few exceptions) in addition to consolidating all debt collections. A NECSES "master" screen will substantially streamline the administrative process resulting in increased collections.

Initiative: NECSES Enhancements, Financial Institution Data Match

Business Function Affected (Description): Welfare Reform requires that the State IV-D Agency shall enter into agreements with financial institutions doing business in the State to develop and operate a data match system. This enhancement requires the development of a standardized format for data matches between the State and Financial institutions. Additional screens will be developed in the NECSES production system to view and process the

information. We have already met the Welfare Reform requirement of interstate financial data match.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: One year

Technology Used: Mainframe, Connect Direct

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development through BIS, they would facilitate data links and/or feeds and would have to support and maintain the system.

Expected Benefits: The State will comply with federal mandates. A significant increase in collections from financial assets is expected while at the same time removing the need for manual data input.

Initiative: NECSES Enhancements, Enhancement of Reporting Requirements

Business Function Affected (Description): To comply with new reporting requirements of federal forms the file extracts of some existing forms must be redefined. Several major changes must be done. One of the greatest programming changes will be incorporating in the new TANF distribution rule changes. Welfare Reform mandated that all states adopt the Uniform Interstate Family Support Act, which we have. Under UIFSA, states are required to adopt the federally approved standardized income withholding forms. The State must design and actuate a mechanism for incorporating this form into its enforcement module of the automated child support enforcement system. State tracking of children born out of wedlock and paternity establishment are two of the federal reporting requirements of the federal form Office of Child Support Enforcement-157 that all states are required to complete. This is currently a manual process using information from the Bureau of Vital Records and instate hospitals. DSER is planning to automate this entire process of statistic gathering.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 10+ years

Estimated Development Time: September 1999 to June 2001

Technology Used: Oracle 8, Oracle forms & reports, Client server

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development through BIS, they would facilitate data links and/or feeds and would have to support and maintain the system.

Expected Benefits: States must meet the statutory requirements for data reporting, and under new incentive formulas, State-reported data must be determined to be complete and reliable, or the maximum incentive base amount of the State will be zero. In addition, the State's TANF funds could be reduced by 1 to 5 percent if data submitted are incomplete or unreliable. The enhancement of reporting requirements will meet all federal guidelines for reliable and complete data.

Initiative: NECSES Enhancements, Forms Revision

Business Function Affected (Description): Currently any new NECSES form or change to an existing NECSES form must be typed in WordPerfect and saved in a DOS format. The programmers receive the request for a change to NECSES and must then upload into NECSES production. This has proven to be very time consuming and labor intensive process. To automate this process a forms-generation software capable of interfacing and automatically updating NECSES would be purchased. Federal forms currently cannot be replicated in NECSES and this new software would be used to enhance and create forms for the expedited processes.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: March 2000 to December 2000

Technology Used: forms generation software

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Impact due to forms generation software link to NECSES. Possible development through BIS.

Expected Benefits: The ability to keep NECSES forms up-to-date with constant changes that are being made to our program without the intervention of a programmer's valuable time. Forms that NECSES does not have the ability to process will now be available, including federal and court forms that cannot be produced by NECSES now.

Initiative: NECSES Enhancements, Voice Response Unit

Business Function Affected (Description): The Maine IV-D program has a client voice response system, which operates during normal business hours when the NECSES production

system is up and running. The voice response system enables custodial parents to call and obtain financial information concerning their cases. The current voice response system can be complicated and difficult for custodial parents to comprehend. The Voice response system is to be enhanced in order to provide information in a more organized and clearly defined manner. The enhancement is also to be expanded to include information on EFT disbursements and incorporate enforcement actions. The enhancement will also allow clients to access the system 24 hours a day.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 10+ years

Estimated Development Time: July 1999 to March 2001

Technology Used: NT Server, Access net

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development through BIS, they would facilitate data links and/or feeds and would have to support and maintain the system.

Expected Benefits: Will expedite information sharing with our clients and allow staff to serve more clients better.

Initiative: NECSES Enhancements, Case Registry

Business Function Affected (Description): Develop an automated Case Registry for all DSER cases and all support orders for cases not part of our system that were established or modified in the State after October 1, 1998. Welfare Reform requires that the State have the ability not only to transmit its State Case Registry to the new Federal Case Registry electronically but also to have the ability to receive all incoming responses and data from the Federal Case Registry, including, but not limited to, the proactive matching process.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: April 2000 to November 2000

Technology Used: Oracle 8, Mainframe, Connect: Direct

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development through BIS, they would facilitate data links and/or feeds and would have to support and maintain the system.

Expected Benefits: A fully automated system meeting all Federal Welfare Reform requirements The Case Registry will serve as a pointer system, providing both the State that submits information for a person and other States that previously submitted information for the person with information needed for interstate case coordination. Federal Case Registry information assists States in establishing paternity; establishing, enforcing, or modifying child support obligations; and assists States in locating persons who may be involved in a child support case. The Federal Case Registry directs States to other States with an interest in the same person by automatically matching newly submitted persons to the existing FCR records.

Initiative: Automated Client Eligibility System

Business Function Affected (Description): The Bureau of Family Independence will be releasing a Request for Proposal for the design, development, and implementation of an automated client eligibility system. It will replace a system that is now in place, which was designed and developed in the early 1970s. It is written in Cobol 68 and operates on a Bull DPS90 computer. The system supports minimal operations needs for eligibility determination, benefit calculation, and distribution and federal and state reporting. It is deficient in supporting the complex programs that are currently administered by the Bureau and is unable to provide the management information needed to administer the programs efficiently and effectively. It is unable to meet the Federal reporting requirements under the Personal Responsibility and Work Opportunity Reconciliation Act of 1996 (PRWORA). ACES will allow the Bureau to meet all the requirements of PRWORA. It will allow the staff to complete a client interview process that will lead to cascading eligibility determination. This process ends with the staff more likely being able to determine client eligibility at the time of the interview. The system is designed to interface with multiple agencies to collect and provide information pertinent for determining the eligibility status of the client. It will incorporate all data necessary to report program and fiscal information as required by state and federal law and provide the system necessary to process eligibility applications expeditiously for Maine’s neediest residents.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 10+ years

Estimated Development Time: July 2000 to June 2002

Technology Used: Oracle and Microsoft Products as needed.

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Possible Internet connection, Upgrade telecommunication networks, MFASIS interface, NECSES interface

Expected Benefits:

- Single point of entry for client to apply for programs administered by the Bureau of Family Independence,
- Reduction in the number of errors in eligibility determination,
- Increased number if electronic interfaces for information sharing across Bureaus,
- Enhanced fraud investigation and recovery,
- Improved information reporting to support state and federal requirements and
- Improved fiscal and program management.

Initiative: Electronic Benefit Transfer

Business Function Affected (Description): The Bureau of Family Independence determines client eligibility for TANF and Food Stamp programs. The TANF program issues cash in the form of benefits and the Food Stamp Program issues benefits in the form of food coupons The EBT system allows the Bureau to end the issuance of paper benefits of checks and food coupons and will provide access to benefits using debit card technology.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: November 2000 to June 2001

Technology Used: WELFRE

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Interface with MFASIS and Treasurer's Office.

Expected Benefits: For business community (food stamp retailers, non-food retailers and banks):

- Elimination of paper coupons for the purchase of food
- No cash back for food stamp benefits
- Financial account settlement for retailers will be within 24 hours.

For the clients:

- Equal or better access to benefits.
- Mainstream the clients into financial institutions.
- Reduction of reliance on the US Postal Service for the receipt of benefits

For State and Federal government:

- Reduction in lost or stolen benefits
- Fraud reduction
- Elimination of food coupons
- Elimination of paper checks

Initiative: BFI Hardware Update

Business Function Affected (Description): The Bureau is purchasing desktop and laptop computers to replace the older devises that were purchased in 1994, which are no longer able to complete the work that is required by the Bureau. The new devices will be used for high-level presentations to clients and businesses. These devises will used to do high-level presentation to clients and businesses. The Bureau has also identified a number of staff that would be better served by using laptops for the work. For those people the Bureau is purchasing laptops with port replicators to replace the desktops that would normally be placed at their desk. The Bureau is also purchasing a number of printer/scanners and fax machines to be placed in the offices.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: May 2000 to July 2000

Technology Used: Microsoft Office 2000, network software

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Minimal telecommunication requirements with phone line installation for networking some of the printers and computers.

Expected Benefits: The new equipment will allow workers to complete their work in a more flexible manner. It will also provide equipment that will meet the needs of the Bureau in

preparing clients to enter into the work force and become self-sufficient. This equipment will also replace aged equipment that no longer allows BFI to handle all the data necessary to complete their work.

Health, Bureau of

Introduction: The Bureau of Health is comprised of five divisions: Disease Control, Office of Health Data and Program Management, Community and Family Health, Health Engineering, and Health and Environmental Engineering Lab. Plan inputs were developed by each division, reviewed for consistency, and approved by senior Bureau management before consolidation in the overall DHS IT Plan. The IT Initiatives in this plan directly support the BOH mission to "Develop and deliver services to preserve, protect and promote the health and well-being of the citizens of Maine." The initiatives support the agency strategic plan to invest in technology that improves the services delivered to the citizens of Maine in a cost effective manner.

Community and Family Health Computer Network Services

Submitted by: Steve Nichols
Date Revised: March 2000

Introduction: The current computer network at the Division of Community and Family Health consists of two Novell NetWare servers and one Microsoft Windows NT servers that are managed locally and provide services as follows:

Server #1: 151CAP: Primary production server for Divisional Programs located at 151 Capitol St. in Augusta. The server consists of a Zenith WG Server (Two 90 MHz Pentium Processors, 128MB RAM, 6GB-storage space, and running Novell NetWare 4.11). Services provided include primary production services including file storage, file sharing, print services, and functions as the electronic mail server for approximately 70-75 employees.

Server #2: 151R331: Primary production server for Divisional Programs located at 331 Water St. in Augusta. The server consists of a Zenith Z-Server (One 486/100 MHz Processor, 128MB RAM, 4GB-storage space, and running the Novell NetWare 4.11 Network Operating System). Services provided include primary production services including file storage, file sharing, print services, and functions as the electronic mail server for approximately 25-30 employees.

Server #3: DHSNT1: Database server for Divisional Programs located at 151 Capitol St. in Augusta. The server consists of a Dell Power Edge Server (Two Pentium II 400 MHz processors, 256MB RAM, 6GB-storage space, and running the Microsoft NT 4.0 Network Operating System). Services are currently limited to database storage and support of Divisional Programs.

Remote Locations: WIC: Additionally, the Women, Infants, and Children’s Program (WIC) has twenty remote Windows NT servers managed centrally by the Department of Human Services, Division of Technical Services (DHS/DoTS).

Initiative: Divisional Network Servers Upgrades and Maintenance

Business Function Affected (Description): Network server equipment upgrades to replace obsolete server hardware and upgrade existing network operating systems. Existing servers provide resources for collecting and storing data and routine word-processing, spreadsheet, databases, promotional materials, and various data analysis files, distributed print services, and electronic mail services to seventeen Programs within the Division. Currently two servers are due for replacement: Server #2 and Server #3.

Relationship to the DHS Strategic Business Plan:

Estimated Life: 5-year recurring cycle

Estimated Development Time Period: Recurring

Technology Used: Servers, hard drives, Network Operating systems (NetWare/NT), network switches and hubs, network interface cards (NICs), and other related hardware, software, and firmware.

User Community Impact: Minimal local training required for Users, technical training required for support personnel maintaining the systems.

Alternatives Considered: Not applicable

BIS Service Impact: Primarily LAN-based with no expected change on impact in regards to the WAN.

Expected Benefits: Replacement of obsolete server and network hardware, firmware and software is crucial to continue providing network services and office automation resources. This will permit the division to continue providing network services and data storage while minimizing the effects and impact of lost production time due to system failure and recovery and by reducing the cost for emergency upgrades, repairs, and services.

Initiative: Personal Computer and Software Upgrades and Maintenance

Business Function Affected Description): The Division of Community and Family Health (DCFH) consists of seventeen different programs, most of which are categorically funded through various Federal agencies. The programs, consisting of approximately 80 to 100 personnel perform a variety of public health functions that require the collection data and reporting to funding agencies, policy makers, planners, and other interested parties and local agencies. Previous purchases of computer hardware and software were once considered as one-time purchases without much regard to changes in technology and applications. Current technology has advanced at such a rapid rate that computer hardware and software purchased only three years prior to January 2000 are already obsolete and no longer supported by manufacturers and developers. Such changes resulted in increased expenditures in order to catch-up with current technological innovations to maintain continuity, connectivity, and compliance with funding and reporting agency requirements. These older PCs lack the capability to support the sophisticated applications used by the division.

Relationship to the DHS Strategic Business Plan:

Estimated Life: 3-year recurring cycle

Estimated Development Time Period: Recurring.

Technology Used: Personal Computers, Operating System, MS Office 97/2000, cc:Mail/MS Exchange e-mail, Network Interface, Novell NetWare, Microsoft NT.

User Community Impact: Minimal local training required for Users.

Alternatives Considered: Not applicable

BIS Service Impact: Not expected to impact on BIS services.

Expected Benefits: Replacement of obsolete personal computer hardware, firmware, and software is crucial to continue providing office automation resources in a rapidly changing resource environment. Establishing the system turnaround rate at 33% (one third) annually will permit the division to continue providing an acceptable and efficient means of maintaining personal computer services, data entry, and access to resources while minimizing the effects and impact of lost production time due to obsolescence and/or system failure and recovery and by reducing the cost for emergency repairs and upgrade services while maintaining compatibility and compliance with local State and Federal funding agencies.

Initiative: Central Database System

Business Function Affected (Description): Data collection, reporting, and distribution. Currently, multiple database management systems and applications are in use throughout the Division. Many of these systems have similar data elements, but are not accessible to all Programs within the Division. There is a need to begin the development of a central database system to incorporate and consolidate common data elements for multiple and dissimilar database systems to reduce redundant data collection, recording, and reporting into a single common DBMS system to facilitate further conversion to a single-standard DBMS/Warehouse system and to meet future needs of data collection, accessibility, and reporting.

Relationship to the DHS Strategic Business Plan:

Estimated Life: 7+ years

Estimated Development Time Period: February 2000 - February 2001

Technology Used: Network servers running Network Operating Systems such as Novell NetWare and/or Windows NT. Operating Systems such as Windows 95/98 or NT for Workstations supporting MS Office 97/2000 applications. Client/Server Systems such as Oracle, MS SQL Server, or as may be recommended in accordance with DHS and State of Maine requirements and standards.

User Community Impact: Local training as databases is converted from dissimilar DBMS systems into a single standard. Affected Divisional Programs and services include Maine Breast and Cervical Cancer Program, Maine Cancer Registry, Diabetes Control Project, Teen and Young Adult Health Program, Oral Health Program.

Alternatives Considered: To be determined as plan develops; currently conversion is in progress to upgrade all dissimilar system to MS Access to standardize data formats since databases are still relatively small.

BIS Service Impact: To be determined as plans continue to develop to a centralized system. Currently using existing WAN connectivity for remote locations.

Expected Benefits: Reduced duplication of database development efforts and data collection and entry by centralizing common data elements into a single, common resource and DBMS/Warehouse System.

Initiative: Maine Breast and Cervical Health Program (MBCHP) Tracking System

Business Function Affected (Description): Upgrade and maintain the MBCHP Tracking System to include accessibility and services through the Maine Medicaid Decision Support System (MMDSS). This tracking database system is primarily used in the collection and reporting of breast and cervical screening services categorically funded by the National Breast and Cervical Cancer Early Detection Program (NBCCEDP) of the Centers of Disease Control (CDC). Semi-annual reports are provided to the CDC. Reports and statistical data are provided to contracted care providers. Statistical data is also provided to policy makers, planners, and other interested parties. The system also produces letters consisting of enrollment status and re-screening reminders to patients enrolled in the program and to service and care providers.

Relationship to the DHS Strategic Business Plan: Objective D2 / Strategy D2.111.

Estimated Life: 5+ years

Estimated Development Time Period: February 2000 - February 20001

Technology Used: Novell NetWare/Windows NT servers and Microsoft Office Pro (Microsoft Access 97/2000)

User Community Impact: Local training required for changes and modifications to existing database system. DHSTI routine scheduled training for MS Access 97 for new employees. Other programs and agencies include: Maine Cancer Registry, Diabetes Control Project, Teen and Young Adult Health Program, and Oral Health Program under the Divisional Central Database initiative.

Alternatives Considered: CAST tracking system (provided by CDC) was reviewed and rejected due to the lack of a multi-user interface as a server-based data system and inability to extract data, as needed for local State and Community reporting.

BIS Service Impact: Connectivity to the MMDSS system at the Bureau of Medical Services (BMS) and is already available and accessed over the WAN and is not expected to increase WAN traffic.

Expected Benefits: Enable compliance with CDC funding requirements and increase the ability to manage and evaluate program activities. Combined with other divisional database projects, is expected to reduce data entry requirements by consolidating common database elements to a centralized system and permit future expansion as needed to a centralized warehouse system. This will reduce such efforts as duplicate data entries in regards to common data entered in multiple dissimilar databases currently in use and permit the ability to cross check certain data collected and stored by various agencies.

Initiative: Maine Cancer Registry (MCR) Database System

Business Function Affected (Description): The Maine Cancer Registry (MCR) Database System collects standardized demographic and clinical information on all persons living in Maine who are newly diagnosed with cancer. Two databases will be developed using currently available data sources.

Relationship to the DHS Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time Period: February 2000 - February 20001

Technology Used: Novell NetWare/Windows NT servers, Windows 95/98 workstations, MS Office Pro (Access 97/2000).

User Community Impact: Local training required for changes and modifications to existing database system. Local training required for changes and modifications to existing database system. DHSTI routine scheduled training for MS Access 97 for new employees. Other programs and agencies include; Maine Breast and Cervical Health Program, Diabetes Control Project, Teen and Young Adult Health Program, and Oral Health Program under the Divisional Central Database initiative.

Alternatives Considered: Rocky Mountain Cancer Data System (still under consideration, current version is DOS-based, upgrade requires NT Workstation).

BIS Service Impact: To be determined, primarily LAN-based with no expected change on impact in regards to the WAN.

Expected Benefits: The databases will provide the ability to manipulate data, generate reports with frequencies and cross-tabs of selected variables and will be upgradeable for future uses. Combined with other divisional database projects is expected to reduce data entry requirements by consolidating common database elements to a centralized system and permit future expansion to a centralized warehouse system. This will reduce such efforts as duplicate data entries in

regards to common data entered in multiple dissimilar databases currently in use and will permit the possibility of crosschecking cancer-related data as collected and reported within other divisional agencies.

Initiative: Diabetes Control Project (DCP) ADEF Database System

Business Function Affected (Description): The Maine Diabetes Control Project manages a statewide comprehensive diabetes education program that is delivered at approximately forty hospitals, community health centers and home health agencies statewide. The DCP has collected ADEF Program participant data since 1980. Over the years, the data collection form has been revised and expanded to reflect changes in: the ADEF Program structure; consistency with the National Standards for Diabetes Self-Management Education Programs; requirement of the American Diabetes Association's National Recognition Program; and documentation requirements of local providers, payers and sponsoring agencies. The current database (dBase) is manually manipulated by the user and is no longer under development by the manufacturer.

Relationship to the DHS Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time Period: February 2000 - February 20001

Technology Used: Novell NetWare/Windows NT servers, Windows 95/98 workstations, MS Office Pro (Access 97/2000).

User Community Impact: Local training required for changes and modifications to existing database system. DHSTI routine scheduled training for MS Access 97 for new employees. Other programs and agencies include; Maine Cancer Registry, Maine Breast and Cervical Health Program, Teen and Young Adult Health Program, and Oral Health Program under the Divisional Central Database initiative.

Alternatives Considered: dBase III/dBaseIV/dBaseV (Rejected as out of date and no longer supported by the developer; Borland).

BIS Service Impact: LAN-based with no on impact on the WAN services.

Expected Benefits: Fully automating the database in an updated environment will reduce data entry and reporting efforts significantly. Combined with other divisional database projects it is expected to reduce the number of differing database products currently in use, creating a single-standard system with less maintenance and development time required to support changes to comply with funding agency data requirements.

Initiative: Oral Health Program Health Database

Business Function Affected (Description): The Oral Health Program currently collects data on the oral health status of the community through the following available data sources: (1) the

School Oral Health Program data forms (hardcopies), (2) an Access '97 data set of Kindergarten Screening data, (3) the Oral Health Needs Assessment Maine State Smile Survey data files (currently in Epi-Info but downloadable to Access '97), and (4) the Maine Medical Program Dental Program data from the Maine Medicaid Decision Support System (MMDSS) database.

Relationship to the DHS Strategic Business Plan:

Estimated Life: 5+ Years

Estimated Development Time Period: February 2000 - February 2001

Technology Used: Novell NetWare/Windows NT servers, Windows 95/98 workstations, MS Office Pro (Access 97/2000).

User Community Impact: Local training required for changes and modifications to existing database system. DHSTI routine scheduled training for MS Access 97 for new employees. Other programs and agencies include Maine Cancer Registry, Diabetes Control Project, and Teen and Young Adult Health Program under the Divisional Central Database initiative.

Alternatives Considered: dBase (Outdated).

BIS Service Impact: LAN-based with no on impact on the WAN services.

Expected Benefits: Fully automating the database in an updated environment will reduce data entry and reporting efforts significantly. Combined with other divisional database projects it is expected to reduce the number of differing database products currently in use, creating a single-standard system with less maintenance and development time required to support changes to comply with funding agency data requirements.

Initiative: Teen and Young Adult Health Program (TYAH) SBHC Database

Business Function Affected (Description): The Teen and Young Adult Health Program's (TYAHP) School Based Health Centers (SBHC) provide primary preventive, acute, and mental health care to adolescents who may not have access to health care due to transportation, financial, or scheduling difficulties or due to confidentiality issues. The SBHCs also identify high-risk health behaviors for targeting with early interventions. Data will be collected centrally by the TYAHP from the fourteen statewide SBHCs and used to track utilization of services (care provided) and evaluation of outcomes (healthier youth).

Relationship to the DHS Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time Period: February 2000 - February 2001

Technology Used: Novell NetWare/Windows NT servers, Windows 95/98 workstations, MS Office Pro (Access 97/2000).

User Community Impact: Local training as databases are converted from dissimilar DBMS systems into a single standard. Affected Divisional Programs and services include Maine Breast and Cervical Cancer Program, Maine Cancer Registry, Diabetes Control Project, Teen and Young Adult Health Program, Oral Health Program.

Alternatives Considered: MS Access 2.0 (outdated when upgraded to Access 97)

BIS service Impact: LAN-based with no on impact on the WAN services.

Expected Benefits: Fully automating the database in an updated environment will reduce data entry and reporting efforts significantly. Combined with other divisional database projects it is expected to reduce the number of differing database products currently in use, creating a single-standard system with less maintenance and development time required to support changes to comply

Disease Control, Division of

Submitted by: John Pease
Date Revised: March 2000

Introduction: The initial plan was developed by the Division of Disease Control technical team. This document included routine requests from Division Programs, Bureau Administration, and technical staff for hardware, desktop applications, training, and recommendations incorporating new technology. Initial recommendations were reviewed with Division management to determine technology needs based on strategic direction. The Division plan is segmented into two sections: ImmPact (The web based immunization system), and the Division of Disease Control. Approval will be from the Director of Disease Control and the Deputy Director of the Bureau of Health.

Initiative: ImmPact System Scalability Initiative

Business Function Affected (Description): Provide reliable and responsive access to the system for all users including, immunization providers (private and public medical offices) and agency staff.

Relationship to the Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 1 to 5 years

Estimated Development Time Period: 3 to 6 months

Technology Used (hardware, software, languages, etc.): Windows NT Enterprise Version, Iona Orbix 3.0.1 (corba), Visual Basic 6, NT Web Server with 4 processors (in addition to server purchased previously purchased), Two processor upgrade to web server, NT Web Server with multi processors for Keane ImmPact development and support activities.

User Community Impact: Improved user response time and more reliable access to the system, including less down time caused by NT web server failures. Users are currently experiencing frustrations when entering data for updates that fail. This initiative is a critical milestone for rolling out the system to all immunization and Bright Futures providers. This system is critical to Department efforts to maintain high immunization levels necessary to protect Maine and New Hampshire populations from vaccine preventable disease.

Alternatives That Were Considered, and Why They Were Rejected: Replacement of middleware with an all UNIX solution was considered. This solution as a first step was rejected because the costs were excessive at over 3.1 million dollars for development costs alone.

BIS Service Impact: Resolving the scalability issues in its self, will not have any impact on BIS services. See the ImmPact Rollout Initiative for BIS impact.

Expected Benefits: Benefits include ability roll out of the system to additional providers, improved system up time and reliability, reduction of time required to support NT servers. A scaleable system will allow the system to support the public health benefits of registry systems including record sharing between providers, support for disease out breaks, and reporting activities. This effort will positively impact upon the overall level of preventative health service support for children's immunization coverage rates in Maine and New Hampshire.

Initiative: ImmPact Rollout

Business Function Affected (Description): Support roll out of ImmPact to Maine and New Hampshire immunization providers.

Relationship to the Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 1 to 5 years

Estimated Development Time Period: 1 to 2 years

Technology Used: NT Web Server with 4 processors (each server is to provide support for 167 additional users), Web server load balancing system. Actual requirements and product to be determined after assessment performance resulting from the ImmPact System Scalability Improvements initiative. High speed (T100) LAN connection to State file wall.

User Community Impact: The addition of new providers will help facilitate the entry of immunization and Bright Future records for Maine and New Hampshire children. As information becomes more complete the reminder/recall functions in the system will be an effective method to insure delivery of appropriate preventative services.

Alternatives That Were Considered, and Why They Were Rejected: Roll out of ImmPact to providers is a Center for Disease Control and Prevention grant objective. System alternatives were considered in the ImmPact System Scalability Improvement Initiative. Middleware software replacement may be necessary if efforts are not successful using Iona software.

BIS Service Impact: (Be as specific as possible, in the following areas WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): All ImmPact NT and UNIX servers will be moved to the BIS computer room to take advantage of the high speed network connection to the State firewall. New needs will include 24x7 BIS operations for system monitoring, system backup services and space for ImmPact equipment. A Service Level Agreement (SLA) with BIS will be required for space, power, and staff services. Impact to the WAN should be reduced by locating the Internet connection on a high speed LAN connection within the BIS facility. No additional BIS service requirements are anticipated.

Expected Benefits: These changes will support improved system response times for provider offices through out the state and Department Agencies that use the system. This change alone will improve the productivity of all users of the system. Currently our largest immunization provider staffs are experiencing difficulties entering shot records for all their patients in part do to slow response times, this initiative will go along way to alleviate this situation. Locating the equipment in the BIS computer room will improve climate control necessary to prevent reoccurrence of system outages and hardware failures that have occurred in current facilities. Again, this effort will positively influence the overall level of preventative health service support for children's immunization coverage rates in Maine and New Hampshire.

Initiative: Mandated Enhancement Initiative

Business Function Affected (Description): Improve the user experience and usability of the system. Current ImmPact enhancement requests include:

- Immunization Coverage Reporting: Add functionality to allow for immunization coverage level reporting using the Immunization Algorithm in ImmPact for the following criteria: provider practice level reports, statewide reports and county specific coverage reports. Report functionality does not exist in the ImmPact application. There are mandated reports that need to be created, stored, and distributed to various federal and state agencies. Providers/practices need to be able to generate reports on practice and aggregate levels. Ad-hoc reporting capabilities are a necessity as well for registry users.

- Track Patient Specific Adverse Events: Add functionality to track patient specific vaccine adverse events in ImmPact. The Federal government requires report and follow-up of all adverse reactions to vaccinations. Follow-ups must occur at 3, 6, and 12 months. ImmPact needs to store vaccination adverse events data, transmit that data to whichever contractor the government is

using to handle data entry, and manage follow-up contacts. The CDC is in the middle of the development effort for the VAERS Server (Vaccine Adverse Event Reporting System), a set of ActiveX objects that can be integrated into ImmPact. The CDC would welcome ImmPact acting as a pilot partner in implementing and testing the interface. This BSS is based primarily on information gathered from the VAERS Server Technical Specification, and a conversation with Larry Blumen, VAERS Server project lead (see VAERS Server Technical Specification attachment).

- ImmPact Change #4: Primary Provider Default: Functionality to have patient specific Primary Provider default throughout the application. The primary provider for a patient is stored in the ImmPact database, however, that data is not displayed on pages where it would be helpful. This change requests that a patient's primary provider's name be displayed on the Patient Core Information, Contact Log, Contact Management, and Reminder/Recall pages as it appears on the Bright Futures page.

- Add Navigation from De-dup to Patient: Add navigation from an existing patient de-duplication page to patient record pages. This change would also include navigation to return directly to the de-duplication page with all existing information still displayed. The user will have the option of choosing either one of the two patients displayed on the de-duplication screen. All patient information screens for the patient chosen will be available through an existing patient menu page. This change will provide patient detail and record editing necessary to make better decisions when combining (de-duplicating) patient records. Add medicaid_id and primary provider phone number to the Merge Duplicate Records screen. Move data_owner_id to the top of the Merge Duplicate Records matrix.

- Combine Shipping and Approval Screens: Functionality to allow all shipping information to be included in a single shipping screen. Change/replace shipping screen to allow line item data entry on the main shipping page. Eliminate navigation to secondary screens when modifying individual line items. Also include navigation to and back from address maintenance screens while maintaining shipping screen details and changes that may or may have not been updated to the database. There are currently too many steps required to process and approve shipping orders. Combining the data and functionality from different screens will enhance productivity. No shipping summary page is available in ImmPact. Currently summary information pertaining to a shipment is only available through VACMAN via a printed shipping invoice. A new printed report is needed from ImmPact to show all details of a shipping invoice. The ability to navigate to shipping information maintenance screens is driven by inconsistencies between the shipping addresses information held in ImmPact and that in VACMAN.

- Cache Registry and Provider Inventory: Functionality to cache both Registry side and Provider side inventory data entry. Vaccine lot numbers with zero inventory appear in the reconciliation page until their expiration date. In large practices, this can create a rather large list of vaccines on the reconciliation page. This long list contributes to confusion, user frustration, and possible errors during the reconciliation process.

- Modify Patient Search Algorithm: Modify patient search algorithm using the existing Intelligent Search Technology NameSearch package to use existing Soundex capabilities to

better resolve patient searches. Soundex will return matches for nicknames and closely misspelled names. This enhancement should include screen messages that indicate when other close matches exist in the database. Improve the Patient Search function by using the existing Intelligent Search Technology NameSearch package and refining the search technique.

- Modify De-duplication Engine to use Soundex: Modify the de-duplication engine to use Soundex codes algorithm using the existing Intelligent Search Technology NameSearch package with patient information to better identify potential duplicate patient records.

- Develop Practice Type for Outbreaks: The current system security model controls patient search access in two ways. Lookup of patients that are not associated to a practice require an exact match of information entered for the search, only one record can be returned. Patient search for patients associated with a practice will return lists of patients. We need to develop "practice type" to be used during disease out breaks. This "practice" would require a new search that would return multiple records in a search, for example entering Smith as a last name would return all patients in the database with a last name of Smith. This practice would associate all or some of the patients found. These "practices" may be temporary should be simple to create and delete. All patient associations should be eliminated when a practice is deleted. During disease outbreaks, such as measles, flu, or for a bio-terrorism alert, there is a need to determine people at risk. Because of Freedom of Information Act concerns only a small number of Registry users would be able to create these reports.

- Eliminate Intermediate View Only Pages: Change web page navigation to eliminate intermediate view only pages. Make the system more action oriented. Several ‘intermediate’ screens interfere with efficient navigation and smooth workflow when performing certain functions. This request identifies several pages that can either be eliminated or changed to improve navigation/workflow.

- Add Navigation to Query Pages: Add page navigation options to list pages generated by queries. These changes would allow direct navigation to one or more specific data entry screens from individual records. Contact management, Patient Reminder/Recall, patient, user administration. This enhancement provides the capability to navigate directly from certain screens to other related screens. The other screens are then initiated "pre-queried" to display information relating to the data active in the preceding screen. When returning to the original screens, the result set of the earlier query is intact.

- Eliminate conflicts in VACMAN dll: Provider address conflicts between ImmPact and VACMAN prevent vaccine orders from shipping. ImmPact is the ‘owner’ of the most up to date address. ImmPact users require the ability to update VACMAN with the Provider practice address (for shipping purposes) or shipping address that should be used for that shipment of vaccine. Provider’s offices sometimes need to specify an alternate shipping address (i.e. the office is closed for vacation, a vaccine shipment is due, so deliver it to another nearby office). This requirement can be satisfied easily in the existing database tables (multiple contacts per location with an address ‘assigned’ to the contact, the contact can then point to the same contact person), but would require processing changes to the front-end, middleware, and back-end.

- Modify Vaccine Administration Screens: Modify/replace the vaccine batch entry screen with a matrix where the date and provider/administrator name are entered each on line and have several vaccine columns on each line with drop downs to select valid vaccine names that were administer on/by the same provider/date. This enhancement facilitates entry of vaccines administered in a single visit. The current screen design for patient vaccine administration entry requires the user to enter the date (each date entry separately – month, tab to next field, day, tab to next field, year) and 'administered by' field for each vaccine given which is redundant information. The client would like to see the date and 'administered by' fields automatically filled. Additionally, the way vaccines are chosen for display and selection can be changed to make the process more efficient and comfortable for the user.

- Accept Patient Vaccine Administration Feeds: Develop a standard provider interface to accept feeds of patient vaccine administration data from provider billing or practice management systems. This feed or feed with related processes must accurately match feed data to existing patient records or create new records, maintain complex data and relationships including but not limited to patient information, provider/patient relationships, and vaccine administration records.

- Search Medicaid Patient: Provide EPSDT users a search all Medicaid patient function that would return single or multiple patient records. Current system processing requires the system user to toggle between ImmPact and MECAPS screens to ascertain complete information about a patient and their associated family members. This information includes Medicaid eligibility indicators, Managed Care eligibility indicators, and if Managed Care eligible, an indication of the program to which they belong. This change incorporates the pertinent information into the appropriate ImmPact system screens/processes, and database tables. The search capability originally requested has been implemented prior to this time. The clients requested the additional data in place of and to augment the originally requested functionality.

- EPSDT Update Bright Futures Reports: Provide screens for EPSDT users to enter and modify EPSDT Bright Futures Visit Reports for Medicaid EPSDT patients. The current process for capturing Bright Futures Visit Reports only allows data entry, if errors occur in this data entry process there is no way to correct them. This change would allow update capabilities during or after the form entry. At some point in the future, this function will be rolled out to the Providers, after verification that the security model can support the role and function requirements.

- EPSDT Multiple Contact Data: Allow EPSDT users to record multiple contacts, several outcomes during a contact log entry, including but not limited to, appointments, referrals, tasks, and out reach events. There may be multiple reasons for contacting a patient. The current system allows capture of one reason per contact, either forcing multiple entry of one contact with related contact reasons or loss of data because it is not captured. This change would enable capture of all reasons at the time of contact. This change includes maintenance functionality for contact events, reasons, and methods, including insert or update of contact events, reasons, and methods, as well as the addition of a status flag for each occurrence.

- EPSDT Bright futures Report Defaults: Make Bright Futures Form creation more efficient by providing default values to the assessment forms. The Bright Futures form includes 19 forms to be used for Well Child Exam assessments. The assessment questionnaires have 69 questions

grouped in 6 sections. The assessments would be easier to complete if default values were available for use at the user's discretion

Initiative: Add Phone Number: Improve content of "Enter Appointment Contact Log" screen by adding the patient's telephone number. Where the patient information is displayed include the patient's phone number.

Relationship to the Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 5 Years

Estimated Development Time Period: 1 to 2 years

Technology Used: Oracle 7, HTML, Visual Basic, HP-UX (UNIX), C++

User Community Impact: Improved ease of use and elimination of unneeded steps will improve user productivity and encourage use of the system. Information will be used to direct Program activities to areas of greatest need to help assure better use of staff to assist our customers reduce risks to the Maine and New Hampshire populations from vaccine preventable disease.

Alternatives That Were Considered, and Why They Were Rejected: These and other enhancements were reviewed by the ImmPact team and Program management from requests submitted by practice, registry and EPSDT users.

BIS Service Impact: (Be as specific as possible, in the following areas WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): There will be little or no direct impact on BIS to provide services for this initiative.

Expected Benefits: These changes will provide improved system usability and productivity for all users of the system. This initiative will help alleviate difficulties our immunization provider staffs are experiencing entering required immunization, demographic, and inventory transactions. Changes to patient search functions will reduce the number of duplicate patient and immunization records that are the major data quality issue in the system. Again, this effort will help us assure the health of Maine and New Hampshire by preventing occurrences of vaccine-preventable disease.

Initiative: Routine Support Initiative

Business Function Affected (Description): This initiative provides maintenance for a major disease prevention application. The Program will continue to update, upgrade and maintain existing system capabilities as necessary. This includes the purchase of software, training and licenses necessary to effectively and efficiently carry out our agency mission.

Relationship to the Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 5 Years

Estimated Development Time Period: Continuing

Technology Used:

- Keane AM Support Contract
- Oracle Support 200 Licenses
- HP Server Support
- NT Server Support
- Rogue Wave Support
- Erwin Support
- Iona Support
- Verisign SSL license renewal
- Platinum Info Report Support
- Technical Training
- Oracle Database Administration
- Hewlett Packard HP-UX System Administration I

User Community Impact: Maintain and improve high levels of system availability and reliability.

Alternatives That Were Considered, and Why They Were Rejected: N/A

BIS Service Impact: Ongoing support requirements do not affect BIS services.

Expected Benefits: This initiative provides the basic system support required to keep the system operational and well as improving system and staff capabilities.

Initiative: ImmPact System Backup and Recovery Initiative

Business Function Affected (Description): Implement backup and recovery processes necessary to protect system data and preserve the data entered by providers and agency staff. Replace VACMAN PC 'servers' with true servers having data (disk) and power supply redundancy. VACMAN's Foxpro database design does not allow archiving of database transactions to provide point in time recovery. Use of true server technology provides data and operational redundancy can significantly reduce risks of data loss.

Relationship to the Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 5 Years

Estimated Development Time Period: 3 to 6 months

Technology Used:

- HP Omniback tape system (previously purchased)
- HP EBU Oracle database backup software
- HP configuration and set up of Omniback tape system
- Oracle Backup and Recovery Training
- Hewlett Packard Omniback Backup and Recovery training
- NT Vacman Servers with redundant disk and power supplies.

User Community Impact: Provide protection for the data entrusted to the State by private and public immunization providers as well as for data received from State agencies.

Alternatives That Were Considered, and Why They Were Rejected: Backup scheduling conflicts and limited capacity of existing backup systems required a better solution.

BIS Service Impact: Backup and recovery system requirements do not impact BIS services.

Expected Benefits: Improved security of system data and public resources.

Initiative: Reporting (ImmPact)

Business Function Affected (Description): Develop ImmPact reporting systems to report Immunization, EPSDT, prevention statistics, and system baseline and tracking data. Reporting

will be available as text documents, data extracts, and in HTML (web) format. The text documents can be used for standard reporting to State and Federal agencies. Data extracts will be designed for analysis of health related issues by authorized Bureau Programs. A web reporting system will provide secure access to a menu of standardized reports that will be created either by batch processes or at user request. Access to this reporting system will be limited to Department staff or with user name and password protection or to providers working directly with their patient information. Ad-hoc reports will be created to support Bureau of Health inquiries and health emergencies.

ImmPact system management reporting including baseline information will be developed to track changes in performance, space requirements, system, and database tuning. Data from these reports will identify system administration activities and help in planning growth based requirements.

Relationship to the Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 5 Years

Estimated Development Time Period: 12 months

Technology Used: Info Reports Training, Platinum Tools, Oracle SQL/PLSQL, Microsoft Office (Access, Excel, Word, Front Page), HTML

User Community Impact: Provide reporting to: State and Federal agencies, identify areas of need, direct program activities, provide reporting for provider activities, including practice and patient status, provide standardized public health data, statistics and measurements, and monitor system performance

Alternatives That Were Considered, and Why They Were Rejected: Platinum and Microsoft Office applications are Department and Bureau standard products that have been proven to be effective reporting tools and do not require additional software purchases.

BIS Service Impact: Reporting will have a minimal impact on BIS resources. Some additional Wide Area Network resources will be required for access to data on Bureau of Health servers.

Expected Benefits: Improved availability of data to manage Program activities and for immunization provider offices system to identify patient immunization requirements and to direct efforts to improve immunization levels.

Initiative: Disease Surveillance Database Initiative

Business Function Affected (Description): Explore and develop data collection and storage facilities for the Division improving Program analytical capabilities. There is a need to begin the

development of a central database system to incorporate and consolidate common data elements from new and existing data sources to reduce redundant data collection, recording, and reporting efforts. This system would provide central data collection, accessibility, and reporting for disease surveillance and prevention activities as well as providing content for the Community Partner Initiative. New data linkages would be created to existing Department databases that could include Medicaid, ImmPact, Health and Environmental Testing Lab, and GIS systems. The initial phase of this Initiative is to determine the business requirements necessary for a more detailed plan of action. Funding resources and availability have yet to be determined.

Relationship to the Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 5 Years

Estimated Development Time Period: 2 years

Technology Used: Actual requirements to be determined.

User Community Impact: Provides a central data repository for Division data, which will help eliminate redundant data entry, improve data quality and provide information for collaborative activities.

Alternatives That Were Considered, and Why They Were Rejected: Evaluation of alternatives will be an important task in the process of further definition of this initiative.

BIS Service Impact: Additional wide area network traffic will be generated. Web and database servers may possibly be located in the BIS computer room but its too early in the process to be specific.

Expected Benefits: Improved quality and availability of health data for disease control and prevention activities.

Initiative: Community Partnership Initiative

Business Function Affected (Description): Develop e-capacity related two way, secure communications with providers, to include but not limited to: reporting, public health alerts and communication of urgent messages (specially related to bio-terrorists incidents) funding and staff resources have yet to be determined.

Relationship to the Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 5 Years

Estimated Development Time Period: 3 to 6 months

Technology Used: Platinum Tools, Oracle SQL/PLSQL, Microsoft Office Premium (Access, Excel, Word, Front Page, etc), HTML

User Community Impact: Staff training will be required as databases are converted into a single-standard repository. All Divisional Programs and staff will need to develop new methods to use the new resources and to develop means to collaborate with other staff and agencies.

Alternatives That Were Considered, and Why They Were Rejected: Evaluation of alternatives will be an important task in the process of further definition of this initiative.

BIS Service Impact: The impact to BIS has yet to be determined. Increased wide area network traffic would be expected from internal and external web traffic.

Expected Benefits: Improved access to public heath data, prevention recommendations, and health alerts. Enhanced collaboration between staff and outside agencies. Development of a closed network to respond to bio-terrorist emergencies.

Initiative: E-mail Migration

Business Function Affected (Description): An upgrade to Microsoft Exchange, a 32 bit e-mail system is necessary to replace our current MS-Mail system that is obsolete and is experiencing reliability issues.

Relationship to the Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 5 Years

Estimated Development Time Period: 3 to 6 months

Technology Used: Microsoft Exchange

User Community Impact: Improved quality of e-mail services. Some user training may be required to use the new system.

Alternatives That Were Considered, and Why They Were Rejected: Exchange mail has become a new standard and alternate mail systems require technical staff time that can be better used for other duties.

BIS Service Impact: BIS will administer Exchange mail on their servers.

Expected Benefits: Improved application features, quality, and reliability of e-mail services. Reduction in tech staff time required administering the mail system.

Initiative: Operational and Maintenance Cost Initiative

Business Function Affected (Description): Includes software purchases and upgrades that are necessary to conform to IT standards and to meet the operational needs to insure the productivity of the Division staff. On-going maintenance of the current system is also included in this initiative.

Relationship to the Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 5 Years

Estimated Development Time Period: 12 months

Technology Used: Replacement of PC's that are no longer productive, Microsoft Office (Access, Excel, Word, Front Page), Windows 98/Milinimun, Novell Netware 5.0 NOS, Equipment maintenance contract

User Community Impact: This initiative provides Division staff with tools necessary to insure staff productivity as well as a secure and stable network environment. Software included here will provide effective tools for collaborative use of information within Programs and agencies.

Alternatives That Were Considered, and Why They Were Rejected: The software used in this initiative conforms to State IT standards.

BIS Service Impact: This initiative has no impact on BIS services.

Expected Benefits: Provide improved software to improve information sharing capabilities and insure network stability and security.

Initiative: Mandated Database Initiative

Business Function Affected (Description): Provide support for systems supplied by Federal agencies. The use of these systems is required in Program grants or is used to support reporting required in grants.

Relationship to the Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 5 Years

Estimated Development Time Period: Yearly activity

Technology Used: Outside agency software

User Community Impact: Improved support of custom applications during product installations, upgrades and assistance in resolving support issues with outside system technical staff. Provide users with a better understanding of their role and responsibilities as the owner of data.

Alternatives That Were Considered, and Why They Were Rejected: Use of these systems is mandated by funding agencies.

BIS Service Impact: None.

Expected Benefits: Insure availability of these systems to Division staff, for data collection, reporting, and analysis purposes. Work with Federal technical staff to resolve issues, upgrade software and insure data security and confidentiality.

Initiative: Hardware Support and Replacement

Business Function Affected (Description): Provide productive and reliable equipment to Division staff. Insure that equipment supports standard and specific application software required for Division and Program activities.

Relationship To The Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 5 Years

Estimated Development Time Period (begin/end): 12 months/ongoing

Technology To Be Used (hardware, software, languages, etc.):

Replace obsolete PC's and Laptops to insure staff productivity.

Color Desk Jet Printer

Laser Jet Printer

Platinum Tools

User Community Impact: Staff will have the tools and network services necessary to work in a productive environment. Program management will need to determine content requirements and insure that staff has the necessary training to create materials.

Alternatives That Were Considered, and Why They Were Rejected: The equipment used in this Initiative complies with state standards.

BIS Service Impact: None

Expected Benefits: A stable and productive environment for Division staff.

Initiative: Web Site Deployment

Business Description:

Relationship To The Agency's Strategic Business Plan: Enhance the Division web site to provide both public and internal access to health information. This initiative will improve visibility of Division data, activities, public health alerts, prevention advice, and more.

Estimated Life: 5 Years

Estimated Development Time Period (begin/end): On going

Technology To Be Used (hardware, software, languages, etc.):

Platinum Tools

Oracle SQL/PLSQL

Microsoft Office 2000 (Access, Excel, Word, Front Page)

HTML

User Community Impact: Staff will need to determine web site content requirements and insure that staff are trained to develop necessary materials. Staff training will be required.

Alternatives That Were Considered, and Why They Were Rejected:

BIS Service Impact: Increased traffic on the WAN from the public and agency staff. Development or approval of method to improve visibility of health related information, including public health emergency and alert notifications.

Expected Benefits: Improved availability of pubic health information, improved public service and awareness of Division contributions to the Maine population.

Initiative: Staff Training

Business Description: Develop a training program that focuses on training staff how to use technology to perform job tasks. (Instead of training staff to use applications) The emphasis here is for individual staff to get the training necessary to accomplish tasks required by their Programs. The training will be flexible and tailored to support requirements defined by Division and Program management as well as being tailored to individual requirements. Costs and details will be determined by Division Management.

Relationship To The Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 5 Years

Estimated Development Time Period (begin/end): 3 to 6 months

Technology To Be Used (hardware, software, languages, etc.):

Training for standard Microsoft Office Premium applications.

ArcView

HTML training

User Community Impact: Staff will be provided with the skills necessary to perform required tasks.

Alternatives That Were Considered, and Why They Were Rejected: Previous application based training has not consistently supplied the information necessary to perform job tasks. Training needs to be directed to support task requirements.

BIS Service Impact: None

Expected Benefits: Staff will be trained to use the technology they need to do their jobs. Individual staff members will be aware of management expectations during training sessions.

Initiative: Bureau Administration Support

Business Description: This initiative includes support and licensure for Microsoft Exchange Mail and Office 2000, provides training for Administration, Toxicology, BRFSS, and School Health Program staff members, covers operational and maintenance costs, support for hardware, software and replacement of obsolete equipment. Also includes software to map toxicology data.

Relationship To The Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Relates to D2: By

2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: Ongoing

Estimated Development Time Period (begin/end): Ongoing

Technology To Be Used (hardware, software, languages, etc.):

- Replacement of non-productive PC's
- Laser Jet Printer
- Scanner
- Portable Ink Jet Printer
- Color Ink jet Printer
- 21 Inch Monitor for GIS Mapping
- ArcView (GIS mapping software) for the Toxicology Program
- Training for standard Microsoft Office Premium applications. (Access, Excel, Word, Power Point, Publisher, Front Page 2000, etc)
- MS Office training, ArcView ,etc.

User Community Impact: Technical equipment will be up to date and running current versions of software. Staff will be provided with the skills necessary to perform required tasks.

Alternatives That Were Considered, and Why They Were Rejected: Previous application based training has not consistently supplied the information necessary to perform job tasks. Training needs to be directed to support specific task requirements.

BIS Service Impact: Minimal, they will only be administering exchange mail for 14 users.

Expected Benefits: Staff will be trained to use the technology they need to do their jobs. Technical staff will maintain the local area network availability and reliability, ensure data integrity, do nightly backups, and provide onsite service as needed to provide an efficient and productive work environment.

Health Data and Program Management
Submitted by: Brenda Corkum
Date Revised: March 2000

Initiative: Electronic Birth Certificate (EBC)

Business Description: The EBC is the means by which DHS performs its legal responsibility to register all live births occurring in the State. During 1995, Maine birth records were fully automated through an electronic registration system. Software was developed by a private contractor (that has since gone out of business) consisting of a facility module loaded on a PC located at each birthing hospital and a system administration module located on a PC at ODRVS (Host PC). All birthing hospitals in the state enter birth data into the facility module and transmit the data via modem to the host PC. Birth data are processed on the host PC and maintained on an Oracle database. The data are used to issue copies of recent birth certificates (1996 forward) and to generate statistical files. Export files are created and sent to the National Center for Health Statistics, Social Security Administration, Bureau of Medical Services, Immunization Program and Newborn Screening Program. The software vendor has gone out of business, leaving no technical support for the current system. A new system needs to be developed to perform the existing EBC functions and to also allow necessary modifications, more efficiently interface with other office data systems (adoption system, Pregnancy Risk Assessment Monitoring System) and be more compatible with existing technology.

Relationship To The Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality.

Estimated Life: 5+ years

Estimated Development Time Period (begin/end): February 2000 – February 2001

Technology To Be Used (hardware, software, languages, etc.): To be determined by eventual developer (BIS, contractor, etc). Based on early discussions with BIS, a new EBC system will most likely be a web-based application.

User Community Impact (training needs, parallel operations): Potentially significant user impact. Current EBC staff will be part of the development team for the new system while continuing to work on the old system. Additionally, when the new system is implemented there will be training needs.

Audit, Division Of
Submitted by: John Bouchard
Date Revised: June 2, 2000

Introduction: The Division of Audit is continually striving to keep up with the constant changes in the technological environment and to use the power of technology to serve our customers efficiently. In the past two years through the use of electronic spreadsheets, we have automated the audit reports for all audit functions allowing for timelier annual cost report settlements and also resulting in quicker annual dollar recoveries. During this period, through the use of a database of all Provider cost report and financial statement filings, we are better able to plan, organize, coordinate and control the audit function to better meet our audit oversight responsibilities for the 900 Health Care providers receiving state and federal public assistance.

However, the Division of Audit recognizes more needs to be done. In the coming months and years, we hope to accomplish the following:

Initiative: To migrate from Lotus SmartSuite 97 to Microsoft Office 97

Business Function Affected (Description): This is the migration of audit cost report templates and ancillary audit schedules from Lotus SmartSuite 97 to Microsoft Office 97.

Relationship to Agency's Strategic Business Plan: Comply with statewide strategic business plan.

Estimated Life: 3+ years

Estimated Development Time: March 2000 to January 2002

Technology Used: Lotus SmartSuite Millennium version along with Lotus SmartSuite 97 to provide the best possible conversion methodology to Microsoft Office 97

User Community Impact: To be used by Division of Audit staff only.

Alternatives That Were Considered: The alternative of remaining with Lotus 123 was considered, but rejected, due to the lack of support for the application. Accordingly Microsoft Office 97 has been installed on the PC base within the Audit Division.

BIS Service Impacts: Negligible

Expected Benefits: Improved productivity of all staff by an application that enjoys widespread support.

Initiative: To Create a Division of Audit Web Page

Business Description: Create a Division of Audit Web page, which will facilitate electronic cost report filing.

Relationship To The Agency's Strategic Business Plan: Improve efficiency and productivity by enabling providers to file completed cost reports over the Internet.

Estimated Life: 5 years.

Estimated Development Time: August 2000 through June 2001

Technology To Be Used: To be coordinated with the Community Service Center and the Bureau of Medical Services.

User Community Impact: This web page will lead to greater efficiency for all users of cost reports especially public accountants and the health care provider community.

Alternatives That Were Considered: none even remotely adequate

BIS Service Impact: Slight

Expected Benefits: Increased efficiency, productivity, and compliance with LD 180 by June 1, 2001.

Initiative: To Create Cost Report Data Bases for Health Care Industry Financial Analysis

Business Description: Create complete databases of all cost report financial information for all audit functional areas.

Relationship To The Agency's Strategic Business Plan: Enables Audit to better service customers by creating industry wide analysis to be used by Management and the Legislature.

Estimated Life: 5 years.

Estimated Development Time Period (begin/end): July 1, 2000 through June 30, 2002

Technology To Be Used: Access/Oracle or equivalent.

User Community Impact: Health Care Industry analysis for Audit staff, Senior Management, and the Legislature

Alternatives That Were Considered: Data management in Excel was considered too cumbersome and limited for future growth.

BIS Service Impact: None.

Expected Benefits: Better management of analytical data for Audit, Senior Management and the Legislature.

Initiative: Storage of all audit information on electronic media (CDROM or Large Fixed Disk Array)

Business Description: Storage system of all Audit cost report & financial data

Relationship To The Agency's Strategic Business Plan: Cost savings.

Estimated Life: indefinite

Estimated Development Time Period: October 2000 through May 2002

Technology To Be Used: To be determined

User Community Impact: None

Alternatives That Were Considered: Manual information access and processing is labor intensive and inefficient.

BIS Service Impact: Some

Expected Benefits: Instant information retrieval with coordinated benefits in productivity.

Initiative: To improve scanning capabilities to keep file storage to a minimum

Business Description: Imaging hardware/software for storing and accessing archived records.

Relationship To The Agency's Strategic Business Plan: Cost savings.

Estimated Life: Indefinite.

Estimated Development Time Period: January through December 2002.

Technology To Be Used: Existing equipment and enhancements as needed.

User Community Impact: Reduced reliance on archiving.

Alternatives That Were Considered: Continue to store paper records at increasing cost for cabinets and floor space. Developing a paperless office, which would be part of the electronic storage project, would not handle existing files.

BIS Service Impact: None.

Expected Benefits: Cost savings on physical storage.

Initiative: Procure Computer Hardware and Software to Accomplish Initiatives

Business Description: To provide the Audit Division with computer hardware and software to accomplish the initiatives described. This will require twenty-eight desktop PC computers that need replacement and two notebook PCs that are needed for remote access. A ledger sheet capable laser printer and a color laser printer may be integrated if available to provide presentation quality output.

Relationship to the Agency's Strategic Business Plan: Productivity, efficiency, and compatibility with current technology.

Estimated Life: 3 years.

Estimated Development Time Period: August 2000 through December 2002.

Technology To Be Used: To be determined in accordance with State standards at time of procurement.

User Community Impact: none

Alternatives That Were Considered: Continue to use obsolete, out of warranty equipment and loose the opportunity to modernize and train using newer technology.

BIS Service Impact: None.

Expected Benefits: Cost savings resulting from productivity and efficiency gains.

Community Services Center
Submitted by: Jeannette Talbot
Date Revised: March 13, 2000

Introduction: The attached plan has been developed over the last few months, with management review of the Service Center's current capabilities, systems, and system and data needs in meeting its legislative mandates, its multiple strategic plan objectives, and its federal grant reporting requirements. The management review encompassed the Service Center's needs for:

Management and monitoring of the Division of Contracted Community Services' performance-based contract strategies and measures;

Accurate and timely data on clients served and services provided through the Division of Contracted Community Services' performance-based contracts for contract monitoring and federal grant reporting;

Quality control of the Division of Contracted Community Services' performance-based contracting process, including adherence with the State's standard state contract, process monitoring, and contract monitoring and reporting schedules;

Fiscal management of the 20+ funding sources included in of the Division of Contracted Community Services' performance-based contracts;

Providing consumers and prospective consumers with accurate and up-to-date information on available community services, and service providers under contract with the Division of Contracted Community Services;

Providing Department contractors with up-to-date contract, program, and audit policies, procedures, and requirements;

Management of the Division of Audit's cost report information for all audit function areas;

Accurate and up-to-date federal and state audit guidelines and requirements;

Facilitating electronic filing of reports to the Division of Audit, the Division of Contracted Community Services, and the Division of Licensing;

Providing consumers and prospective consumers with accurate and up-to-date information on facilities and service providers licensed or certified by the Division of Licensing; and,

Management, monitoring, and quality control of the Division of Licensing's multiple licensing functions.

Initiative: MACWIS – Resources Module

Business Description: The Service Center's Division of Licensing is responsible for the licensing all child care, children's residential, child placing agencies, mental health, and substance abuse programs statewide, and for the investigation of out of home abuse and neglect of children. The Division's functions are currently integrated in the MACWIS. The following range of system enhancements are required to manage the 4,000+ licensed facilities:

Properly document the licensing process and findings on facilities being licensed,

Accurately reflect the range of allowable services under individual licenses,

Accurately document the multiple site facility licensed services by site,

Provide management reports on licensing processes, facilities licensed,

Produce accurate reports on licensing reviews and out of home abuse investigations,

Produce letters on Service Center stationary, and

Other enhancements as necessitated by amendments to licensing statutes or rules

Relationship To The Agency's Strategic Business Plan: This initiative relates to the DHS's Strategic Plan Goal B, Strategic Objective B.1.

Estimated Life: Five years, barring any statutory or regulatory amendments that would necessitate immediate module revisions.

Estimated Development Time Period: July 2000 to December 2000

Technology To Be Used: MACWIS software, Power Builder

User Community Impact: Minor training, re: new reports, etc.

Alternatives That Were Considered, and Why They Were Rejected: System-generated reports: Recreating the reports in a word processing document. The alternative was rejected due to the time involved in reformatting the document and reentering the information; especially since the licensing and institutional abuse staff are responsible for producing their own documents. Management Reports: Maintaining separate databases with the information needed

to monitor and manage licensing and institutional abuse workloads. The alternative was rejected as a duplicate effort to the information already entered into and retained in the MACWIS system.

BIS Service Impact: None

Expected Benefits: Reports generated by MACWIS will contain all essential information on the facility being licensed or investigated. This is critical for documentation in any administrative or legal actions taken by the state or the facility. Accurate management reports will allow the Service Center to monitor staff caseloads and workloads, set priorities, plan schedules, and reduce delays in completing the licensing process

Initiative: MACWIS – Financial Module

Business Description: The Service Center is responsible for contracting in excess of $ 59,000,000 in state and federal funds with community-based agencies and programs for a wide range of social services. Service provider payments for the majority of these contracts are currently authorized through MACWIS, in a payroll format that interfaces with the MFASIS. The following range of system enhancements are required to manage the payroll:

Add a service area field to the contract payroll window so that the system report on contracts by service area can be utilized,

Add payroll total field to the contract payroll window in addition to the contract total, and link the contract funding detail window to the payroll total,

Allow contracts that have terminated and received final payment to be moved to a subfile that maintains the data but removes the contract from the active file list,

Accurately document all payments made under individual contracts, by allowing manual entry of non-payroll payments in the contract ledger,

Provide management reports on individual contract, agency-wide, and funding source ledgers,

Produce accurate contract payroll forecast report,

Expand the quarterly financial report window to accommodate multiple cost center reporting,

Allow the Service Center to modify the code table for acceptable MFASIS account numbers for the contract payroll,

Other enhancements as necessitated by amendments to funding source statutes or rules

Relationship To The Agency's Strategic Business Plan: This initiative relates to the DHS's Strategic Plan Goal B, Strategic Objective B.1.

Estimated Life: Five years, barring any statutory or regulatory amendments that would necessitate immediate module revisions.

Estimated Development Time Period: July 2000 to December 2000

Technology To Be Used: MACWIS software, Power Builder

User Community Impact: Minor training, re: new reports, data fields, etc.

Alternatives That Were Considered, and Why They Were Rejected: Maintain a manual ledger on contract payments for 300+ contracts: Converting the payment of contracts from manual entry of individual invoices into the MFASIS was intended, in part, to eliminate the need for individual manual ledgers for each contract, and to provide up-to-date and accurate data on contract payments and balances. The return to manual ledgers increases the potential for error at least three fold. Management Reports: Maintaining separate databases with the information needed to monitor and manage contract service area expenditures and funding source balances, and manually aggregating fiscal data for federal grant reporting. The alternative was rejected as a duplicate effort to the information already entered into and retained in the MACWIS system.

BIS Service Impact: None

Expected Benefits: With the proposed enhancements, the Contract Payroll system will accurately reflect payments to all Service center contractors, and provide ongoing and annualized management reports. This information will: increase the Service Center's ability to manage the 20+ state and federal funding sources allocated in 300+ contracts; expedite the contract audit cycle; and reduce community agency audit costs.

Initiative: Contracted Community Services System Development

Business Description: The Service Center is responsible for contracting in excess of $ 59,000,000 in state and federal funds with community-based agencies and programs for a wide range of social services. The Service Center currently does not have a service provision or performance-based contract reporting system for the 300+ contracts it administers. The Service Center also is responsible for completing increasingly complex and extensive service and contract reporting to the federal government on the 15 federal grants it administers. Five of the federal granting agencies have placed conditions that require adequate computerized service data systems on the state's continued eligibility for funding. An integrated contract services data system is required that meets the following:

Provides secure, on-line service delivery reporting from 200+ community agencies across 21 different service areas, verifies

Maintains individual client and household demographic and service profiles, including the ability to de-identify individuals in certain service areas,

Verifies client eligibility performed at the community agency level,

Maintains service and client histories,

Interfaces with the MACWIS Contract Payroll module,

Provides secure, on-line performance-based contract measurements reporting from 200+ community agencies,

Maintains performance-based contract measurements baseline and reporting histories,

Maintains historical contract agency information,

Interfaces with Service Center contract document databases,

Interfaces with TANF, Medicaid, and other state-level systems that serve the same clients,

Aggregates and analyzes client and service data in prescribed state and federal reporting formats,

Relationship To The Agency's Strategic Business Plan: This initiative relates to the DHS's Strategic Plan Goal B, Strategic Objective B.1.

Estimated Life: 10+ years

Estimated Development Time Period: July 2000 to January 2001

Technology To Be Used: Unknown at this time

User Community Impact: For community agencies: Increased efficiency in reporting required service and performance-based contract information to the Department, and the ability to access Department-aggregated and analyzed data on their contracts. For the Service Center, ability to effectively monitor the services provided under contract; ability to measure the effectiveness and client outcomes of services provided under contract; the ability to comply with the reporting requirements of federal grants administered by the Service Center.

Alternatives That Were Considered, and Why They Were Rejected: Addition of a contracted service component to the MACWIS system: This alternative was rejected because the individual case management structure of the MACWIS system does not support the level of flexibility needed at the client and service level in the contract system.

BIS Service Impact: Unknown at this time

Expected Benefits: For community agencies: Increased efficiency in reporting required service and performance-based contract information to the Department, and the ability to access Department-aggregated and analyzed data on their contracts. For the Service Center, ability to effectively monitor the services provided under contract; ability to measure the effectiveness and client outcomes of services provided under contract; the ability to comply with the reporting requirements of federal grants administered by the Service Center.

Initiative: MACWIS – Service Center Access

Business Description: The Service Center's licensing, institutional abuse investigations, and contract payments processes are integrated in the MACWIS system. With the impending conversion of the MACWIS system from Lotus to Microsoft 2000, the Service Center's current PC hardware will be inadequate to handle the system upgrade. In addition, the Service Center's Division of Audit does not have access to the MACWIS contract payroll and ledger data needed to complete annual contract audits. The following hardware replacements and enhancements are required:

Replace 11 laptops assigned to child care licensing staff with 11 desktop PC's, 8 of these PC's will be located in DHS regional offices,

Replace 31 Central Office desktop PC's with upgraded desktop PC's,

Purchase 8 upgraded laptops with Shiva cards for use by Central Office licensing and contract staff when on remote site visits, and for management staff who routinely work offsite,

Purchase 2 large capacity laser printers with the two-sided printing capacity for the Divisions of Contracted Community Services and the Division of Audit,

Connect 4 desktop PC's in the Division of Audit to the MACWIS system's Financial Module

Relationship To The Agency's Strategic Business Plan: This initiative relates to the DHS's Strategic Plan Goal B, Strategic Objective B.1.

Estimated Life: Three to five years

Estimated Development Time Period: July 2000 to September 2000

Technology To Be Used:

User Community Impact: Training, re: Microsoft Office 2000

Alternatives That Were Considered, and Why They Were Rejected: Retain the Service Center's current hardware and risk the loss of licensing and contract payroll data, and recurring system lockouts: This alternative was rejected due to the daily volume of MACWIS and Microsoft Office work that is required of the Service Center's staff. Maintain hard-copy transfer of contract payment and ledger information to the Division of Audit: This alternative was rejected as a duplicate effort to the information already entered into and retained in the MACWIS system.

BIS Service Impact: None

Expected Benefits: With the proposed replacements and enhancements, the Service Center will be able to maximize the data entry and retrieval activities in the MACWIS system.

Initiative: Service Center Web Site Development

Business Description: The Community Service Center currently does not have a web site. The Service Center routinely provides contract and service availability, licensing status, RFP status, rules, and regulations information. The development of a Service Center web site would make the full range of information in the areas of contracting, licensing, and auditing available to anyone who needs it, and would provide for on-line requests and applications. The following capabilities are required:

Provides full description and location of services provided by the Service Center,

Provides for on-line "mailings" to the Service Center's contracting and licensing customers,

Provides access to all contract services rules, procedures manuals, action transmittals,

Provides information on the agencies and services, and eligibility requirements for services available under contract with the Service Center,

Creates online forms and license applications that automate the process and payment,

Creates online data request forms that automate the process and payment,

Provides access to all licensing rules,

Provides information on all facilities licensed by the Service Center,

Provides access to all auditing rules, including links with federal OMB circulars and CFDA's, CCH Medicare/Medicaid guides, HCIA nursing home industry guides, and federal Single audit information services,

Provides for on-line reporting of facility cost reports to the Division of Audit,

Provides for on-line sign-up for inclusion on RFP "mailing lists", and reciprocal on-line "mailings" to "mailing lists",

Provides information on training programs and conferences

Relationship To The Agency's Strategic Business Plan: This initiative relates to the DHS's Strategic Plan Goal B, Strategic Objective B.1.

Estimated Life: 10+ years

Estimated Development Time Period: July 2000 to June 2001

Technology To Be Used: Unknown at this time

User Community Impact: Unknown at this time

Alternatives That Were Considered, and Why They Were Rejected: N/A

BIS Service Impact: Unknown at this time

Expected Benefits: The availability of information on the Service Center's services, rules, etc. will make the information available twenty four hours per day, reduce the amount of time spent by Service Center staff responding to requests for information, assure that the Service Center's customers have access to the most current information, reduce the amount of hard-copy printing and mailing, allow for instantaneous transmittal of information to the Service Center's customers or potential customers.

Financial Services, Division of
Submitted by: Randy Huber
Date Revised: March 16, 2000

Initiative: New PCs and Printers

Business Description: Upgrade hardware/software to accommodate new application and eliminate lock-up and memory problems.

Relationship To The Agency's Strategic Business Plan: Improve efficiency and productivity by taking advantage of advances in computer hardware and software technology.

Estimated Life: 5 years.

Estimated Development Time Period (begin/end): 1st quarter FY 01

Technology To Be Used (hardware, software, languages, etc.): 21 PCs, 3 modems, 6 printers, and 21 MS Office licenses.

User Community Impact (training needs, parallel operations): Users may need training in MS Office.

Alternatives That Were Considered, and Why They Were Rejected: Keeping the present Pentium 133 PCs would prevent workers from accessing the new statewide Budget & Financial Management System (BFMS), which requires a minimum of a Pentium 166.

BIS Service Impact: None.

Expected Benefits (Including any savings to accrue): Increased efficiency and productivity, ability to access BFMS.

Personnel & Employee Relations, Division Of
Submitted by: Randy Huber
Date Revised: March 16, 2000

Initiative: ADA-Compliant Computers

Business Description: 15 PCs with speech recognition software.

Relationship To The Agency's Strategic Business Plan: Meet ADA requirements for employees with disabilities.

Estimated Life: 5 years.

Estimated Development Time Period (begin/end): An average of 5 PCs in each FY (01/02/03).

Technology To Be Used (hardware, software, languages, etc.): PC, Dragon

User Community Impact (training needs, parallel operations): Training in speech recognition software for up to 15 people.

Alternatives That Were Considered, and Why They Were Rejected: None.

BIS Service Impact: None.

Expected Benefits (Including any savings to accrue): Allow employees to remain productive while unable to use a keyboard/mouse.

Regional OMB Operations, Division of
Submitted by: Randy Huber
Date Revised: March 16, 2000

Initiative: PCs

Business Description: New hardware/software for receptionists.

Relationship To The Agency's Strategic Business Plan: Improve efficiency and productivity by taking advantage of advances in computer hardware and software technology. (Receptionists do not presently have PCs.)

Estimated Life: 5 years.

Estimated Development Time Period (begin/end): 1st qtr. FY 01.

Technology To Be Used (hardware, software, languages, etc.): 17 (used) PCs, 17 MS Word licenses.

User Community Impact (training needs, parallel operations): Training in MS Word for 17 people.

Alternatives That Were Considered, and Why They Were Rejected: None.

BIS Service Impact: WAN connections.

Expected Benefits (Including any savings to accrue): Increased efficiency and productivity.

Initiative: Foreign Language Software

Business Description: Foreign language software for DROMBO receptionists.

Relationship To The Agency's Strategic Business Plan: Improve direct service to clients.

Estimated Life: 5 years.

Estimated Development Time Period (begin/end): FY 01.

Technology To Be Used (hardware, software, languages, etc.): To be determined via RFP.

User Community Impact (training needs, parallel operations): Training in selected product for 17 people.

Alternatives That Were Considered, and Why They Were Rejected: None.

BIS Service Impact: None.

Expected Benefits (Including any savings to accrue): Improved service to non-English-speaking clients.

Initiative: Remote Access Software

Business Description: Software to allow the five regional business managers to access and update regional office security systems from remote locations.

Relationship To The Agency's Strategic Business Plan: Improve efficiency and productivity by taking advantage of advances in computer hardware and software technology.

Estimated Life: 5 years.

Estimated Development Time Period (begin/end): FY 01.

Technology To Be Used (hardware, software, languages, etc.): PC Anywhere or equivalent, 5 clients, 17 hosts.

User Community Impact (training needs, parallel operations): Training for 5 people in use of software.

Alternatives That Were Considered, and Why They Were Rejected: Managers continue to travel to remote locations to update security systems, incurring travel expenses and lost time.

BIS Service Impact: None.

Expected Benefits (Including any savings to accrue): Increased efficiency and productivity; lower travel expenses.

Initiative: In-house Help Desk Support for Security Systems

Business Description: Establish in-house help desk expertise to provide technical support for regional office security systems.

Relationship To The Agency's Strategic Business Plan: Cost savings.

Estimated Life: Indefinite.

Estimated Development Time Period (begin/end): FY 01

Technology To Be Used (hardware, software, languages, etc.): N/A

User Community Impact (training needs, parallel operations): Training for exiting DoTS help desk personnel in security system software.

Alternatives That Were Considered, and Why They Were Rejected: Continue to rely on vendor at increased cost.

BIS Service Impact: None.

Expected Benefits (Including any savings to accrue): Savings in vendor costs of $10-12,000/year.

Initiative: Imaging

Business Description: Imaging hardware/software for storing and accessing archived records.

Relationship To The Agency's Strategic Business Plan: Cost savings.

Estimated Life: Indefinite.

Estimated Development Time Period (begin/end): FY 01.

Technology To Be Used (hardware, software, languages, etc.): To be determined via RFP.

User Community Impact (training needs, parallel operations): Training for a number of users to be determined

Alternatives That Were Considered, and Why They Were Rejected: Continue to store paper records at increasing cost for cabinets and floor space.

BIS Service Impact: None.

Expected Benefits (Including any savings to accrue): Cost savings on physical storage.

Initiative: Accounting Software

Business Description: Software to write checks and maintain financial records for the 600 BEAS clients who are wards of the state.

Relationship To The Agency's Strategic Business Plan: Improve efficiency and productivity by taking advantage of advances in computer hardware and software technology.

Estimated Life: Indefinite.

Estimated Development Time Period (begin/end): FY 01.

Technology To Be Used (hardware, software, languages, etc.): To be determined.

User Community Impact (training needs, parallel operations): User training in selected software.

Alternatives That Were Considered, and Why They Were Rejected: Continue to maintain paper records at increased cost for time/manpower.

BIS Service Impact: None.

Expected Benefits (Including any savings to accrue): Cost savings in time/manpower.

Initiative: Web Site For DROMBO

Business Description: Internal DROMBO web site.

Relationship To The Agency's Strategic Business Plan: Improve communication with employees.

Estimated Life: Indefinite.

Estimated Development Time Period (begin/end): FY 01.

Technology To Be Used (hardware, software, languages, etc.): To be determined.

User Community Impact (training needs, parallel operations): None.

Alternatives That Were Considered, and Why They Were Rejected: N/A

BIS Service Impact: None.

Expected Benefits (Including any savings to accrue): Enhanced employee communication and morale.

Initiative: Remote Printing

Business Description: Establish remote printing capability among the regional offices via the WAN.

Relationship To The Agency's Strategic Business Plan: Improve efficiency and productivity by taking advantage of advances in computer hardware and software technology.

Estimated Life: Indefinite.

Estimated Development Time Period (begin/end): FY 01.

Technology To Be Used (hardware, software, languages, etc.): To be determined.

User Community Impact (training needs, parallel operations): None.

Alternatives That Were Considered, and Why They Were Rejected: Transferring documents by mail, sacrificing timeliness.

BIS Service Impact: To be determined.

Expected Benefits (Including any savings to accrue): Faster transfer of large documents and reports between offices.

Technology Services, Division of
Submitted by: Randy Huber
Date Revised: March 16, 2000

Introduction: This plan was developed by the Division's Service and Support Unit with some guidance from BIS staff. It was developed because of the need created by the ISPB's action regarding a State enterprise e-mail system. The plan has been presented to Department management (MAIN Group) for review. The plan directly relates to the State's strategic plan for an enterprise e-mail system.

Initiative: E-Mail Migration Project (From cc:Mail to MS-Exchange)

Business Function Affected (Description): This is the migration of Human Services' current e-mail systems (cc:Mail and MS-Mail) to Microsoft's Exchange E-Mail System.

Relationship to Agency's Strategic Business Plan: Comply with statewide strategic business plan.

Estimated Life: 5+ years

Estimated Development Time: March 2000 to January 2001

Technology Used: MS-Exchange and MS-Outlook on HP Net servers and Department's PC workstations.

User Community Impact: Users will need approx. one day of training in the use of the new system scheduled appropriately with the deployment schedule. They will be impacted by the seemingly slow migration of one office/location at a time over the course of about six (6) months to migrate 2,400+ employee accounts.

Alternatives That Were Considered: All alternatives have been previously explored and rejected by the ISPB, the ISMG, and their various workgroups over the preceding two years. See appropriate reports for details.

BIS Service Impacts: Negligible

Expected Benefits: Improved productivity of all staff by the statewide use of one e-mail system making the same functionality, features, and capabilities available to everyone.

Medical Services, Bureau of
Submitted by: Mark Greenfield
Date Revised: March 14, 2000

Introduction: This plan was developed by the Program Evaluation Division of the Bureau of Medical Services with input from all other divisions in the Bureau and has been reviewed by BMS senior management and the Division of Technology Services. This plan complements the DHS strategic plan goals of using technology to best serve the needs of Maine citizens in the most cost effective manner. The plan also fits the BMS mission and strategy. The Mission of the Bureau of Medical Services is to: 1) serve the health care needs of Maine Citizens, 2) purchase cost effective, accessible, quality health and social services for low-income people, 3) protect the health and welfare of people needing institutional or residential care or agency health services, and 4) assist consumers in utilizing the health care delivery system appropriately. By: 1) establishing, monitoring and enforcing generally accepted standards, 2) developing and implementing policy for coverage of health and social services, 3) educating consumers and advocating on their behalf, and 4) assuring availability of qualified providers.

Initiative: Third Party Liability Subsystem

Business Function Affected (Description): Design, build and implement TPL subsystem. This subsystem contains the following functionality: identification, claims evaluation, letter generation, report writing, case tracking, employer/insurance data, feeds and interfaces. A Bureau staff person is currently developing this initiative. The more efficient method to bring this initiative to completion is to seek development services.

Relationship To Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: June 2000 to June 2001

Technology Used: Oracle 8 and Microsoft Access

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Minimal impact to BIS. The project will be supported in-house.

Expected Benefits: This initiative will promote a more efficient use of staff time, reduce cost in DP processing time, improve provider and client communication and reduce mailing costs. The Bureau staff, providers and Medicaid recipients who interact with TPL activities will benefit from this initiative.

Initiative: Returned Reusable Drug Web Page

Business Function Affected (Description): Interactive Web page to be used as part of BMS website by Nursing Facilities, ICF/MRs and Boarding Homes to account for unused drugs more efficiently that have been returned to the Pharmacy when a patient discontinues the drug, leaves the facility, or expires.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 10+ years

Estimated Development Time: October 1999 to January 2000

Technology Used: Programming staff using Web-based software.

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Increased traffic to WAN, firewall issues.

Expected Benefits: Medicaid providers and pharmacies will benefit by the reduction in paperwork presently required. Providers will be receiving on-line access to information that is presently provided in paper copy and by self-declaration that will result in increased savings and quality assurance in the Medicaid program. The estimated increase in recovery will be between $50,000 - $75,000 annually.

Initiative: Bureau of Medical Services Web Page

Business Function Affected (Description): Redesign and update the BMS WEB site. Included on the site will be posting reports, applications, and other pertinent provider and client information. With updating and redesigning the site, clients and providers will have more accurate and timely information, which will result in improved customer service to Medicaid clients and to providers.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 7+ years

Estimated Development Time: October 1999 to May 2000

Technology Used: Hardware will need a web server, Software will be Front Page, and Language used will be HTML, XML.

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: New traffic on the Internet and State WAN, Need to pass through the firewall to meet connections.

Expected Benefits: Access to BMS information 24 hours a day, reducing Bureau staff activity and improving customer service. Improve communications between providers, clients and the Bureau. Because of the increase in cost avoidance by providing accurate and timely information to providers to prevent inappropriate Medicaid claim submission, savings for the Third Party Liability Division alone are estimated to be $300,000 to $500,000 annually.

Initiative: Drug Rebate Accounting Procedures

Business Function Affected (Description): HCFA is mandating accounting procedures for aging of receivables and interest calculations in reference to Drug Rebate. HCFA and the Medicaid program in response to a more accurate accounting of money outstanding and due, programming enhancements to current software application used in TPL are needed.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: October 1999 to January 2000

Technology Used: MS Access

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: None, enhancing existing systems.

Expected Benefits: Increase recoveries and implement proper accounting procedures that may be transferred into other TPL activities. It is estimated there would be an annual recovery of $10,000 in interest calculations upon implementation of this initiative. Savings for the Third Party Liability Division alone are estimated to be $300,000 to $500,000 annually.

Initiative: Consolidation of Databases for Rate Adjustments

Business Function Affected (Description): Consolidate Excel spreadsheets and paperwork to streamline the rate adjustment process and link to DHS Audit. The BMS and Audit Division would benefit from the more efficient and effective way of handling these rate adjustments.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 4+ years

Estimated Development Time: June 2000 to December 2000

Technology Used: Hardware - Oracle Server, Software – Oracle 8, Access 2000, and Visual Basic 5

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: None

Expected Benefits: There will be better flow of information to Audit. Ongoing savings would be achieved in staff-hours because of the faster way of streamlining processes in a more efficient and effective manner.

Initiative: Complete and Implement the Claims Management System

Business Function Affected (Description): To procure, design, develop, implement and operate a certifiable and flexible claims management system that will replace the current MMIS system that was installed in 1978. The providers will have better access to information and they should

see an increase in the timeliness in the processing of claims. The Bureau will have better information to determine the quality of health care through out the state.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 10+ years

Estimated Development Time: October 1999 to October 2002

Technology Used: Hardware - Oracle Server, Software – Oracle Designer 2000 and Oracle 8 RDBMS.

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: New traffic on the Internet, State WAN, firewall issues. BIS would have to support and maintain the system.

Expected Benefits: This initiative will result in an increase in staff productivity/staff cost avoidance and non-staff administrative savings/cost avoidance. It will enhance provider relations and the quality of care provided to recipients. Estimated cost benefits would be program savings/avoidance of $5 million in a two to three year payback. Staff productivity cost avoidance would be savings of $1 million and other administrative cost savings/avoidance would be $150,000.

Initiative: Imaging System and Workflow

Business Function Affected (Description): Imaging will consist of image capture, data capture, and data correction subsystems. All Bureau staff will benefit from having better access to claim information and will be able to make timely, effective, and cost savings decisions. BMS needs to develop and issue an RFP soon to ensure the above savings. Department and Bureau staff, both professional and technical, will need to be involved in the RFP development process.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: June 2000 to June 2001

Technology Used: Hardware – Oracle Server, High Speed Scanners, Software – Imaging Software, Oracle 8

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: None.

Expected Benefits: Increased efficiency, timeliness of claims processing, and less errors would be some of the benefits from this initiative. There also would be a reduction in the present outside contract (i.e.: keying in Medicaid claims.) The estimated cost will be $1 - $2 million that would include hardware and software needed to implement the imaging subsystem.

Initiative: Residential Care Facilities Database

Business Function Affected (Description): Residential Care facilities (boarding homes) will be reimbursed using the Case Mix Index (CMI) methodology. Reimbursement is based on each individual's assessment using the Resident Care Assessment Tool (RCA). Based on the results of the questions asked from the RCA Tool, the resident is classified into a specific grouping. This grouping is a numbering system from .5 to 2.2. Using base year cost report information, this CMI number is applied to the Private Non-Medical Institutional (PMNI) component of the rate. The higher the CMI, the greater the reimbursement. This is a payment database. This will enable the BMS to calculate payments to Residential Care Facilities using the 1998 Base Year and the CMI information. Presently rates are calculated by the Division of Audit manually. This system will replace the manual system. The primary beneficiaries will be the providers (they will be receiving semi-annual rate letters instead of annual) of RCF services and DHS (Division of Audit and BMS). The Muskie Institute will be completing a time study with the RCFs in the fall of 1999. Information from this time study will be used to determine the CMI calculations. The BMS in conjunction with the Muskie Institute is completing the design and data input of the rate setting database. This will be complete in September 1999. The CMI information will be linked to the rate setting database. The Case Mix nurses will have the Evaluation Sanction Program developed and loaded on their laptops to enable them to review individual facility's resident CMIs.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: October 1999 to April 2000

Technology Used: Hardware – Laptops, Software - Oracle 8 RDBMS, VB 5, Access 2000

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: None.

Expected Benefits: This system will enable the Division of Audit to complete audits more efficiently and will allow staff time to concentrate on other areas of audit settlement. This will enable the financial staff in BMS to utilize time previously spent in reviewing requests by Residential Care Facilities for additional staff and to use that time for other initiatives. There will

be significant timesavings in the calculations of the reimbursement rates for the Residential Care Facilities with this initiative.

Initiative: Consolidation of Long Term Care Databases

Business Function Affected (Description): Consolidating all of the long-term care databases into one system that will have a direct link to MFASIS and MMDSS for the payment side that is Oracle based. The designing of this system will allow for increased capacity performance and liability of all long-term care information retrieved by the BMS in meeting its commitments to its customers. The Division of Audit, Legislature, DHS, DMHMRSAS, HCFA, and providers will benefit from the consolidating of the databases because the information needed will be so quickly obtainable and consistent. We will need programmers to develop the Oracle based Financial System. Some of the hardware will need to be upgraded to handle the new system. The System Administrator will need to procure the hardware needed to run the programs.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: October 1999 to February 2000

Technology Used: Hardware – none, Software – Oracle 8, ACCESS 2000, VB 5

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Facilitate MFASIS data links and/or feeds. Additionally they would have to support and maintain these links.

Expected Benefits: There will be more efficient use of staff time and ease of analysis for financial impact services for all of long-term care. In addition, fiscal notes for Legislative Bills and Audit settlements will be completed in a timelier manner, which will allow an increase in staff time to perform other duties. The staff will be able to query the database for information because the information would be automatically updated from MFASIS and MMDSS for weekly financial statements.

Initiative: Targeted Case Management Initiative

Business Function Affected (Description): Database design and analysis of all targeted case management services within the Medicaid program. The DHS (BCFS, BOH, BMS inclusive), DMHMRSAS, and the providers will benefit from this initiative. It will show that the actual services rendered may be less or more than the agencies' estimated services. The Financial staff needs to analyze by Case Management type all staffing costs, total clients served, and total funding sources to determine if any access costs were incurred in delivering Targeted Case Management services.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5 years

Estimated Development Time: October 1999 to February 2000

Technology Used: Hardware – Laptop, Software – Oracle 8, ACCESS 2000, VB 5

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: None

Expected Benefits: There will be improved reliability for information of cost reports and reimbursement tables. Anticipated savings to the Medicaid program and decreased reimbursement rates have yet to be determined. Expected to yield significant savings in time and productivity for both BMS and our customers, as well as helping us realize dollar savings related to the current reimbursement rates.

Initiative: Expanded Field Processing of Data for Licensing and Certification Services

Business Function Affected (Description): Upgraded laptops to each surveyor with a dial-in or modem capability to transmit data from the field and the ability to process that data from district office level prior to submission to Central office of the division and/or HCFA. The Division of Licensing & Certification and residents or patients at health care facilities who depend on the State for quality of services and protection would benefit from expanding the field processing of data along with other State agencies that utilize data generated by the Division. The Division has the opportunity to secure federal funding to support this initiative. Laptops and printers need to be leased, configured and made equally available to all survey staff regardless of program. Existing inadequate hardware needs to be replaced at the same time.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 3 years

Estimated Development Time: June 2000 to September 2000

Technology Used: Hardware – 34 Laptops, Software – Current BMS communications software

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: If laptops were not acquired through leasing, then the laptops would have to be maintained by BIS. There would also be additional impact to the WAN as surveyors dial into the system.

Expected Benefits: The processing time is estimated to decrease by one half. There will be a decrease in paperwork and filing space. This initiative will relocate staff time to priority investigations/surveys and will have a decrease in cost in the processing of mail. It will also be beneficial in the following ways: rapid evaluation of quality of care, increased allocations to priority requirements, timelier data, and availability of data to multiple State agencies for use in decision making.

Initiative: Division of Licensing and Certification Database

Business Function Affected (Description): The Division has a growing number of disparate databases to support its mission. The databases need integration. In addition, the available licensing database needs to be established/designed and correlated with the existing Federal OSCAR/ODIE database. The databases for the Maine Registry of Certified Nursing Assistants need to be upgraded to have a re-certification capability. A facilitator/project person needs to integrate the databases, design additional areas, and coordinate the integration with other BMS systems being designed as well as to develop links with other existing systems and provide accessibility to our staff and customers. The Surveillance Utilization Review Unit, Provider Account Management/File Management/Data Resolution Unit, Policy Development, Medical Director, Pharmacy Consultant, Professional Claims Review, Medical Eligibility, Case Mix Project, Enrollment/Provider Relations, Certificate of Need, Hospital and NF and related Financing, Administrative Hearings Unit, BEAS, BOH, Medicaid Fraud Control Unit, Office of Audits, BCFS, State Fire Marshall Office and Department of Education, will use it for survey data, to approve or disapprove projects, for investigative purposes, and for quality improvement.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5 years

Estimated Development Time: June 2000 to March 2001

Technology Used: Hardware -- 15 Intel-based personal computers with Microsoft operating systems, Software -Oracle 8, Access 2000, VB 5

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Impact due to OSCAR/ODIE database link. Possible development through BIS.

Expected Benefits:

Projected benefits of a common database used by all our programs, integration with the Decision Support System

More accessible information to our customers

Increased capability to re-certify Nursing Assistants and get them more quickly into the labor force

Make more informed enforcement decisions

Quality improvement efforts will be increased and expanded, target our limited resources to problem areas, etc.

Major decrease or elimination of files with a concurrent savings in space.

Better use of staff time.

Initiative: Voice Response System

Business Function Affected (Description): The CNA Registry will require a voice response system to be integrated with a database in a relational architecture such as Oracle, which is supporting the Registry. An assessment of available systems needs to be done and compatibility with current system design needs to be established. All health care facilities/agencies utilizing CNAs would benefit by the timely response generated through the system. CNAs could be hired or put into the labor force on an expedited basis because of more rapid response by the Registry. Current backlog of employer inquiries would be reduced and/or eliminated.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 3 years

Estimated Development Time: June 2000 to July 2000

Technology Used: Hardware – Possibility of an independent server that would allow facilities to call into the server, Software – Oracle 8, Access 2000, and voice response software (to be determined)

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: development, support, and maintenance

Expected Benefits: Approximately one half of the inquiries to the Registry responding to public inquiries could be handled by the voice response system. (i.e., an employer who knows an employee’s social security number could just call in and verify status/standard of CNA) Other

benefits would be: more functional utilization of staff, accurate and timely responses of requested information from employers, elimination of backlog, and more rapid access to CNAs in the labor force.

Initiative: Establishment of a System to Store CNA Documentation/Files Electronically

Business function Affected (Description): Currently the Maine Registry for Certified Nursing Assistants (CNA) manually maintains a growing file for more than 33,000 CNAs. This material is stored in 40 standard filing cabinets. Need the ability to scan and store information electronically, so that a name and / or Social Security number could retrieve it.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: June 2000 to October 2000

Technology Used: Hardware – Oracle Server, High Speed Scanners, Software – Imaging Software, Oracle 8

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development, Support, and Maintenance

Expected Benefits: The Registry and the CNA/employer would receive a more rapid response for data verification. The BMS would have a savings of space used for filing cabinets and an addition of new filing cabinets at the rate of 6 to 8 per year. There would also be savings in staff time of filing and retrieving documents and eliminating filing of documents whenever needed along with the following: 1) Elimination of filing space, 2) Multiple access to electronic files. (Two people can look at one file at the same time), 3) Rapid access to the files, and 4) Security and integrity of files would be enhanced.

Initiative: Creation of an Interface to a Procedure/Diagnostic Code Database

Business Function Affected (Description): To increase the provider’s effectiveness by having the most current procedure, diagnostic codes information available on the BMS WEB site.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 3+ years

Estimated Development Time: October 1999 to January 2000

Technology Used: Hardware – None, Software – Oracle 8, Info Reports, WAIS

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: None

Expected Benefits: There will be a decrease in phone calls and questions pertaining to procedure and diagnostic codes to the Provider and Consumer Relations Unit. Providers and other State agencies will benefit because they will be able to access information in a timelier manner. The result will be better access to care for our Medicaid clients.

Initiative: Surveillance and Utilization Review Subsystem

Business Function Affected (Description): Develop an information system that would flag fraud and abuse of services or programs utilizing claims data. This system must allow users output analysis using several formats. The Medicaid State agency will have greater access to information, specifically trends and financial impact of program expenditures and utilization. Further, this system will increase the effectiveness and efficiency of limited auditing and investigative resources by providing staff with mobile computing capabilities. It will reduce staff time spent manually documenting findings during audits by allowing them to enter results directly into a database on their laptops. It will also improve communication and case coordination with other investigator agencies, and if information is entered at time of audit, it will decrease the chance of error. The auditor/investigator inputs data sooner, thereby eliminating the chances of overlooking or forgetting to input some data. BMS needs to develop an APD to submit to HCFA to receive approved federal funding. It also needs to purchase and configure two laptops and portable printers along with appropriate software and arrange for dial-up access.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: June 2000 to June 2001

Technology Used: Hardware – Server, 2 laptops, Software – To be determined

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development, Initial support, and Maintenance

Expected Benefits: Savings would be directly related to the early discovery of fraud and abuse and misutilization of health care services. BMS can greatly reduce staff time that is currently spent on developing queries through Access databases to obtain basic information that a SURS system would automatically provide. In addition, the SURS system would produce complex

report items, which would otherwise require several computer programmers to duplicate some of these calculations.

Initiative: Classification Review/Case Mix

Business Function Affected (Description): Purchase and upgrade Quality Assurance Nurse Notebook computers to at least 266 MHz Pentium II class processors with 64 MB RAM, internal CD-ROM and 56K modem/network connectivity capabilities to bring the quantity of notebooks to eight. Purchase eight portable printers for use with the notebook computers. Upgrade all seven in-house computers used by staff to at least 300 MHz Pentium processors with 128 MB RAM and 100Mbit Network capability with CD-ROM to in-house computers, because all of our HCFA training comes in on disk for CD-ROM. Purchase one color printer and one color copier. This is in direct support of National Health Care Finance Administration (HCFA) mandated data management requirements for federal Medicare and state Medicaid payment systems. Upgrades to the software that support both Quality Assurance and help desk functions are currently under way. This will be available for implementation within the next year. Training requirements and help desk functions are currently operational and are behind schedule for upgrade.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 3 years

Estimated Development Time: June 2000 to September 2000

Technology Used: IBM laptops and desktops

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Maintenance and support of laptop

Expected Benefits: Benefits extend directly to the over 10,000 Maine residents that reside in nursing or residential care facilities and their families through quality control of care. The quality assurance review process has been instrumental in increasing the quality of care in nursing facilities for over 5 years, and this benefit will now extend to residents in residential care facilities. On the State side, the benefit extends to increasing the efficiency of the staff that must maintain the data, assist facilities with data transmission and support problems, provide training to facilities, and produce monthly reports for data management. Current systems lack speed required to service help-desk calls efficiently from the over 200 facilities that are supported. The benefits in hard dollars to the state of Maine are anticipated to be over $100,000 per year estimated from historical figures. Non-tangible benefits should far exceed this figure. Direct benefits to staff are increased efficiency and better customer service. This increase is imperative since the benefits provided to the receiving facilities result directly in better use of State health care dollars and better quality of care for facility residents.

Initiative: Prior Authorization Database

Business Function Affected (Description): Database to track all the PA requests received, stages of processing, accumulative PA history storage and to be able to continually improve our customer service. It is also used as a management tool to monitor workflow, to monitor statistics, to produce reports, to produce tailored letters to providers and recipients in compliance with the consent agreement. The Prior Authorization database is under development. Phase I has been completed and we are ready to move into Phase II. Equipment upgrade (software, hardware, etc.) needs to be in place as soon as possible. Phase III plan is to go completely electronic and eliminate paper records as much as possible.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 4+ years

Estimated Development Time: October 1999 to April 2000

Technology Used: Oracle 8, Access 2000, VB 5

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: None

Expected Benefits: All BMS staff and customers will have better access to authorization information and statistics will be more readily available. There will be more efficient use of staff time and improved customer service, as it will be able to monitor employee workflow, monitor statistics, and produce reports and tailored letters to providers and recipients.

Initiative: Computer Upgrade for Training Room Computers

Business Function Affected (Description): Computer upgrades are needed in the Training Room that are capable of handling current training requirements for projects and initiatives. BMS, other Bureaus within DHS, other State units/agencies/customers, and State contractors will have a computer training room available to them at no cost for applications training. The computer training room is currently in place. Computers need to be replaced biannually to ensure that the training room computers can operate the applications on which training is being given.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 7+ years

Estimated Development Time: October 1999 to April 2000

Technology Used: IBM desktops

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Computer acquisition

Expected Benefits: The computer training room will allow for timely and effective training on current and future applications. It will allow knowledgeable State trainers to conduct the training in a setting accessible to them and their students. This will result in efficient use of staff time for both trainers and students. In addition, it provides a setting for Department-wide computer-based training in both desktop applications and Enterprise Systems such as Oracle. This will provide for efficient computer-based training, free of distractions. The computer training room provides a test environment for new release versions of Department applications allowing a more efficient testing of contracted services for Enterprise Systems and rollouts of application releases. Savings will be achieved in consolidated training initiatives offered by BMS trainers at a BMS site, alleviating the need to contract for non-state training services at off-site locations. Additional savings will be garnered through faster; more time specific, flexible training providing appropriate training when needed.

Initiative: MMDSS

Business Function Affected (Description): The MMDSS system: Maintaining the design functionalities and access to archive material. (5 years worth) DHS Audit, Third Party Liability, SURS, BFCS, AAG, and others have needs for data encompassing five years. Greater processing power, memory, and disk space are needed to maintain five years of data. An archival retrieval system needs to be purchased or built in order to access archive data.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: October 1999 to October 2000

Technology Used: Hardware: A dedicated archival server, Software: Oracle and Visual C++

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development, Collaboration with vendor, if applicable

Expected Benefits: Benefits would be audits that are more accurate, greater recoveries, better child abuse investigations, and better child abuse and Medicaid fraud prosecutions. Better data would be available for research and QI activities. Estimated savings from audits and recoveries using data five years old is roughly $500,000 - $800,000 per archive year. In addition, as

mentioned above, it is used for fraud detection, child abuse detection, and criminal prosecution within the Medicaid Program. Savings from these prosecutions cannot be estimated.

Initiative: Multiple Entities within MECAPS (this initiative is on contract and funded)

Business Function Affected (Description): This ability will allow all types of managed care entities to operate within the same regions in the state. MECAPS will then have the capability to handle the enrollment process and calculate the capitation payment for the different entities. It will benefit the clients of the State of Maine as well as the users of the system, who assist the clients during the enrollment process.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 4+ years

Estimated Development Time: October 1999 to May 2001

Technology Used: Hardware: None, Software: Oracle, VB, and Tuxedo

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development, Collaboration with vendor, if applicable

Expected Benefits: will be able to implement mandatory managed care services throughout the State, which would in turn help lower the medical costs for the clients across the State. The application would be easier to use, therefore the clients will benefit by a more streamlined enrollment process. This initiative would result in on-going savings due to the delivery of better and more cost-effective healthcare to the Medicaid clients in the State of Maine.

Initiative: End Date Determination of Managed Care in MECAPS

Business Function Affected (Description): This initiative will be used to calculate enrollment start date on the 1st and 15th of each month and to have the end date of disenrollment take effect within 5 days of the determination of disenrollment. It will also be used to disenroll clients properly who lose Medicaid eligibility on the last day of the month, instead of the first day of the next month. It will also make transfers take effect five days after entering, instead of on the last day of the month. The State of Maine, the managed care organizations, and the clients in managed care will benefit from these changes. Primary care providers will also benefit from this change because they will be able to plan for their new members to arrive only twice a month, rather than on any day of the month.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 4+ years

Estimated Development Time: October 1999 to June 2000

Technology Used: Hardware: None, Software: Oracle, VB, and Tuxedo

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development, Collaboration with vendor, if applicable

Expected Benefits: MECAPS currently can do day-specific enrollment, but this has not been cost effective since the WELFRE system is not day-specific. Therefore, streamlining the enrollment process to the 1st and the 15th will help prevent enrollment errors. The ability to determine the disenroll day properly will eliminate overpayment in capitation to the managed care organizations.

Initiative: Modify MECAPS to Handle Retroactive Activities Properly (this is on contract and funded)

Business Function Affected (Description): To modify MECAPS to allow for retroactive disenrollment and capitation changes, and to allow for rate adjustment capability in MECAPS to the managed care organizations as review of rate structures to the managed care organizations are made. The State, the managed care organizations, and the clients would benefit from this initiative since this would allow for the correcting of enrollments and payments that have been made in the past.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 4+ years

Estimated Development Time: October 1999 to February 2000

Technology Used: Hardware: None, Software: Oracle, VB, and Tuxedo

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development, Collaboration with vendor, if applicable

Expected Benefits: Savings will be ongoing for both the State and the managed care organizations, because the above would allow for the correcting of enrollments and payments that were done in error. It will also allow the ability to make retro rate adjustments to any managed care organization after a review.

Initiative: Auto Assign and Auto Re-enroll in MECAPS (this is on contract and funded)

Business Function Affected (Description): To automate the auto-assign process to a PCP within PrimeCare or managed care and also to auto-reenroll to managed care any client who has disenrolled from managed care within the past 60 days to the same managed care program they were in before. It will benefit the user of the system and clients by streamlining the auto-assignment and the auto-reenroll process.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 4+ years

Estimated Development Time: October 1999 to February 2000

Technology Used: Hardware: None, Software: Oracle, VB, and Tuxedo

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development, Collaboration with vendor, if applicable

Expected Benefits: Would be ongoing, because a majority of the tasks being done for managed care is currently being done manually by the staff. Therefore, once automated, the staff would be able to address other needed assignments within MECAPS.

Initiative: MECAPS Multiple Enhancements

Business Function Affected (Description): Multiple enhancements to Maine Enrollment & Capitation System. MECAPS has identified specifications required because of policy changes or mandated legislation. Keane, Inc. has the current contract for supplying support for the MECAPS system. They have submitted a fixed cost for completing the changes listed below to the MECAPS application. This cost includes implementation, documentation, and knowledge transfer regarding the new changes: Foster Care Identifier, Transfer of Rights Letter, Maintain PrimeCare Provider Information, Exemption Re-write, Primary Language/Method of Contact, and Newborn Identification and Coverage in Managed Care

Relationship to Agency's Strategic Business Plan:

Estimated Life: 4+ years

Estimated Development Time: October 1999 to October 2000

Technology Used: Hardware: None, Software: Oracle, VB, and Tuxedo

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development, Collaboration with vendor, if applicable

Expected Benefits: Recipients and Providers will benefit from the MECAPS system by reduced backlog throughout the enrollment process of managed care. State staffing will be able to concentrate on provider and client education about managed care. The following are benefits that are more detailed:

Improve accuracy of identifying proper contact person that would result in less time used searching for proper contact person.

Keep MECAPS in compliance mandated by the Civil Rights Law (OCR), BBA (Balanced Budget Act of 1988).

More efficient use for users of the MECAP System as they would be able to eliminate the outside feeds that are coming directly into MECAPS for PrimeCare providers.

More efficient use of staff time as the system allows one person to do each type of exemption at a time and staff has to enter the exemption manually into MECAPS.

Newborn recipients would have their eligibility determined in a timelier manner; therefore, they could be under a managed care system during the critical period of a newborn's life.

Initiative: System Upgrade to MECAPS

Business Function Affected (Description): Because of all of the key initiatives that have been stated, the Bureau will be increasing the numbers of enrolled clients in managed care from the current number of approximately 20,000 to upwards of 80,000 plus. Because of this increase, the database will be growing at a steady rate and will need to be resized and possibly spread out to different disks to avoid contention. Also the need to upgrade the operating system of the Unix server to 10.2 has been recommended as well as upgrading of the Oracle Software and Tuxedo software. The State of Maine, the managed care organization and the users of the system will benefit, due to better performance of the system.

Because the number of enrollments is increasing, the database will be monitored. Before growth becomes critical, any tables within the database will be purged as needed and a determination of when the need of more disk space will be determined. Either higher capacity disks will be ordered or additional disks will be ordered. If the latter is deemed appropriate, a new disk subsystem will also be needed as all slots have been filled in the other disk subsystems. The method chosen will be by determining: (1 Impact on the system, (2 Length of time to implement the upgrades to the system, and (3 Any other issues that are unknown at this time. Once equipment has been delivered under the support contracts with the hardware vendor, the equipment will be installed. Any upgrades of the O/S, and software will be done through support contracts, in-house personnel and/or with possible assistance through a separate contract from the vendor.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 4+ years

Estimated Development Time: October 1999 to April 2000

Technology Used: Hardware: None, Software: Oracle, VB, and Tuxedo

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development, Collaboration with vendor, if applicable

Expected Benefits: The addition of disks to the server for the database growth, due to the mandatory managed care will allow the State to move forward with including the entire population in managed care and will give better performance to the application. Better performance will benefit the users of the system as they assist the clients in the enrollment process and will benefit the clients by making the enrollment process a smooth transition. The savings will be realized over a long term with better performance of the system and having the capability to mange the database more effectively. The upgrade of the O/S and Software will also keep all of the major systems on similar versions of the software and O/S, thereby allowing ease of maintenance.

Initiative: MeCare Application Enhancements

Business Function Affected (Description): Enhancements to Maine's Long term care medical eligibility determination system. BEAS has developed specifications for required changes to the MeCare application required as a consequence of policy changes or legislative mandates. Keane, Inc. has the current contract to provide support for the MeCare application. They will submit fixed cost estimates for completing each of the mandated changes to the MeCare application. Implementation will include documentation and knowledge transfer regarding any new processes or system requirements resulting from the changes. Specific modifications to the MeCare application include: Development of a letter history function, Addition of a new assessing agency, Development of consumer notes functionality, Development of a discharge screen, Modification of medication tab, and Creation of an "Edit" version.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 7 years

Estimated Development Time: October 1999 to October 2000

Technology Used: Hardware: None, Software: VB, C++, and Tuxedo

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Development, Collaboration with vendor, if applicable

Expected Benefits: Providers and recipients of long-term care services in the State of Maine will benefit due to improved accuracy of assessments, reduction in the need for reassessments due to errors, and a more timely assessment process. Implementation of the mandates changes outlined above will accomplish the following:

Keep the MeCare application compliant with changes mandated by the legislature or policy changes.

Enhance the applications legal documentation requirements, resulting in fewer appeals.

Improve the accuracy of data, resulting in more accurate quality indicators.

Improve the communication between users of the system, resulting in fewer reassessment and appeals

Expand the electronic assessment process to a new population of consumers.

Initiative: Development and Implementation of Complaint and Grievance Issues Application

Business Function Affected (Description): The Complaint and Grievance Issues Application will document phone or written information received from or given to providers, consumers and BMS staff. It also allows staff to review history of calls from providers, consumers, etc., allowing standard interpretations of Medicaid policy issues/questions and to share with other BMS divisions. The Inquiry function is being contracted out and there needs to be an interface with the contractor as part of Quality Assurance.

BMS staff will benefit as they will be able to track the history of the caller and it will reduce the time researching, and contacting other staff, etc. to find information that has been previously given. The providers will benefit because they will receive consistent information and won't have to repeat the same information to several different people along with being transferred several different times. Recipient/Consumers will benefit because inadequate provider records will be easily tracked and questions answered in a timelier manner. Staff from Provider Relations and a representative from the IT unit must develop, implement and maintain a Tracking System

Relationship to Agency's Strategic Business Plan:

Estimated Life: 3 years

Estimated Development Time: October 1999 to November 1999

Technology Used: Hardware: Potentially upgraded PC's in order to run application, Software: Access, Oracle

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Acquisition of PC's if needed

Expected Benefits: The tracking system will be able to define the responsibilities of each unit within BMS. As listed above, the providers will benefit because they will receive consistent information and won't have to repeat the same information to several different people along with being transferred several different times. BMS staff will benefit as they will be able to track the history of the caller and it will reduce the time researching, and contacting other staff, etc. to find information that has been previously given.

Initiative: Physician Credentialing

Business Function Affected (Description): Credentialing providers to prevent physicians who are not licensed and/or Medicaid providers to treat Medicaid recipients. This will enhance our ability to decrease fraud and to provide quality services to Medicaid recipients. Quality Improvement staff to research and develop system of credentialing providers and develop links to AMA, licensing boards, and Medicaid fraud units. This project will require a server, computer program to perform credentialing, a clerical person, a professional staff, two laptop computers, two desktop computers, laser jet printer with an envelope feed, and an analog line.

Medicaid recipients will benefit from improved quality of services. The providers will be treated more fairly and equably. The Medicaid program will benefit with cost savings from fraud/abuse, and improved quality of services. Staff from Provider Relations and a representative from the IT unit must develop, implement, and maintain a Tracking System

Relationship to Agency's Strategic Business Plan:

Estimated Life: 3 years

Estimated Development Time: October 1999 to June 2000

Technology Used: Hardware: None, Software: Access, MMDSS. Potentially web-based.

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: Possible increase in Internet traffic

Expected Benefits: The Medicaid Fraud Unit will benefit from receiving current license numbers and status of doctors. The Medicaid Program will benefit with the ability to evaluate physician quality of service. The SURS Unit will benefit by being able to track providers being sanctioned by Medicaid. Medicaid recipients will benefit from improved quality of services. The providers will be treated more fairly and equably. The Medicaid program will benefit with cost savings from fraud/abuse, and improved quality of services.

Initiative: Emergency Room Usage

Business Function Affected (Description): This project is directed at decreasing the number of Maine Medicaid recipients who use the emergency room for non-emergency purposes. The BMS interns need to develop database and educational mailing to recipients and providers; follow-up survey and phone calls for repeat emergency room users and survey recipients on PCP availability and access.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 3 years

Estimated Development Time: November 1999 to March 2000

Technology Used: Hardware: None, Software: Access, MMDSS.

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: None. Not a development initiative, purely data analysis.

Expected Benefits: Maine Medicaid recipients benefit from better coordination of services/care by Primary Care Providers (PCP). The Medicaid program will benefit through cost savings. Providers will be better able to coordinate recipients' care. The SURS/Medicaid Fraud Control Unit benefits from the prevention of over utilization of services and recipient fraud. Benefits will be cost savings to Maine Medicaid program and better quality of care for the Maine Medicaid recipients such as the following: 1) Cost savings from redirecting Maine Medicaid recipients from costly emergency room visits to primary care providers are approximately a 3:1 ratio in savings, 2) Pro-rating payments to emergency rooms that see Maine Medicaid patients for non-emergency reasons, and 3) Estimated savings have yet to be formally calculated, but are expected to be a minimum of $500,000 per year.

Initiative: Quality Data Mart

Business Function Affected (Description): The Quality Division is developing a data mart for reporting on issues related to the quality of medical care provided to Medicaid recipients. The data mart is a series of summarized data tables and index files which can be used for multiple analytic projects and reports. Currently, we are using a prototype of the data mart that we house on a local NT workstation. We run a series of quarterly reports that are sent to individual providers and used for incentive payments. The system is also used to produce federally required reports for the Child Health Insurance Program (CHIP) and federally required evaluations of programs such as PrimeCare and CHIP. Furthermore, the data mart produces a series of static and active reports that are based on standardized performance measures (i.e. HEDIS measures), which enhance the overall accountability functions of the Medicaid program in particular, and the Bureau in general.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 3+ years

Estimated Development Time: February 1999 to April 1999

Technology Used: For full implementation, this effort will need a database server to house the summary data tables, the stored procedures that query MMDSS and build the summary data tables, and the stored functions that will provide much of the standard business logic for use in generating the reports/indicators from the summary data. This platform should have the capacity to handle eight years of summary data (approximately 20gb) and up to ten users with appropriate user security levels and data security.

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: None

Expected Benefits: This project is anticipated to save money specifically by identifying and reducing high utilization of Emergency Room care and reducing avoidable hospitalizations, and in general by supporting the Quality division's goal of improving the quality and reducing the cost of medical care.

Initiative: TPL Database Server

Business Function Affected (Description): The TPL Unit recovers Medicaid expenditures from liable third parties, i.e. health and casualty insurance companies, Medicare, etc. We need immediate access to Medicaid paid medical and drug claims for clients who have medical and drug coverage as well as newly identified Medicare. The insurance industry is ever evolving. Insurance carriers have begun implementing narrow filing limits, which requires us to submit claims expeditiously. In addition, Federal law requires claims to be submitted to insurance companies within sixty days from the end of the month the claim was paid.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 2+ years

Estimated Development Time: February 1999 to April 1999

Technology Used: This effort will need a database server to house the data tables used in the analysis, the stored procedures that query MMDSS and build the tables, and the stored functions that will provide some of the standard business logic for use in generating the reports/indicators from the summary data. This platform should have the capacity to handle several sets of retroactive Medicare and drug data (up to three sets each or approximately 10gb) and up to forty users with appropriate user security levels and data security.

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: None

Expected Benefits: This effort will need a database server to house the data tables used in the analysis, the stored procedures that query MMDSS and build the tables, and the stored functions that will provide some of the standard business logic for use in generating the reports/indicators from the summary data. This platform should have the capacity to handle several sets of retroactive Medicare and drug data (up to three sets each or approximately 10gb) and up to forty users with appropriate user security levels and data security.

Initiative: Special Request Query Capability

Business Function Affected (Description): The Bureau needs the capability to produce reports and data sets in response to ad-hoc requests even if the standard Bureau query and reporting tools cannot accomplish the task. These requests can originate within the Bureau or from the outside, but they have been reviewed and prioritized by senior management and approved to get Bureau resources. A few of these requests cannot be met using client-side query and reporting tools on standard Bureau workstations. In some cases, the data sets involved are too large to be manipulated using client-side tools on standard Bureau workstations. In some cases, analysis requires multiple passes through the data with the results of each pass being saved for further work. In some cases, specialized server-side processing is required to extract the necessary data and a location is needed from which to execute this server-side logic. In all of these cases, some sort of database server capacity is needed to accomplish the task.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: February 1999 to April 1999

Technology Used: This effort will need a database server to house the data tables and the stored procedures and functions necessary to respond to the ad-hoc query/data/report requests that fall outside of the capabilities of our standard tool set. This platform should have the capacity to handle several projects at a time where each project could require several very large tables (approximately 20gb) and up to five users with appropriate user security levels and data security.

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: None

Expected Benefits: The Bureau gains the capability to produce data reports or data sets in response to requests that exceed the normal Bureau capabilities. In some cases, these requests are required by the Federal Government or by the courts as part of the settlement of a lawsuit. Often, these are just requests from BMS Staff, from other State agencies, or from private organizations to whom the Bureau management has decided to allocate Staff resources. The substance of these requests is unpredictable, so it is difficult to identify specific cost savings or cost avoidance in advance.

Initiative: Bureau IT Infrastructure

Business Function Affected (Description): Ongoing maintenance on IT infrastructure required to support existing and planned Bureau IT initiatives including ongoing maintenance/support contracts for major systems, infrastructure software, ongoing maintenance on the LAN backbone capacity, ongoing maintenance on file server capacity, enhancements/changes to existing voice response systems, ongoing maintenance on the Bureau's fleet of workstations, and ongoing support for the Claims Processing System (MMIS) and its modules, as well as MECAPS, MMDSS, ImmPact, and MeCare.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 3+ years

Estimated Development Time: Not applicable

Technology Used:

Ongoing maintenance contracts for infrastructure software

HP Unix application server maintenance yearly

Tuxedo license seats yearly

Oracle license seats yearly

Ongoing maintenance on LAN backbone capacity

hub replacement (switch 20,000)

management workstation (hardware 10,000 – software 7,000)

Ongoing maintenance on file server capacity

additional file server for Access files

additional DLT tape drive for file server backups

Ongoing maintenance on Bureau workstations

laptop upgrades

desktop upgrades

Ongoing contract support for the Bureau's systems

MECAPS, MECARE, IMMPACT, AND MMDSS

Required changes and enhancements to the BMS voice response system.

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: None

Expected Benefits: This will allow the Bureau to continue to support existing IT initiatives and to implement new IT initiatives.

Initiative: MeCare Maintenance and Support

Business Function Affected (Description): This is an ongoing initiative to provide support for the MeCare application, and to maintain the MeCare infrastructure. System support is provided through a contract with Keane, Inc., for four departmental systems (MeCare, MeCaps, MMDSS, and ImmPact.) This support is essential to the maintenance of departmental functions performed by each system. Included in this initiative is knowledge transfer to Department staff in order to facilitate integration of this support function into DoTS mission. Ongoing equipment replacement is required to maintain functionality in the field. System performance issues will be addressed through this contract.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 7 years

Estimated Development Time: Not applicable

Technology Used: Hardware: 15 laptop computers, Software: Oracle, VB, Tuxedo, C++, Crystal Reports, ODBC, and Platinum

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: None

Expected Benefits: This initiative protects and ensures the ongoing operation of systems in which the department already has a substantial investment.

Initiative: PrimeCare Quality Management System

Business Function Affected (Description): The program is designed to improve the quality of service provided to Maine Medicaid recipients. This system will allow the Maine PrimeCare Unit to administer the program through enrollment, education of providers, assignment of Primary Care Providers, and recruitment of providers. The Quality Management Unit will monitor the Utilization review for the Maine PrimeCare program and provide quality oversight through the development of reports and data trending.

Relationship to Agency's Strategic Business Plan:

Estimated Life: 5+ years

Estimated Development Time: June 2000 to June 2001

Technology Used: Hardware: 10 desktops, 4 laptops, 1 color printer, 1 fax machine, 1 color photo copier, Oracle server, Software: Oracle, SQL, SAS

User Community Impact:

Alternatives That Were Considered:

BIS Service Impacts: None

Expected Benefits: The Medicaid recipients will benefit from the improved quality services. The providers will be treated more fairly and equably.

Initiative: EBC System

Alternatives That Were Considered, and Why They Were Rejected: Continuation of the current system is not a viable option. The current system was developed by an outside contractor that is no longer in business. The system is now over five years old and has not been updated to be compatible with existing technology. It was written in Power Builder, a development tool with limited use in state government, and therefore there is no technical support available. We are unable to modify the system to make needed enhancements such as collecting new data elements or modifying the formats of export files. Even maintenance of the current system is questionable because technical support is not available to repair corrupt database files if that should occur.

BIS Service Impact: We are currently in discussions with BIS to develop a new EBC system. We will soon be entering a Service Level Agreement for an analysis of the system requirements. Preliminary discussions with BIS have indicated that a web-based application might best meet our needs.

Expected Benefits (Including any savings to accrue): 1) A reliable system that will ensure continued service to the public and allow us to fulfill our responsibility to register all live births. 2) A flexible system that can be modified to meet changing system requirements and that can be updated to remain compatible with existing technology. 3) More efficient exchange of information with data users (NCHS, SSA, BMS, Immunization, Newborn Screening). 4) More efficient interface with office data systems (adoption system, PRAMS).

Initiative: Optical Imaging System

Business Description: An imaging system is currently in place at the Office of Vital Records. The current system has been plagued by problems since its inception, including hardware configuration issues, a corrupt system index, and lack of training. The original plan to scan the 3.5 million historical records located in the vault has been deemed overly ambitious and has been scaled back. Vital Records is now scanning current records of deaths, marriages, divorces, amendments and other documents totaling about 45,000 records per year. Historical records will be scanned as time allows. Although functional, the system continues to exhibit problems, necessitating either upgrading or replacing hardware/software components.

Relationship To The Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality.

Estimated Life: 5+ years

Estimated Development Time Period (begin/end): February 2000 – February 2001

Technology To Be Used (hardware, software, languages, etc.): Specific technology employed will be determined via contractor. General requirements include need for: High Speed Scanner, Server, Server software, Jukebox software, Input and retrieve software

User Community Impact (training needs, parallel operations): Potentially significant user impact. Vital records staff will be part of the development team for the new system while continuing to work on the old system. Additionally, when the new system is implemented there will be training needs.

Alternatives That Were Considered, and Why They Were Rejected: Two alternatives are being considered. The first option is to keep the current scanning system, but upgrade the operating software. The scanning software (Serview) and server are no longer compatible with current technology (Windows 95/98 and Novell 4.11). The second option is to include this requirement on the DHS wide imaging/archive contract for which an RFP is currently under development.

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): Minimal

Expected Benefits (Including any savings to accrue): A reliable system that will ensure continued service to the public. A flexible system that can be modified to meet changing system requirements and that can be updated to remain compatible with existing technology.

Initiative: OHDPM Web Page

Business Description: Redesign and maintain a web page for the Office of Health Data and Program Management. The web page will be updated to a more user-friendly format. Data will be updated and posted on the website regularly, enabling the public to have access to accurate data in a timely manner.

Relationship To The Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. It also relates to the objective to ensure service's outcomes are achieved at or below budgeted cost.

Estimated Life: 5+ years

Estimated Development Time Period (begin/end): February 2000 – December 2000

Technology To Be Used (hardware, software, languages, etc.): Specific technology determined by developer, will likely include FrontPage web design software and HTML

User Community Impact (training needs, parallel operations): Not applicable

Alternatives That Were Considered, and Why They Were Rejected: Not applicable

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): Increased WAN traffic

Expected benefits (Including any savings to accrue): 1) A reliable system that will ensure continued service to the public. 2) A flexible system that can be modified to meet changing system requirements and that can be updated to remain compatible with existing technology. 3) Customer (public) access to OHDPM data 24 hours a day.

Initiative: Operations and Maintenance

Business Description: Software and hardware purchases and upgrades that may be necessary to conform to state standards and to meet the operational needs of the office. On-going maintenance of current systems is also included in this initiative.

Relationship To The Agency's Strategic Business Plan: This initiative relates to the DHS strategic objective to ensure DHS services are of good or excellent quality. Maintaining reliable computer systems also relates to the strategic objectives to reduce the infant mortality rate and to reduce the mortality rates from chronic disease/infectious disease, injuries and environmental causes. Maintaining the vital statistics computer systems ensures that data to measure these rates are available and reliable.

Estimated Life: 5+ years

Estimated Development Time Period (begin/end): ongoing

Technology To Be Used (hardware, software, languages, etc.): Desktop PCs, laptop PCs, standard office software products

User Community Impact (training needs, parallel operations): Training required on new standard office software to realize benefits. Ability to transition to new software while maintaining historical information is critical (i.e. ability to access cc:Mail archival info after the migration to Exchange)

Alternatives That Were Considered, and Why They Were Rejected: No viable alternatives to upgrading if current technology precludes ability to accomplish mission.

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): Minimal

Expected Benefits (Including any savings to accrue): A reliable system that will ensure continued service to the public. A flexible system that can be modified to meet changing system requirements and that can be updated to remain compatible with existing technology.

Health Engineering, Division of
Submitted by: Mary Marston
Date Revised: March 2000

Introduction: The purpose of the Division of Health Engineering is to preserve, protect, and promote the health and well being of the population through the organization and delivery of health engineering related services designed to reduce the risk of disease by (1) controlling environmental hazards to human health; and (2) promoting health and wellness through education and access to technical health engineering professionals. Located within the Department of Human Services, Bureau of Health, the Division of Health Engineering has responsibility for protecting public health through engineering provided services and oversight. The Director of the Division of Health Engineering is the State Liaison to the U.S. Nuclear Regulatory Commission and to the U.S. Consumer Product Safety Commission.

The Division of Health Engineering has historically been ahead in its automation endeavors. The Division migrated from the mainframe to a local area network in 1981. Since that time giant leaps in automation have been taken. In keeping with the overall goal of practical automation to establish and maintain greater productivity, improved effectiveness and enhanced customer service, the Division has established the following key objectives for FY 1999 and 2000.

The Division Director, program managers and sections heads have input into the IT Plan. The Division Director reviews the plan before it’s sent on to the Bureau's Director and Deputy Director.

Division initiatives tie into the Maine Department of Human Services Strategic Plan Objective D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Initiative: Operations & Maintenance

Business Description: The division will continue to update/upgrade existing automation capabilities as necessary. This includes the purchase of networking software and/or desktop software necessary to carry out our agency mission effectively and efficiently.

Relationship To The Agency's Strategic Business Plan: Objective D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries, and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: Ongoing

Estimated Development Time Period (begin/end): Ongoing

Technology To Be Used (hardware, software, languages, etc.): Operating system(s) – (Currently Windows 95 and NT Workstation 4.0) As desktop upgrades are done we will purchase NT Workstation 4.0 Networking – Windows NT Server 4.0 Desktop PC's – purchases will meet the DHS minimum standard requirements Software – MS Office Professional, SmartDraw Professional, Oracle

User Community Impact (training needs, parallel operations): Users may need training to bring them up to speed when we do a software upgrade. Training manuals are purchased and made available to them. The switch from the desktop OS of Windows 95 to Windows NT is almost transparent to the user.

Alternatives That Were Considered, and Why They Were Rejected: N/A

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): This division is supported by an ISSS.

Expected Benefits (Including any savings to accrue): This allows us to best utilize our staff time and provide timely services to the public. Newer technology also aids in our ability to meet Federal Government reporting requirements in a more efficient manner.

Initiative: Source Water Assessment Project

Business Description: Conduct a statewide assessment of threats to public water supplies, including over 2200 water supply sources. Collect and evaluate geo-located data about land use activities within the watersheds/contributing areas of these supplies. Prepare reports, maps, and a web site describing the results of the assessment. Conduct public education about the results of the project.

Relationship To The Agency's Strategic Business Plan: Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 3 years

Estimated Development Time Period (begin/end): January 2000-June 2003

Technology To Be Used (hardware, software, languages, etc.): Software: ArcInfo 8, ArcView 3.2 or later, Avenue, Microsoft Access, Microsoft FrontPage, ESRI Map Server or equivalent, SDWIS Oracle database. Hardware: GPS receivers, laptops, laptop projector, desktop graphics workstations, web server

User Community Impact (training needs, parallel operations): This is a new project. There will be a learning curve in the use of some of the software required to complete this project.

Alternatives That Were Considered, and Why They Were Rejected: N/A

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): Project will be conducted and supported In-house, except for Map-site development, which will be contracted. The expanded web pages are likely to increase WAN traffic. InforME may be impacted as far as the web page development or certain aspects therein.

Expected Benefits (Including any savings to accrue):

Provide a unified picture of the state of public water supplies to the Program, systems, and the public

Allow for prioritization of assistance, compliance and enforcement efforts.

Improve public awareness of the nature and fragility of the water supply system.

Fulfill EPA requirements for the use of federal resources.

Improve efficiency and effectiveness of water resource management both locally and statewide.

Initiative: Conversion from dBase III Plus to Oracle

Business Description: Conversion of the Division's old dBase III Plus databases over to Oracle.

Relationship To The Agency's Strategic Business Plan: Relates to D2: By 2000, reduce morbidity and mortality caused from chronic disease/infectious disease, injuries and environmental causes according to targets established in Healthy Maine 2000.

Estimated Life: 3 years

Estimated Development Time Period (begin/end): January 1999-January 2002

Technology To Be Used (hardware, software, languages, etc.): Software: Oracle, Microsoft Access, SDWIS/STATE, Hardware: New Oracle SDWIS/STATE server, UPS

User Community Impact (training needs, parallel operations): This is a project in progress. Data modeling has been started. There will be a slight learning curve for users in getting to know the new product. We will run parallel systems until we know that the data has been moved successfully. Oracle DBA training will be necessary for several individuals. Personnel from the US EPA will be conducting SDWIS/STATE training for use of their product after the new server is set up and Oracle is installed and tuned.

Alternatives That Were Considered, and Why They Were Rejected: The alternative is staying with our current system. The technology is old. Our menus are DOS driven and slow. Moving to Oracle will make data access faster and much more secure.

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): Project will be conducted and supported In-house and with contracted services from Stroudwater Technologies. We've asked for and received help from DoTS Staff, namely Peter Clark, for technical assistance with loading and tuning the Oracle software. The federal government will be installing the SDWIS program.

Expected Benefits (Including any savings to accrue):

Increased data integrity and security

Federal reporting done in a more efficient manner using SDWIS/STATE program

Standardizing and sharing data between all the Division's programs

Cleaner looking reports

One database rather than many small ones

Web based searches of our database

Provide the public with web access for licensing, registration and payment

Health and Environmental Testing Laboratory
Submitted by: John Kreuger
Date Revised: March 2000

Introduction: The HETL IT Plan has been developed in response to demands and needs from different state and public and private agency needs. Integrated data delivery has partnered laboratory capabilities with DoTS and other divisions in the Bureau of Health and other State agencies that use our data. HETL data is directly associated with analytical testing that the lab

performs. This analytical testing is again directly associated with agency strategic plans and performance based budgeting, since these analytical tests form the objective basis for these markers. Typically, HETL IT plans are created in cooperation with the agencies requesting tests and with DoTS staff to determine feasibility of our response. Components of the HETL Plan:

Laboratory Information Management System (LIMS) to manage throughput and laboratory analytical data; LIMS Hardware must be included in this component

Laboratory workstation PC's, software and hardware

Laboratory Instrumentation Hardware and Software

Laboratory Services Software-Purchasing, Accounts/Receivables, Insurance Claims

Initiative: LIMS (Laboratory Information Management System) Upgrade

Business Description: The current LIMS was purchased in 1988 and upgraded several times in the 1990's. The original purchase was the result of a systems analysis with DoTS and significant interaction with the HETL management team. The current system includes a HP UNIX 9000 with supporting contracts for hardware and Unix software and a LABUX LIMS package supported by Agilent Technology.

The LIMS provides the mechanism to log in all samples/specimens, provide throughput tracking of all requests, reporting of data electronically and on paper, statistical analysis of data, the mechanism for billing, and archival of all data. This system has become a key element of the HETL's management of samples. These samples not only provide the basis for approximately 75-80% of laboratory revenue, but are also the basis for documenting performance objectives for the lab and our "clients".

Relationship to The Agency's Strategic Business Plan: The LIMS systems provide the mechanism to measure the overall product of the laboratory. Data from scientists and instrumentation is feed into this system to supply the necessary outputs to the department's needs for health and environmental and forensic and enforcement oversight.

Estimated Life: The current system will no longer be maintained as part of a support agreement after January 1, 2002. After this time, service will be more complex. The separation of HP from Agilent has added to the complexity since, Agilent LABUX support is now worldwide, with the central office in Europe. The system should last well past the 2002 date, but in comparison with new technologies for data collection and integration, this system is becoming old and unfriendly. The HETL would like to have a new system in place before this expiration date. Additionally, the HETL would desire to archive LABUX data into the new replacement system.

Estimated Development Time Period (begin/end): There are several commercial products on the market. The HETL has not developed exact specifications for vendors to bid on, partly because the technology is changing so quickly. A private system employed by other New England States offers some advantages because many functions have been worked out.

CDC is offering a "free" LIMS system called LITS Plus. The system offers many features desired:

- Browser and client server based data entry and query
- Flexible ability to create modules
- Language translation engine
- Spreadsheet capability
- Epi Data Analysis
- Electronic Data Import—HL7 reader, IPX
- Ability to link to OLE compliant graphics and geographical information systems
- Long term serviceability, CDC and a Private Contractor (TRW)
- Pyramid reporting
- High security
- Maine is a beta test site for this and is expecting to implement parallel testing by spring of 2000.

Beta testing should last until fall, at which time the HETL must decide to go full speed with the LITS Plus or begin the process of going to bid with a private vendor. States that have built there own LIMS in-house are rare and have expressed disappointment with high costs, loss of key staff, and long time frames.

Technology To Be Used (hardware, software, languages, etc.): Oracle client for Novell, server or a Unix minicomputer environment, Powerbuilder front-end interface.

User Community Impact (training needs, parallel operations): A web-based system that is capable of networked oracle database availability should provide improved service to our clients. The current system will run until a new system is completely operational. Many of the time consuming problems to be solved are providing specific login modules, import of data from laboratory acquisition systems, reports, queries, and connectivity to other systems (DEP, DHE etc.).

Alternatives That Were Considered, and Why They Were Rejected: Other alternatives have not been thoroughly evaluated. Both Massachusetts and New Hampshire’s environmental laboratories have utilized a vendor-LabVantage (908-707-4100).

BIS Service Impact: The HETL is still exploring the new concept of obtaining support from DoTS. Since we have given up all of our computer support, Maine's lab is quite unlike most labs by having not internal computer support by people familiar with scientific testing. New help with PC's (hardware) and desktop service and our servers has been helpful. The lab needs to have a service contract for the specific LIMS application. This sort of support is not reasonable to expect through BIS or DoTS

Expected Benefits (Including any savings to accrue): Clearly, a CDC "free" system would provide financial savings. The HETL has such inadequate financial support that there may be little other option. Any extra "cash" (that usually comes at the cost of reduced staff, safety, or supplies) usually goes back into safety or the building. Since we have no staff to develop a system, a CDC network of LIMS systems may provide the needed resources. Questions and support can be provided through CDC, TRW, and other states using LITS Plus. The next several months of beta testing should serve as a unique opportunity to determine if an outside vendor is required. In the event that LITS Plus does not work out, the experience should at least help to determine the specifications for another system.

INLAND FISHERIES & WILDLIFE, DEPARTMENT OF INFORMATION TECHNOLOGY PLAN

Submitted by: Danny Morris
Date Revised: March 1, 2000

Introduction: This plan covers the critical needs of IF&W for IT for the next three years. The plan has been developed by a combination of an internal IT management group, outside consultants, and feedback from Department field staff.

Initiative: Sportsman's Licenses, Registrations, and Permits Sales and Issuances

Business Function Affected (Description): Sportsman's licenses, Registrations, and permits sales and issuances. IF&W had a consulting firm evaluate our current manual systems, surveying sales agents and customers, and researching current technologies and methodologies for point of sale systems. As a result of their studies IF&W has designed a re-engineered sales, issuance, and fulfillment system and has issued an RFP to determine the costs of the various components of the completed system. Based on costs of similar systems in other states we have requested a $2.5 million appropriation in the supplemental budget to cover the cost of development and implementation of this system.

Relationship to the Agency's Strategic Business Plan: The Department's strategic plan calls for the reengineering and implementation of an automated licensing and registration system by 2001. The BIS mainframe housing most of our registration and licensing software is to be eliminated in June 2001. This is added an additional urgent need for us to reengineer and move our systems to some other platform.

Estimated Life: 5 years plus two possible one-year renewals

Estimated Development Time: Development scheduled to begin in May 2000. The full system is to be on-line by December 1, 2001.

Technology Used: This is an Internet based, client server solution. Vendors will be specifying hardware, software, and languages required for their solution. Database engines must conform to State standards.

User Community Impact (training needs, parallel operations): A complete training package is part of the solution. Vendors will propose training for IF&W staff as well as our agents around the State.

Alternatives That Were Considered: Dedicated point of sale equipment with leased lines or dial up to a modem pool and central server were considered. Our agents rejected the idea of additional hardware being mandated for a system to be used in their offices so we opted instead for the Internet-Web browser based design. By using the Internet we also save on maintenance and support costs.

BIS Service Impact: Vendors have been encouraged to partner with BIS for server hosting. If such hosting is chosen an SLA will be made with BIS to host (but not support) the server for the system.

Expected Benefits: A point of sale licensing system has long been a goal of IF&W. Charles Colgan at the Muskie School of Public Service and Burgess Business Systems of Bath, Maine has researched the return on investment. These ROI studies demonstrate that IF&W could realize actual savings on such a system. Additional benefits include improved customer service, a reduction in the number of pieces of paper needed to maintain the system, improved resource management and law enforcement, better enforcement of statutory requirements such as limitations on issuing licenses to those behind on child support, and a flexible system that can efficiently handle license and registration changes mandated by law.

Initiative: Conversion to MS Office 2000 and MS Exchange/Outlook

Business Function Affected (Description): Conversion to MS Office 2000 and MS Exchange/Outlook

Relationship to the Agency's Strategic Business Plan: The Department's plan calls for the Bureau of Administrative Services to provide the Department with administrative support.

Estimated Life: 5+ years

Estimated Development Time: 3 months: April, 2000 – July, 2000

Technology Used: MS Office, MS Exchange, Dell server to be purchased, existing and replacement desktop PCs

User Community Impact: Some employees are currently going to training for parts of the Office Suite. We have also designed a special class for managers to introduce them to the new features in the suite. We will also pursue a "train the trainer" model to get training to all of our field staff.

Alternatives That Were Considered: Lotus Domino/Notes was also considered. It appeared to be more expensive than Exchange and did not fit the strategic direction in which the State is headed.

BIS Service Impact: WAN, servers, MF, remote access points: The proposed conversion from ccMail should relieve some of the demand on the State's WAN since Exchange makes more efficient use of the network than ccMail. The Exchange server will most likely be at Department headquarters in Augusta. E-mail will be on all Department desktops around the State. Approximately 7 desktops at regional hatchery offices may need dial-up access or, ideally, the ability to access state e-mail via a local ISP (one of the publicised benefits of the new firewall).

Expected Benefits: We are nearing the end of ccMail's product lifespan. With each "improvement" to the underlying software the product has become less stable, uses resources inefficiently, and requires more management time. Because of the software's method of handling messages there is a greater load on limited network resources. Lotus SmartSuite has never been a stable product and offers more limitations than advantages to the user. Consequently IF&W anticipates a conversion back to Microsoft's Office suite and Exchange will give us a more stable software platform, a data base package that will permit shared and replicated data files (eliminating the need for multiple copies of similar databases in Approach), and an e-mail platform that makes more efficient use of the WAN, the desktop, system administration, and the user's time. The software will also move the Department out of the niche product arena and into a more compatible position with the majority of PC users in and out of State government.

Initiative: Technology Upgrade

Business Function Affected (Description): Replacement/upgrade of existing technology

Relationship to the Agency's Strategic Business Plan: Improve the efficacy of Department owned systems.

Estimated Life: 3

Estimated Development Time: Present through 2003

Technology Used: Standard desktop PC's, file servers, printers.

User Community Impact: Minimal

Alternatives That Were Considered: There are few, if any, alternatives to replacing Information Technology.

BIS Service Impact: None

Expected Benefits: The Department is attempting to move to a three to four year replacement cycle for desktop PC's, and a four to five year replacement cycle for printers and file servers. As funds become available (through appropriations, saving, or from other sources) managers will seek to replace their oldest hardware with new desktops. Currently the Department has about 100 desktop PC's, two file servers, and 50 printers that need to be replaced. Once the oldest PC's and printers are replaced we will try to move into a fixed replacement cycle for the next biennium. By replacing hardware on a regular schedule IF&W can avoid last minute scrambles to find large sums of money to replace substantial numbers of older machines. It will also enable us to stay somewhat current with the State's desktop standards.

LABOR, DEPARTMENT OF
INFORMATION TECHNOLOGY PLAN

Submitted By: Steve Campana
Date Revised: April 21, 2000

Introduction: The Maine Department of Labor's (MDOL) plan components were initially identified through the IT project status report mechanism developed for Labor's Information Services Policy Board (LISPB). The preliminary listing was then shared with key MDOL business unit representatives to ensure completeness. The actual content listed under each initiative was developed in correlation with defined business plans. The correlation between individual initiatives and the Department's Strategic Plan for Performance Budgeting is identified in the individual initiative narrative.

Initiative Summary

Bureau of Unemployment Compensation

1. UI Re-engineering

2. Tax Rewrite

Bureau of Employment Services

3. One-Stop Phase II

4. Welfare-to-Work

Bureau of Labor Standards

5. Policies and Procedures Repository

6. Small scale Imaging

7. Integration of GEN II and WCB

8. Segregation of GEN II and NT Server

9. Integration of GEN II and the Data Warehouse

10. GEN II Phase II

Bureau of Rehabilitation Services

11. ORSIS

Labor Market Information Services

12. Performance Accountability and Customer Information

Division of Administrative Hearings

13. ProLaw

Department (State)

14. Time and Attendance

Cooperative Agreements with other State Agencies

15. Department of Economic and Community Development Systems

16. Mental Health, Mental Retardation and Substance Abuse Case Management System

17. Workers' Compensation Board System(s)

Cooperative Initiatives with Non-State Agencies

18. Integrated Community Action Program System

Department

19. MDOL Systems

20. E-Commerce

21. Maintenance and Upgrades

Initiative: UI Engineering

Business Function Affected (Description): The Bureau of Unemployment Compensation (BUC) primarily fosters economic security by providing income protection to unemployed people. BUC's service delivery structure and utilization of information technology systems have experienced significant changes since 1997. In July of 1997, a transition to a statewide call center delivery model was completed, replacing a system consisting of 15 smaller local offices. In November of 1998, a transition from mainframe to client/server was completed for the Benefits Payment System. The client/server migration provided Y2K compliance, allowing us to process benefit year ending (BYE) dates of 2000. A replacement imaging system is also being installed to replace a non-y2k compliant platform.

The next phase is a re-engineering of BUC operations. This re-engineering is necessary to optimize the workflow and enhance service delivery. The re-engineering includes applications development, telephony (such as telephone continued claims), and imaging. We are also in the beginning stages of looking at taking claims over the Internet. Given the expanded scope the need for an additional staff resource in FY'01 is anticipated.

Relationship to the Agency's Strategic Business Plan: This initiative meets the criteria set in Goal C: Economic Security, of the Department's Strategic Plan for Performance Budgeting.

Estimated Life: The estimated life for this system is at least 5 years.

Estimated Development Time: The systems development process is scheduled to begin May 2000.

Technology Used: Oracle, Lucent, and Centurion

User Community Impact: A training impact is anticipated. The precise training needs will become more apparent once the design is completed.

Alternatives That Were Considered:

BIS Service Impact: WAN: very little impact anticipated FY'01. If Internet claims are incorporated this could result in more traffic entering the WAN. DOL has a 100 Mbps fiber connection to BIS. Any Internet claims impact can easily be handled in that link; the only other area impacted would be the actual Internet link. There would be no statewide traffic. LD180 requires agencies to plan for Internet transactions, so DOL's impact on the Internet link should not be out of proportion with the requirements of other agencies at that time.

Expected Benefits: Reduced staff time in processing claims, faster access to information, error reductions. Quicker turn around time for claimants.

Initiative: Tax Rewrite

Business Function Affected (Description): The Bureau of Unemployment Compensation (BUC) primarily fosters economic security by providing income protection to unemployed people.

The tax application consists of quarterly wage, status, contributions, leasing, delinquency, and RQC modules. The platform now used for tax consists of a combination of character-based Progress 4GL applications on a SCO Unix-based server and applications on the Unixware client-server system that replaced our mainframe.

A rewrite of the current tax/wage records system is currently under discussion. As discussion evolves and further analysis takes place, a decision will be made whether to perform the rewrite in-house or through an outside vendor.

Relationship to the Agency's Strategic Business Plan: This initiative meets the criteria set in Goal C: Economic Security, of the Department's Strategic Plan for Performance Budgeting.

Estimated Life: The estimated life for this system is at least 5 years.

Estimated Development Time Period: The development timeline has not yet been set.

Technology Used: Oracle

User Community Impact: Some training impact is anticipated, based on the system changes that take place.

Alternatives That Were Considered: Alternatives being considered are in-house development, 3rd party development, or some combination of the two.

BIS Service Impact: Minimal impact to WAN anticipated. All users other than "casual" ones are located on the same LAN as their server.

Expected Benefits: Streamline of tax system with benefits payment system and to Maine Revenue Services.

Initiative: One-Stop Phase II

Business Function Affected (Description): The Bureau of Employment Service helps Maine people find jobs through statewide recruitment, placement, training, and career counseling and helps Maine employers find qualified employees.

The goal of the One Stop Operating System (OSOS) initiative, which began in December of 1997, was to analyze the automation requirements of the new one-stop centers by maximizing the role of technology as a tool both for staff use and self-directed customer access. The deployment date for OSOS (Phase I of the project) is scheduled for 3/20/00.

Phase I of the project was not designed to satisfy all the long-range goals identified during the development process, instead these items will be addressed in Phase II. Phase I will involve upgrading IT infrastructure and replace, enhance, and integrate the functionality of seven separate systems (Comprehensive Information Management System, Job Service, Work Opportunity Tax Credit, Bureau of Visitation Program, Apprenticeship, Resource Center, and Governor's Training Initiative) currently deployed.

The OSOS process involved a structured approach, including an IT design group, oversight group, and sub-groups, which concentrated on key functional areas. Testing and training groups consisting of field staff were also formed to provide necessary feedback and product knowledge as the final development neared completion. Once OSOS is deployed and stabilized, Phase II will begin to enhance flexibility, achieve true workflow integration and develop Internet-based self-directed access.

Relationship to the Agency's Strategic Business Plan: This initiative meets the criteria set in Goal A: Every person can find employment that meets his or her career and economic aspirations, and every Maine employer can find qualified employees, of the Department's Strategic Plan for Performance Budgeting.

Estimated Life: The estimated life for this system is at least 5 years from the March 2000 deployment date.

Estimated Development Time: The beginning of Phase II will be determined in part from the results of the 3/20/00 deployment. As such, a specific start date for Phase II has not been set.

Technology Used: Hardware: Windows NT 4.0 (Citrix) (distributed application servers), Unix (distributed database servers) Software: Progress (4GL)

User Community Impact: The majority of the training will be related to Phase I of the project (initial deployment). Some additional training impact is anticipated for Phase II.

Alternatives That Were Considered, and Why They Were Rejected: Federal-based systems were considered, but not selected due to their limited interfacing capabilities.

BIS Service Impact: Phase I involves replacement of existing IT infrastructure (e.g. servers, software) in locations throughout the state. As Phase II develops, remote access by clients is expected to increase.

Expected Benefits: Automated systems more closely resemble true office workflow, transition to GUI, common intake, and increased public access/self-directed capabilities.

Initiative: Welfare-to-Work

Business Function Affected (Description): Moving people from welfare to work is a primary goal of this program. Recent legislation authorizes U.S. Department of Labor to provide

Welfare-to-Work grants to state and local communities to create additional job opportunities for the hardest to employ recipients of Temporary Assistance for Needy families (TANF).

The plan is to electronically connect the computer systems of the Department of Labor, Department of Human Services and local communities to facilitate providing eligible recipients with job placements services, transitional services, and other support services.

Relationship to the Agency's Strategic Business Plan: This initiative meets the criteria set in Goal A: Every person can find employment that meets his or her career and economic aspirations, and every Maine employer can find qualified employees, of the Department's Strategic Plan for Performance Budgeting.

Estimated Life: The estimated life for this software solution is at least 5 years with the understanding that the initial grant will be ultimately incorporated in the Workforce Investment Act.

Estimated Development Time: July 2000-June 2001

Technology Used: Hardware: (1) Data Base Server; (2) Citrix or Thin Client Servers Software: Windows NT Terminal Server, Secure ICA, Windows interconnection, Citrix Metaframe Language: PROGRESS (4 GL)

Note: The plan is to merge client information from the 2 departments and any local community systems onto a common data base server. The shared data would then be accessed with just a browser from anywhere on the network. Outside entities would be allowed access through the State's firewall. In addition, job placement software and regional databases would connect to each other for a totally seamless delivery of service. Citrix allows each Agency's specialized software to run native under the browser. This approach should serve as a model for any initiative involving different systems to share clients electronically while preserving their own software approach.

BIS Service Impact: WAN: very little impact to the WAN due to the use of Citrix exclusively.

Remote Access: Firewall permissions will be requested for each participating outside Agency.

No other BIS involvement.

Expected Benefits: 1) Expanded coverage to the client by integrating delivery of service, 2) Ease of deployment and maintenance by only requiring a browser to operate, and 3) Ability to shadow screen usage in order of providing assistance to outside users

Initiative: Policies and Procedures Repository

Business Function Affected (Description): The Bureau of Labor Standards (BLS) promotes a healthy, safe, and fair workplace, as well as cooperative employee-management relations through consultation, inspections, and enforcement. The Policies and Procedures Initiative was conceived

about 5 years ago when the current Director came in and requested summaries of the Bureau's and Department's Policies and Procedures and anything the Bureau had was variously scattered about in files and in word processor documents or was missing entirely. The idea is to get all the Bureau's policies and procedures in one place or linked in one place and get those that are not written in writing and into this system. Lastly the Bureau's process and system would become a prototype for the Department's version of the same initiative, if it didn't directly evolve into it itself if it were capable. So far the Bureau has contracted with PCW (Price/Coopers/Waterhouse) to start help us identify the scope of the problem and list software and a platform on which to do the work and integrate with our current systems.

Relationship to the Agency's Strategic Business Plan: As we become more intensive in the enforcement and intervention we need to be very consistent in our policies and procedures to stand up to any charges of singling violators out or otherwise being unfair or inconsistent. This means carefully setting and following policies and procedures. This is only possible if everyone in the Bureau and later in the Department simultaneously and on demand can get hold of the applicable policy or procedure. Among other features we required extensive indexing and linking capabilities for the software involved in this process. This initiative meets the criteria set in Goal B: A culture that fosters employee management cooperation, protects employee rights, and ensures a safe, healthy workplace, of the Department's Strategic Plan for Performance Budgeting.

Estimated Life: One specification we made is that this product needed to be able to propagate and continue into other products as the computer environment continually changes and evolves. The content of the system has to be able to be preserved usefully well into the future although the hardware and software components may evolve into other versions and generations. With all that our goal is to have a consistent, long-lasting knowledge base.

Estimated Development Time: Phase I to get specifications and a summary of the work needed to be done is completed and we are awaiting the start of another phase to proceed and acquire the software. That should be completed by this summer and then the actual work assembling the completed pieces and writing up the missing pieces will begin after that. The project will then go into maintenance mode which will involve putting any new rules, policies and procedures in as they are developed and retiring those that are replaced or no longer needed as a result of law changes.

Technology Used: Hardware: Existing Windows Servers and Clients. Software: To be chosen.

User Community Impact: Some additional training is definitely anticipated. Should make enforcement and answering questions from the public easier for the Bureau users as moist of the answers will be in the one repository versus scattered over several.

Alternatives That Were Considered: One alternative rejected was to house the repository as part of the Gen II project. It was decided an off-the-shelf product could be used much faster and more efficiently. We are hoping we can develop hooks into the Gen II if/as needed and that was another specification we requested.

BIS Service Impact: WAN: very little impact anticipated, as it will mostly be run over the LAN. If the project goes department-wide however the impact will need to be reassessed.

Expected Benefits: Streamline and document rules, policies, and procedures processing to make processing them less labor-intensive. Integration of remaining workflow elements to make the process seamless. Hope to integrate content to WEB at some point to make portions publicly available.

Initiative: Small-scale Imaging

Business Function Affected (Description): The Bureau of Labor Standards (BLS) promotes a healthy, safe, and fair workplace, as well as cooperative employee-management relations through consultation, inspections, and enforcement.

The Imaging Initiative was conceived about 1 year ago when the Bureau began remote operations for its field people. Some material they react to comes from handwritten letters and complaints sent in by the public. As it is we mail these to the field people and they have to wait to react. This delays the enforcement intervention and result sin complaints from workers who are awaiting their lifeblood paychecks. The idea is be able to get them an image of a document quickly and easily so it can accompany the Gen II request for service. Additionally we have survey forms and other legally required documents that we would like to keep on had without the bulk and trouble of paper files

So far the Bureau has identified the need and has identified specific situations that the need could be utilized. It is not a critical need at this time so we are proceeding slowly and carefully watching the technology for indications of a quality-appropriate solution. When such a low cost and low-burden solution is identified, we will go forward. In the meantime acquisitions are being formulated with this function in mind. (I.e. new desktop purchases require a minimum 17" monitor now.)

Relationship to the Agency's Strategic Business Plan: The relationship boils down to one of speed. As it is we have to mail these materials, this will allow us to ship images of them along with the Gen II service request and possibly as part of it. Goal B: A culture that fosters employee-management cooperation, protects employee rights, and ensures a safe, healthy workplace.

Estimated Life: We are holding out for a relatively low-tech solution to this and hope the hardware (scanners) will be on a 3 to 5-year schedule and will be high-end off-the-shelf components.

Estimated Development Time: So far we've identified the need and are attuned to watching the technology as it develops in this area.

Technology Used: Hardware: One or more low-capacity scanners and at least one higher-end scanner or the use of a Digital copier. Software: Hoping to integrate into Gen II but if not will need to identify and integrate.

User Community Impact: Additional hardware and use training will be needed. Hardware may parallel photocopier training while software we hope can be integrated in as a Gen II (see) component.

Alternatives That Were Considered: We are in the alternative stage now, keeping an eye out on emerging technology. We did consider integrating into the departments high-end imaging system and that has not been ruled out. The hold up there is the access and cost and the fact that it is mostly a separate system with integration hooks. The integration hooks were ideally suited for an Oracle database but Gen II is now in Progress and so hooks would need to be customized.

BIS Service Impact: Will be some impact in that the images would go out over Shiva or over Shiva via Citrix. Since it is dial in though, anything great would be time prohibitive so the impact on the Wan should be tempered by that limitation.

Expected Benefits: Faster response to situations where paychecks and employee rights is being investigated. Decrease in speed to retrieve and search document. Ability to cross-index and cross-file documents where useful. Less room to store documents. Greater ability to manage and inventory documents.

Initiative: Integration of GEN II and WCB

Business Function Affected (Description): The Bureau of Labor Standards (BLS) promotes a healthy, safe, and fair workplace, as well as cooperative employee-management relations through consultation, inspections, and enforcement.

The WCB/BLS integration comes as part of the cooperative nature of the processes between the two agencies. The WCB Workers' Compensation Board and Bureau of Labor Standards systems are both involved with workplace injuries and illnesses. WCB is charged with monitoring cases and resolving disputes that arise in the course of paying for the damage done. While the BLS is charged with preventing the injuries and illnesses by studying the data from past years and learning from mistake and coming up with intervention strategies to decrease their number and severity and effect.

The Bureau has long done much of its case-specific work on the WCB system and is now seeking to extend it further into employer selection and possibly reversing the favor in hosting their system. A part of Gen II the Bureau has acquired a Unix based Progress host that was configured to a capacity that WCB can also use.

Relationship to the Agency's Strategic Business Plan: As we become more intensive in the work injury enforcement and intervention we need to be consistent in our identification of employers and cases that require intervention and targeting strategies. In this regard it has been very difficult with separate systems to maintain a common database of employers and cases. By integrating the two together to the possible point of co-housing them in the same database, this should be made easier and enable more timely and accurate data. As it is BLS attempts to maintain our own employer database and help them with theirs as well. There were automated reconciliation's that became more and more difficult with the changes in their system. The result

has been that we are entering our data on their system with less that the features and capabilities that we want and with requests for changes and extra work to them for work on their system they don't want. The new integration will allow separate programming on the same system and easier integration where desired. Goal B: A culture that fosters employee-management cooperation, protects employee rights, and ensures a safe, healthy workplace.

Estimated Life: Probably around 5-10 years.

Estimated Development Time: Work is already underway to integrate the employer database of Gen II into the latest coverage programming that WCB is doing. We at BLS are working on cleaning up the data in the employer tables to make it cleaner for use and to make screens and features that are easier to use. We are adopting some of the features of their system and will integrate such things as their employer names into our aliases index so that they can find things named differently on our system. Depending on political and turf issues we hope to complete that by the end of the summer and hope to continue on with programming on the WCB end BLS end to keep things in line and in tune with one another's needs. DOL/BLS can supply WCB with an updated, reliable employer database, and WCB can feed back useful information about the nature, severity, and frequency of Maine work-related injuries and illnesses.

Technology Used: Hardware: Existing Windows desktops, Existing Unix Progress RDBMS Server Software: None. Programming: Much on both sides, all to be provided by DOL/OIP.

User Community Impact: Minimal to BLS since everything will be an extension on existing Gen II. (WCB may be another story.)

Alternatives That Were Considered: The alternatives considered were to maintain separate database but the effort to maintain both or reconcile them periodically was getting to be an impossible burden. The needs of the two agencies (identification and tracking of transactions) are parallel with regards to employers and this is a logical solution to struggling on.

BIS Service Impact: The plan is to house the server at Union Street where the bandwidth is already great enough to enable transactions over the WAN. BLS is already accessing Gen II through Citrix thin client technology and that server will be moved there as well with a savings in simultaneous bandwidth needed f or exchange e-mail. The net effect should be minimal as a result.

Expected Benefits: A common staring point for employer identification will result in the ability to better track the source and frequency of injuries and illnesses in the workplace and enable us to target intervention resources to prevent them and lessen their effect.

Initiative: Segregation of GEN II and NT Server

Business Function Affected (Description): The Bureau of Labor Standards (BLS) promotes a healthy, safe, and fair workplace, as well as cooperative employee-management relations through consultation, inspections, and enforcement.

The bureau already has most of the hardware needed to do this. A small investment will allow use to segregate the components of the Gen II office automation database and the day-to-day NT Server so that should one go down, the other is operational. While they are not redundant, enabling one in the other's absence allows us to continue with different computer work while the other is non-operational. This is mostly possible because we use the NT server for non-common office work and the Gen II database and Citrix server for the repetitive transactions. Since most transactions can be done manually on the NT system it also affords the Bureau a degree of disaster recover should the Gen II server go down for an extended period for any reason.

Much of the planning and preparation has been done for this we are awaiting some extra disk space for the Citrix server to store the archived outgoing Gen II documents.

Relationship to the Agency's Strategic Business Plan: This will enable us to maintain a level of service should one of the two systems be out. Goal B: A culture that fosters employee-management cooperation, protects employee rights, and ensures a safe, healthy workplace.

Estimated Life: 3-5 years

Estimated Development Time: Should be completed by the end of March if the parts come in.

Technology Used: Hardware: 3 hot swappable RAID 5 hard drives for the Citrix Server. Software: To be chosen.

User Community Impact: May need to be some orientation in how to operate differently when one system is out and what is and is not available should one or the other systems go out. If we do it right that should be minimal.

Alternatives That Were Considered: The way it is now when the NT server goes out we have a staff that cannot serve the public as well and has little to do but manual things which with all the automation is reaching non-existent. Commonly the NT Serve is down more than the Unix/Citrix system.

BIS Service Impact: None

Expected Benefits: Ability to continue a level of automated services when the NT server is unavailable. Ability to bring downs the NT server for improvements and still is productive.

Initiative: Integration of GEN II and the Data Warehouse

Business Function Affected (Description): The Bureau of Labor Standards (BLS) promotes a healthy, safe, and fair workplace, as well as cooperative employee-management relations through consultation, inspections, and enforcement.

One way we are able to target our enforcement and consultation intervention is to identify areas and employers where there are hot spots—places we can go to do the most good. We do this by bringing together a vast amount of data from a several sources and combining it to get rates and

frequencies in aggregate for employer, towns, and industry groupings. We do this by using a data warehouse within Gen II and separate from Gen II in an Oracle 8 database co-housed on our Windows NT Server.

That separation is now the problem with Gen II starting up. We have to be able to untie this data to get the whole picture of a particular company—202's wage and employment information, UI Tax's latest name and addresses and ownership, Wage & Hour's violations, etc. The theory is that if they are bad in one area, they most likely are violating in others, so only with an overall view, can you detect situations where the laws are being broken, but no one is complaining.

Relationship to the Agency's Strategic Business Plan: Information integration is key to spotting situations where there are no complaints but there are violations spread over a number of agencies and enforcement areas. Goal B: A culture that fosters employee-management cooperation, protects employee rights, and ensures a safe, healthy workplace.

Estimated Life: 3 to 5 years until the next generation**.**

Estimated Development Time Period (Begin/End): Completion Date is December 2000.

Technology To Be Used (hardware, software, languages, etc.): Hardware: Exists Software: Exists but needs to be chosen what role, if any, each plays.

User Community Impact (training needs, parallel operations): If the processes are manual or involve ad hoc queries, there will need to be training otherwise the system will limit the permutations of the data.

Alternatives That Were Considered, and Why They Were Rejected: There are three identified possibilities, each with limitation and added problems:

1) Integrate the warehouse on the Gen II Progress server as part of Gen II and hope its use does not affect the transactional side of the application and that the limitations of knowing ahead what data manipulations to program in do not overly limit targeting and report possibilities.

2) Integrate the warehouse on the Gen II Progress Server but keep it separate from Gen II. The inter effects of housing a transactional database and a warehouse database are still there, but you are not limited in ability to research the data and use the data to target. Adds a problem of getting access to the data with a new set of tools or a transitioning interpreter between the oracle tools and the Progress database (such as Progress Oracle).

3) Keep the two as they are but feed data from the two databases back and forth as needed. This option enables different environments to be used for each and lessens the need for new software and retraining. It introduces a problem of porting the data from Progress to Oracle for the statistical manipulations and feeding it back to start requests for services. It also introduces a problem of timeliness in that the warehouse will never be "up-to-date" once and extract is run.

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): Definite occasional impact if not co-housed. Extracts transferred from the Progress server on Union Street to the NT/Oracle Server would be substantial from time to time. Might be scheduled and planned to minimize traffic for repeated or non-changing information. Progress client requests may be a problem of not run via Citrix.

Expected Benefits (Including any savings to accrue): Better integration of the data, continuity and preservation of the data in the warehouse. Less time transporting data back and forth.

Initiative: GEN II Phase II

Business Description: The Bureau of Labor Standards (BLS) promotes a healthy, safe, and fair workplace, as well as cooperative employee-management relations through consultation, inspections, and enforcement. GEN II is an integrated system developed in Progress (4GL) that includes modules for all key BLS business operations (Research, Wage & Hour, Safety & Health, Administration, and Customer Service Requests). The GEN II system was deployed in October 1999, which was considered Phase I of the project. GEN II primarily replaced a combination of manual operations and a non-y2k compliant system. Given the Y2K timing and the transition involved, the decision was made to hold off on certain system components until after Phase I was stabilized. Final stabilization of the first phase of the system is currently taking place. A steering group has been formed, meets bi-weekly, and will be the foundation for oversight of continued development.

Relationship to the Agency's Strategic Business Plan: This initiative meets the criteria set in Goal B: A culture that fosters employee-management cooperation, protects employee rights, and ensures a safe, healthy workplace, of the Department's Strategic Plan for Performance Budgeting.

Estimated Life: The estimated life for this system is at least 5 years from the October 1999 deployment date.

Estimated Development Time Period (Begin/End): Phase II work is tentatively scheduled to begin in March 2000.

Technology To Be Used (hardware, software, languages, etc.) Hardware: Windows NT 4.0 (Citrix) (application server), Unix (database server) Software: Progress (4GL) (All these components exist already.)

User Community Impact (training needs, parallel operations): Some additional training impact is anticipated, however the majority of training was related to the deployment of GEN II and has already taken place.

Alternatives That Were Considered, and why they were rejected: An Oracle solution to GEN II was considered. The system was initially prototyped in Progress and after reviewing alternatives with an independent consultant; the decision to continue using Progress was made.

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): WAN: very little further impact anticipated.

Expected Benefits (Including any savings to accrue): Streamline processing to make process less labor-intensive. Integration of remaining workflow elements to make the process seamless. Institutionalization of policies and procedures.

Initiative: ORSIS

Business Description: The Bureau of Rehabilitation Services (BRS) helps people with disabilities to find jobs and achieve full participation in the community through case management, referrals, and sponsored training.

ORSIS is an integrated system developed in Progress (4GL) that manages client information for the Bureau of Rehabilitation Services. Some of the functions ORSIS replaced were manual; the others were previously performed through DHS (required federal data).

The system was deployed on June 30, 1999 and remaining development consists of finalizing the reports. The on-going work on the reports has mainly to do with re-visiting some of the methodology associated with existent reports.

Relationship to the Agency's Strategic Business Plan: This initiative meets the criteria set in Goal A: Every person can find employment that meets his or her career and economic aspirations, and every Maine employer can find qualified employees, and Goal D: To help people with disabilities participate fully in community life, of the Department's Strategic Plan for Performance Budgeting.

Estimated Life: The estimated life for this system is at least 5 years from the deployment date.

Estimated Development Time Period (Begin/End): The system was deployed June 30, 1999. Remaining development is minimal compared to the overall scope of the project.

Technology To Be Used (hardware, software, languages, etc.): Hardware: Windows NT 4.0, Software: Progress (4GL), (All these components exist already.)

User Community Impact (training needs, parallel operations): The majority of training was related to the deployment of ORSIS and has already taken place.

Alternatives That Were Considered, and Why They Were Rejected:

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): WAN: no additional impact anticipated at this time

Expected Benefits (Including any savings to accrue): Automated client management, less labor-intensive, integration of workflow elements.

Initiative: Performance Accountability and Customer Information (PACI)

Business Description:

Business Description: A Wage Record Interchange System (WRIS) is being funded by the Employment and Training Administration of the U.S. Department of Labor. It is developed to assist states with performance reporting requirements and certification of eligible training providers as outlined in the Federal Workforce Investment Act.

WRIS is a system that will allow states to exchange quarterly wage data regarding individuals who have received workforce investment services. Maine's quarterly wage data, to be extracted from the Bureau of Unemployment Compensation's quarterly wage database, will be used to assess state and local employment and training program performances and evaluate training provider performances under the Workforce Investment Act.

The Division of Labor Market Information Services (LMIS) has been designated as the Performance Accountability and Customer Information Agency (PACIA). It is the consumer of WRIS information and is responsible for performance accountability and eligible training provider certification. Various aggregate statistical reports from the wage data received through WRIS will be designed and programmed to assess and evaluate training programs and providers.

Relationship to the Agency's Strategic Business Plan: This initiative is designed to 1) evaluate the performance of workforce investment activities and 2) certify eligible training providers so that the State of Maine can achieve continuous improvement of workforce investment activities. This relates to the Department's Strategic Plan for Performance Budgeting as "Goal A: Every person can find employment that meets his or her career and economic aspirations, and every Maine employer can find qualified employees."

Estimated Life: This system is expected to be ongoing.

Estimated Development Time Period (begin/end): April 2000 to November 2000

Technology To Be Used (hardware, software, languages, etc.): A client/server application will be designed resulting in the use of a new database server (an IBM Netfinity) with Windows NT Server 4.0 and Progress Enterprise Database Server software. Two new client PCs (IBM IntelliStation M Pro's) for Economic Research Analysts will use Windows NT Workstation 4.0 and Progress Client Networking. An existing PC will be use the Progress ProVision development software (4GL).

User Community Impact (training needs, parallel operations): Some user training will be required for familiarity with the application interface.

Alternatives That Were Considered, and Why They Were Rejected: The Department also programs in Oracle and MicroFocus COBOL, and although the wage record database is Oracle, the staff to be involved in developing the system is familiar with Progress and has designed other Progress systems that use the wage record database.

BIS Service Impact: There will be no impact on BIS services.

Expected Benefits (including any savings to accrue): The benefit will be for those who have graduated from training programs that are being evaluated and certified for ongoing improved performances.

Initiative: ProLaw

Business Description: The Division of Administrative Hearings provides hearings and dispute resolution to employers and employees and to other state agencies. In late 1999, the ProLaw software package was purchased and implemented to replace the Appeals Notice System to schedule and maintain Appeals Hearing Notice data. The old Appeals Notice System was updated to make it Y2K compatible to serve as a backup during the transition to ProLaw.

We plan to extend the ProLaw database and document integration will be extended to the field (hearing officers) in FY 2001. We are looking for alternative means to communicate with the field. At this point there is no additional cost for the software associated with this initiative. There may be costs associated with purchasing a Citrix server and it is possible we will run this off the Internet. ProLaw has just installed a portal.

Relationship to the Agency's Strategic Business Plan: This initiative meets the criteria set in Goal C: Economic Security, of the Department's Strategic Plan for Performance Budgeting.

Estimated Life: The estimated life for this system is at least 5 years.

Estimated Development Time Period (Begin/End): The ProLaw system has been implemented.

Technology To Be Used (hardware, software, languages, etc.): ProLaw software. Citrix (potentially)

User Community Impact (training needs, parallel operations): The majority of training has been completed during the transition phase.

Alternatives That Were Considered, and Why They Were Rejected: Alternatives that were considered were in-house development and other 3rd party systems.

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): Extending application to field will mean additional remote access required. This likely will be accomplished through Citrix,

which should minimize impact on the WAN. It is possible we will run this software over the Internet in the future.

Expected Benefits (Including any savings to accrue): Advanced scheduling and reporting capabilities decreased administrative staff time required per appeal.

Initiative: Time and Attendance

Business Description: The Maine Department of Labor is participating in the State of Maine's Time and Attendance Management System (TAMS) project. This system will automate the time collection, reporting, and time allocation process for all departments and agencies within Maine State Government.

Our anticipated contribution to this effort will include providing representatives to the Fit Analysis Group. The purpose of this subcommittee is to determine the objective and scope of the project, clarify and confirm the requirements, assess the efforts needed for the DOT system to meet the requirements, develop a comprehensive timeline, and develop an official project plan.

We also plan to contribute a Systems Analyst (beginning May 2000) to the project and are in the process of working out funding details with the Department of Administrative and Financial Services, Bureau of Accounts and Control for this resource. If the requirements of this project outweigh the combined staff resources provided by participating agencies, another staff resource may be added from Labor.

In correlation with this effort, we are planning to explore mapping our current cost accounting system with MFASIS.

Relationship to the Agency's Strategic Business Plan: This initiative meets the criteria set in Goal E: To ensure the effective operation of the department, of the Department's Strategic Plan for Performance Budgeting.

Estimated Life: The estimated life for this system is at least 5 years.

Estimated Development Time Period (Begin/End): The preliminary deliverable date for an official project plan is mid-April 2000. The completed project plan is scheduled to include a comprehensive timeline. Statewide implementation must be completed by July 1, 2001.

Technology To Be Used (hardware, software, languages, etc.): Oracle

User Community Impact (training needs, parallel operations): Training for departmental staff is anticipated for the new system deployment.

Alternatives That Were Considered, and Why They Were Rejected:

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): Intranet access and/or dial-ups will be the access methods.

Expected Benefits (Including any savings to accrue): Integration between bi-weekly and monthly time reporting. Automation of a primarily manual process will improve reporting speed and accuracy.

Initiative: Department of Economic and Community Development Systems

Business Description: The Maine Department of Labor provides to the Department of Economic and Community Development, the services of its Office of Information Processing to assist in the stabilization, development, and on-going maintenance support for the DECD business application system(s). Work is anticipated to convert the existing One-Stop licensing software from the SNAP expert system to a Progress 4th generation language. An updated memorandum of agreement is scheduled to be construction in relation to this activity.

Relationship to the Agency's Strategic Business Plan: This initiative is most closely related the criteria set in Goal A: Every person can find employment that meets his or her career and economic aspirations, and every Maine employer can find qualified employees, of the Department's Strategic Plan for Performance Budgeting, given the DECD's relationship with MDOL's Bureau of Employment Services.

Estimated Life: The estimated life for this system is at least 5 years.

Estimated Development Time Period (Begin/End): The start date for this initiative is tentatively set for mid-May of 2000. The conversion is expected to take approximately 4 months from the start date.

Technology To Be Used (hardware, software, languages, etc.): Database: Progress

User Community Impact (training needs, parallel operations): A training impact is anticipated with the converted system.

Alternatives That Were Considered, and Why They Were Rejected:

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs):

Expected Benefits (Including any savings to accrue): New platform more closely meets needs and functionality required by DECD.

Initiative: Mental Health, Mental Retardation, and Substance Abuse Case Management System

Business Description: Under the terms of a Memorandum of Agreement (MOA), the Maine Department of Labor provides to the Maine Department of Mental Health, Mental Retardation

and Substance Abuse (DMHMR/SAS), the services of its Office of Information Processing to develop system specifications for the design and implementation of the DMHMR/SAS Case Management System. A Case Management System for Adult Mental Health has already been implemented. The scope has now evolved to include case management for the entire Department as part of a department-wide enterprise system. Work is underway on this development. Given the expanded scope the need for an additional staff resource in FY'01 is expected.

Relationship to the Agency's Strategic Business Plan: This initiative does not directly tie to Labor's Strategic Plan for Performance Budgeting. Work is being performed for a different state agency (DMHMR/SAS) under this agreement.

Estimated Life: The estimated life for this system is at least 5 years.

Estimated Development Time Period (Begin/End): The initial MOA was signed in February of 1997. Work is ongoing and no set end date has been established.

Technology To Be Used (hardware, software, languages, etc.):

User Community Impact (training needs, parallel operations): Training is provided as new modules are introduced.

Alternatives That Were Considered, and Why They Were Rejected: The initial decision to use the Office of Information Processing for the design and implementation of the DMHMR/SAS Case Management System stemmed from the Consent Decree. The Office of Information Processing's previous experience in developing Case Management Systems was a key consideration.

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): As deployments take place outside of Adult Mental Health, the number of PCs connected through the state WAN will increase.

Expected Benefits (Including any savings to accrue): Single system that will meet the wider department needs.

Initiative: Workers' Compensation Board System

Business Description: Under the terms of a Memorandum of Agreement (MOA), the Maine Department of Labor provides to the Workers' Compensation Board (WCB) the services of its Office of Information Processing to assist in the stabilization, development, and on-going maintenance support for the WCB business application system(s).

Relationship to the Agency's Strategic Business Plan: This initiative is most closely related the criteria set in Goal B: A culture that fosters employee-management cooperation, protects employee rights, and ensures a safe, healthy workplace, of the Department's Strategic Plan for

Performance Budgeting, given the WCB's relationship with MDOL's Bureau of Labor Standards.

Estimated Life: The estimated life for this system is at least 5 years.

Estimated Development Time Period (Begin/End): The initial MOA was signed in May of 1998. Two IT positions were transferred from WCB to Labor on July 1, 1999. Based on the project schedule attachment to the current MOA, the primary focus of work in FY'01 will be on Claims Management (Forms/Rules Changes). Work is ongoing and no set end date has been established.

Technology To Be Used (hardware, software, languages, etc.): Database: Progress

User Community Impact (training needs, parallel operations): Training is provided as new modules are introduced.

Alternatives That Were Considered, and Why They Were Rejected: The decision to use the Office of Information Processing for database and system application operations and maintenance was a result of a November 1997 business assessment conducted by Coopers & Lybrand.

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs):

Expected Benefits (Including any savings to accrue): Continued standardization of business systems. Enhanced screen and reporting capabilities.

Initiative: Integrated Community Action Program System

Business Description: The ICAPS program was developed and piloted by Coastal Economic Development (a service provider to MDOL) in collaboration with the Maine Department of Labor. The goal is to provide low-income residents of rural communities in Maine with a comprehensive, seamless service system, coordinating the many vertical programs offered by the partner Community Action Agencies (CAA) through the use of a common intake, eligibility determination, risk assessment, case management, and database program (ICAPS) utilizing the State's wide area network.

The three private, non-profit, community-based CAA partners are Coastal Economic Development, Western Maine Community Action, and the Aroostook County Action Program. The Maine Department of Labor, Office of Information Processing is the fourth partner, providing technical resources and expertise.

Relationship to the Agency's Strategic Business Plan: This initiative is most closely related the criteria set in Goal A: Every person can find employment that meets his or her career and economic aspirations, and every Maine employer can find qualified employees, of the

Department's Strategic Plan for Performance Budgeting, given the service provider role of the CAA's to our Bureau of Employment Services.

Estimated Life: The estimated life for this system is at least 5 years.

Estimated Development Time Period (Begin/End): Coastal Economic Development received a grant for $380,000 for this project in 1999. A policy group has been formed and has created a critical path/timeline. Immediate goals include fine tuning the current Coastal Economic Development System, installations at Western Maine Community Action and Aroostook County Action Program, and modifications to incorporate Welfare-to-Work.

Technology To Be Used (hardware, software, languages, etc.): Application Server: Windows NT 4.0 (Citrix, NT Terminal Server) Database Server: SCO Unix OS5 PC Clients Software: Progress, Client Access (CAL), Citrix, NT Terminal Database: Progress

User Community Impact (training needs, parallel operations): A fairly significant user training effort is anticipated.

Alternatives That Were Considered, and Why They Were Rejected:

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): This will add a number of devices to the State WAN. However, the use of Citrix for remote connections should minimize the impact of these additions.

Expected Benefits (Including any savings to accrue): Cross-program information sharing and seamless service delivery. Model for partnership between State government infrastructure and community-based programs.

Initiative: MDOL Systems

Business Description: MDOL information technology initiatives generally are tied to a particular business need from one or more of our organizational units. While we have mechanisms in place to share information about these initiatives (e.g. Labor's Information Services Policy Board), utilizing formal brainstorming session(s) will increase our communications and allow us to more clearly identify commonalties and integration opportunities at the department level. The goals of this open forum include achieving a greater awareness of the technology/systems available from a collective department perspective. This planned, strategic approach will provide a better understanding of what initiatives (completed, ongoing, and future) are in place and how these initiatives may be adapted to provide a greater collective benefit for MDOL.

Relationship to the Agency's Strategic Business Plan: This initiative encompasses the entire department and ties to all goals identified in the Department's Strategic Plan for Performance Budgeting.

Estimated Life: This initiative will be an ongoing process.

Estimated Development Time Period (Begin/End): This will be an ongoing organizational process.

Technology To Be Used (hardware, software, languages, etc.): Available technology within MDOL

User Community Impact (training needs, parallel operations): None identified at this time.

Alternatives That Were Considered, and Why They Were Rejected:

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): None identified at this time.

Expected Benefits (Including any savings to accrue): Departmental information sharing leading to greater opportunities for collective benefits**.**

Initiative: E-Commerce

Business Description: E-Commerce components exist in multiple MDOL unit-level information technology initiatives. Examples include Initiative #1 UI Re-Engineering (beginning stages of looking at taking claims over the Internet) and Initiative #3 One Stop Operating System (develop Internet-based self-directed access).

Given the increased availability of E-Commerce technologies as a service delivery option, the need to explore E-Commerce opportunities exists at the department-level. By having a department-level focus, areas of commonality and integration opportunities will be more readily identified

Potential advantages include a faster, cheaper, more efficient, and more reliable method of exchanging information or processing transactions, through the use of Electronic Data Interchange (EDI) and related technologies.

Relationship to the Agency's Strategic Business Plan: This initiative encompasses the entire department and ties to all goals identified in the Department's Strategic Plan for Performance Budgeting.

Estimated Life: This initiative will be an ongoing process.

Estimated Development Time Period (Begin/End): This will be an ongoing organizational process.

Technology To Be Used (hardware, software, languages, etc.): Available E-Commerce technology.

User Community Impact (training needs, parallel operations): None identified at this time.

Alternatives That Were Considered, and Why They Were Rejected:

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): None identified at this time. Once established, greater public Web access likely will result.

Expected Benefits (Including any savings to accrue): Departmental information sharing leading to greater opportunities for collective benefits. Increased service delivery options available to MDOL customers. Potential for cost savings on a per transaction basis.

Initiative: Maintenance and Upgrades

Business Description: The Maine Department of Labor's mission is To promote the economic well-being of people in the labor force and employers by attracting and retaining a wide range of employment opportunities, by promoting independence and lifelong learning, by fostering economic stability and by ensuring the safe and fair treatment of all people on the job. The strategic use of information technology is key to our achieving our mission. Keeping this technology in proper working order and current is an integral part of this strategy. Maintenance and upgrade initiative include:

Maintaining production systems primarily through our Office of Information Processing

Replacing 1/3 of our PC fleet on an annual basis

Replacing or upgrading servers and systems software as required

Replacing development and desktop software packages as required

Implementing productivity enhancement tools such as SMS and Exchange

Exploring Microsoft Enterprise Agreement

Upgrading e-mail system

Relationship to the Agency's Strategic Business Plan: This initiative crosses all organizational units and supports all goals listed in the Department's Strategic Plan for Performance Budgeting.

Estimated Life: Typically, the estimated life of business systems implemented is approximately 5 years. The estimated life of desktop systems (PCs) is 3 years and the estimated life of servers is approximately 4 to 5 years.

Estimated Development Time Period (Begin/End): This initiative is ongoing.

Technology To Be Used (hardware, software, languages, etc.): Numerous products in each category.

User Community Impact (training needs, parallel operations): In some cases, training will be necessary.

Alternatives That Were Considered, and Why They Were Rejected:

BIS Service Impact (be as specific as possible, in the following areas: WAN, Programming, Help Desk, Desk Top Services, Remote Access, New Needs): In whole, the maintenance and upgrade activities are expected to have minimal impact on the WAN. In some cases when platform shifts take place (e.g. Exchange) or additional support capabilities are introduced (e.g. SMS), an impact could be realized.

Expected Benefits (Including any savings to accrue): Keeping information technology current and in proper working order is a key to enhancing productivity and reducing down time.

MARINE RESOURCES, DEPARTMENT OF
INFORMATION TECHNOLOGY PLAN

Submitted by: Pam Isham
Date Revised: March 2000

Introduction: The Department of Marine Resources is a conservation and regulatory state agency charged with the oversight and management of Maine's vast marine resources with office locations in Hallowell, Boothbay Harbor, Lamoine State Park and Rockland. The mission of the department's Information Technology Services Unit is to provide and support technology needs enabling the charge of the agency.

We are always thinking about and diligently searching for better uses of technology to improve productivity, efficiency, and performance. With a small, thinly staffed agency such as ours, it's imperative to take advantage of computerization and automation where affordably possible.

Our information services manager is charged with staying informed of agency business objectives, constituent needs and desires, executive administration and legislative mandates, then applying knowledge of state and industry standards to develop a bi-annual plan.

The bi-annual plans are prepared by the information services manager in cooperation with the department's Computer Advisory Committee, then submitted for approval to the DMR executive management (Bureau Directors, Deputy Commissioner, Commissioner), Budget Office officials, the Marine Resources Committee, the Appropriations Committee and the Governor.

How does it fit into our strategic plan and/or performance based budget? The goal of the department's Administrative Division is to be recognized as an agency that maximizes efficiency and productivity and fulfills its statutory commitments.

Initiative: Computer Education for Staff

Business Function Affected (Description): The department believes strongly in the benefits of education. We have mandated introductory training for the standard desktop computer operating system, word processing, and email applications. Furthermore, we encourage and plan for staff to attend additional computer classes so that we may maximize on our investments. Our latest initiative is to make typing mandatory for new employees and available to all.

Estimated Life:

Estimated Development Time:

Technology Used: Training is mandatory for Windows 95/98, Microsoft Word and Microsoft Outlook.

User Community Impact:

Alternatives That Were Considered:

BIS Service Impact:

Expected Benefits: Increased staff's computer capabilities, thus productivity.

Initiative: Information Technology Support

Business Function Affected (Description): The information technology support service contracts consist of outsourcing the desktop, network, programming and various project related tasks necessary to effectively maintain the department's computing environment.

Estimated Life:

Estimated Development Time: July 2000 – June 2001

Technology Used:

User Community Impact:

Alternatives That Were Considered: Many alternatives have been considered, requested and ultimately denied. After working with Bob Mayer (former CIO) and the department's senior management, the obvious consideration of hiring full time permanent staff to provide desktop, network and programming services were considered and rejected because of the lack of funding

in personal services, lack of available positions to reclassify and the reluctance to increase position counts, particularly in the information technology classifications.

BIS Service Impact: The DMR IT staff regularly teams with the BIS in order to fulfill mission needs.

Expected Benefits: Technology is deeply embedded into the business functions of the department. Staff is dependent upon the Information Technology Services Unit to provide and support technology needs enabling the charge of the agency. These service contracts provide the minimum resources necessary to administer our computer environment.

Initiative: IT Service Level Agreements

Business Function Affected (Description): Information Technology related Service Level Agreements (SLA) are in essence contracts for technology services provided by another state agency, typically the Bureau of Information Services (BIS). DMR is currently engaged in database, geographic information systems, and email service agreements with BIS.

They provide us with the necessary support for the on-going operations of the Marine Resources Licensing and Enforcement database. The Office of GIS works with the department to assist in GIS resources we use for disaster preparedness, public health and safety and scientific analysis capabilities. And lastly, the department enjoys cost savings and support staff time by employing BIS to provide email services.

A current initiative in search of funding is to develop a centralized biological database that will undoubtedly enhance the department's ability to understand and better manage marine resources. We anticipate outsourcing the database design then entering into a SLA with BIS for on-going hosting and administration.

Estimated Life:

Estimated Development Time:

Technology Used: Oracle product suite, ESRI product suite and Microsoft Exchange / Outlook.

User Community Impact:

Alternatives That Were Considered: DMR does not have the resources to support internally.

BIS Service Impact: The SLA's have a direct impact on all BIS customer service areas, except the mainframe group.

Expected Benefits: These SLA's provide the staffing, tools and resources necessary to meet the department's required business objectives. They also represent an ideal partnership in making good use of available state technologies.

Initiative: Wide Area Networking

Business Function Affected (Description): The State of Maine Wide Area Network (WAN) provides intra-connectivity amongst the state's information technologies. The DMR is heavily reliant upon the WAN for critical business applications such as MRLEN, e-mail, Internet, data and device sharing.

Estimated Life:

Estimated Development Time:

Technology Used: Please see BIS' technology plan.

User Community Impact:

Alternatives That Were Considered:

BIS Service Impact:

Expected Benefits: Please see BIS' technology plan.

Initiative: Local Area Networking

Business Function Affected (Description): Networking is a fundamental component in meeting the department's business objectives. This technology enables the sharing of software applications, data, printers, and is the access point for end users to reach the WAN and the World Wide Web.

Estimated Life:

Estimated Development Time:

Technology Used: Compaq Proliant servers running Microsoft NT 4, Ethernet, TCP/IP, Baystack Switches and all office locations connect via T1 lines.

User Community Impact:

Alternatives That Were Considered:

BIS Service Impact:

Expected Benefits:

Initiative: Hardware & Software

Business Function Affected (Description): This initiative provides for hardware and software related upgrades necessary to stay current with technology. It allows for hardware and software maintenance agreements, hardware and software upgrades and the department's initiative to replace one-third of our desktop computers per year.

Estimated Life:

Estimated Development Time:

Technology Used:

User Community Impact:

Alternatives That Were Considered:

BIS Service Impact:

Expected Benefits: The DMR strives to maintain the healthy balance of staying current with technology, yet not in the business of chasing the cutting edge. We, like many others, feel a three-year pc replacement plan keeps that balance.

Initiative: Operational Support

Business Function Affected (Description): Operational Support is the administrative essentials required to operate the Information Technology Services Unit. It includes travel, utilities and data processing supplies.

Estimated Life:

Estimated Development Time:

Technology Used:

User Community Impact:

Alternatives That Were Considered:

BIS Service Impact:

Expected Benefits:

MENTAL HEALTH, MENTAL RETARDATION, & SUBSTANCE ABUSE SERVICES, DEPARTMENT OF
INFORMATION TECHNOLOGY PLAN

Submitted by: Walter Lowell, Ed D., Agency Technology Officer
Date Revised: December 9, 1999

Introduction: The DMHMRSAS is in the process of developing a comprehensive and integrated enterprise wide information system that will assure high quality, cost effective services and assist in the development and maintenance of a responsive services system to meet the needs of the individual and community as well as the government agencies serving them. Over the last several years the DMHMRSAS has already designed and implemented an electronic infrastructure that has successfully linked regional and satellite offices with the Central Office here in Augusta. For some time, E-mail, desktop applications and Internet access have become an integral part of the day-to-day operations of the Department. In January of 1998 DMHMRSAS's Senior Management Team established a strategic initiative to develop integrated data systems to support the planning, management performance based budgeting and quality improvement of all aspects of its operations.

The passage of legislation to improve behavioral health services for children, the reduction in the mental retardation waiting lists and the Department's ongoing effort to be released from two Consent Decrees has increased the urgency to develop a comprehensive data system.

DMHMRSAS intends to upgrade it's Information Systems infrastructure utilizing/leveraging the existing and future systems infrastructure at other State Departments, in particular the Department of Human Services (DHS). One of the primary tasks of the SIDI project is to enable the Department of Mental Health, Mental Retardation and Substance Abuse Services (DMHMRSAS), to successfully plan, redesign, customize, transition and implement the relevant current and future systems at DHS and other departments.

DMHMRSAS currently does not have an integrated data system that allows for accessing and extracting accurate information in a timely fashion. With the mandates of the State Laws (PL 790 - Children's Legislation and State Law PL 778- Adequacy of Services to Persons with Mental Retardation) as well as the transition of Mental Health services into a Managed Care environment, DMHMRSAS has critical needs to establish a state of the art integrated system of information that supports the Department's mission, vision and goals. DMHMRSAS plans to adopt a Managed Care model that envisions using the Bureau of Medical Services' (BMS) claims processing and other system infrastructure. In addition, DMHMRSAS plans to utilize the existing and future systems at DHS/BMS and other departments to:

- Meet the mandated reporting and tracking requirements in State Law PL 790 - Children's Legislation

- Meet the mandated reporting and tracking requirements in State Law PL 778 - Adequacy of Services to Persons with Mental Retardation

- Meet the mandated reporting and tracking requirements of the French Lawsuit

- Meet the mandated reporting and tracking requirements of the Community and AMHI Consent Decrees

- Perform Client eligibility and enrollment in managed care programs, determination and application of capitation rate payments to providers

- Perform complex queries pertaining to program administration, efficiency, quality indicators/quality of care, outcome measurements, fraud and abuse, and third-party recoupment of funds.

- Perform complex modeling, forecasting and planning of programs, integrating DMHMRSAS information with data from other departmental sources (especially Medicaid data from BMS).

- Perform these complex queries and modeling within the technical architecture that addresses key security and data access issues/concerns.

- Perform claims and encounter processing and adjudication.

- Support data reporting requirements of Performance Based Budgeting.

SIDI Project Strategy: DMHMRSAS is proposing a strategy to met these needs that is based on months of planning with key staff from DMHMRSAS and DHS/BMS. The strategy takes into consideration the importance of having both DMHMRSAS staff participation and skilled technical facilitation. Staff participation is critical to success of this endeavor because they bring the overall expertise in department functions needed to design systems. A project team is therefore being created to enable Departmental staff to do the required work to identify basic system requirements, design and RFP for this integrated data system. We anticipate this work to span a period of 24 months to 36 months.

Initiative: Financial System

Business Function Affected (Description): Financial System in partnership with DHS/BMS

Relationship to the Agency's Strategic Business Plan: Critical

Estimated Life: 7-8 years

Estimated Development Time: Jan 2000 - Sep 2001

Technology Used: Unknown at this time

BIS Service Impact: WAN and network

Expected Benefits: Track and controls costs

Initiative: Service Encounter System

Business Function Affected (Description): Service Encounter System in partnership with DHS/BMS

Relationship to the Agency's Strategic Business Plan: Critical

Estimated Life: 7-8 years

Estimated Development Time: June 2000 - September 2002

Technology Used: Unknown at this time

BIS Service Impact: WAN and network

Expected Benefits: Track and report on client services

Initiative: Work Flow System

Business Function Affected (Description): Workflow system in partnership with DHS/BMS

Relationship to the Agency's Strategic Business Plan: Critical

Estimated Life: 7-8 years

Estimated Development Time: Feb 2001-Oct 2002

Technology Used: Unknown at this time

BIS Service Impact: WAN and network

Expected Benefits: Improve work flow and staff efficiency

Initiative: Client Planning Foundation System

Business Function Affected (Description): Client Planning Foundation System

Relationship to the Agency's Strategic Business Plan: Critical

Estimated Life: 7-8 years

Estimated Development Time: Jan 2000 - Sep 2001

Technology Used: Oracle

BIS Service Impact: BIS hosting database and application servers, WAN

Expected Benefits: Improve service delivery and quality of services

Initiative: Client Registry

Business Function Affected (Description): Client Registry

Relationship to the Agency's Strategic Business Plan: Track all demographic data on clients served by agency

Estimated Life: 5 + years

Estimated Development Time: July 1999 - February 2000

Technology Used: Oracle Software

BIS Service Impact: Host Web application server

Expected Benefits: Detailed counts of clients served that can be joined with other foundation data.

Initiative: Provider Foundation System

Business Function Affected (Description): Provider Foundation System

Relationship to the Agency's Strategic Business Plan: Critical

Estimated Life: 7-8 years

Estimated Development Time: Jan 2000 - Jun 2001

Technology Used: Oracle

BIS Service Impact: Host database and application servers, WAN

Expected Benefits: Track and account for providers of DMHMRSAS services.

Initiative: Assessment Foundation System

Business Function Affected (Description): Assessment Foundation System

Relationship to the Agency's Strategic Business Plan: Critical

Estimated Life: 7-8 years

Estimated Development Time: Oct 1999 - Apr 2000

Technology Used: Oracle

BIS Service Impact: Host database and application servers, WAN

Expected Benefits: More effectively control costs of services by quantifying client needs.

Initiative: Grievance Tracking System

Business Function Affected (Description): Grievance tracking system

Relationship to the Agency's Strategic Business Plan: Support compliance with various Consent Decrees on client grievance

Estimated Life: 5 - 6 years

Estimated Development Time Period (Begin/End): Dec 1999 - Apr 2000

Technology Used: Oracle Forms, WEB Application Server

BIS Service Impact: Contract with BIS for development

Expected Benefits: Meet consent Decree requirements

Initiative: Hospital Data System

Business Function Affected (Description): Hospital data system development

Relationship to the Agency's Strategic Business Plan: Provide data system to meet AMHI Consent Decree requirements

Estimated Life: 5 + years

Estimated Development Time: May 1999 - March 2000

Technology Used: Oracle Software, WEB Application server

BIS Service Impact: Host application server

Expected Benefits: Enable data integration between hospital and community systems.

Initiative: Behavioral Health Geographical Information System

Business Function Affected (Description): Behavioral Health Geographical Information System

Relationship to the Agency's Strategic Business Plan: Created to understand client and provider distribution.

Estimated Life: 5 - 6 years

Estimated Development Time: Dec 1999 - Mar 2000

Technology Used: ESRI Arcview Software, Unix server

BIS Service Impact: OGIS possible host to web application

Expected Benefits: Allocate and manage provider and client resource distribution

Initiative: Quality Improvement/Quality Assurance Outcome

Business Function Affected (Description): Quality Improvement/Quality Assurance Outcome System

Relationship to the Agency's Strategic Business Plan: Critical

Estimated Life: 7-8 years

Estimated Development Time: Mar 2000 - Dec 2000

Technology Used: Oracle

BIS Service Impact: Host database and application server: WAN

Expected Benefits: Improve quality of business processes and outcomes.

Initiative: Critical Incident System

Business Function Affected (Description): Critical Incident System

Relationship to the Agency's Strategic Business Plan: High

Estimated Life: 7-8 years

Estimated Development Time: Dec 1999 - Mar 2000

Technology Used: Oracle

BIS Service Impact: Programming, hosting database and application server

Expected Benefits: Track client grievances and critical events to understand frequency and causes. Improve quality of services.

Initiative: MR/Childrens Services

Business Function Affected (Description): MR/Childrens Services data integration

Relationship to the Agency's Strategic Business Plan: Critical

Estimated Life: 7-8 years

Estimated Development Time: Jan 2000 - Dec 2000

Technology Used: Oracle

BIS Service Impact: Hosting database and application server, WAN

Expected Benefits: Integrates children's services and mental retardation services into DMHMRSAS consolidated database.

Initiative: Resource/Inventory Foundation System

Business Function Affected (Description): Resource/Inventory Foundation System

Relationship to the Agency's Strategic Business Plan: High

Estimated Life: 7-8 years

Estimated Development Time: July 2000 - Dec 2000

Technology Used: Oracle

BIS Service Impact: Host Database and application servers, WAN

Expected Benefits: More effectively track resources and inventories.

Initiative: System Operations and Support

Business Function Affected (Description): Systems Operations and Support

Relationship to the Agency's Strategic Business Plan: Critical

Estimated Life: 7-8 years

Estimated Development Time: June 1999 - Dec 2000

Technology Used: NT/Sun solaris servers, Oracle, DBA, Windows 2000 migration.

BIS Service Impact: DBA and WAN

Expected Benefits: stable and reliable system performance

Initiative: Exchange Mail

Business Function Affected (Description): MS Exchange Mail

Relationship to the Agency's Strategic Business Plan: High Priority to move to new mail platform

Estimated Life: 5 + years

Estimated Development Time: Feb 2000 - August 2000

Technology Used: MS Exchange Outlook 98/2000

BIS Service Impact: Contract to assist in migration and host mail server

Expected Benefits: More efficient and seamless mail system

Initiative: Office Migration

Business Function Affected (Description): Microsoft Office Migration

Relationship to the Agency's Strategic Business Plan: Critical to desktop applications

Estimated Life: 5 + years

Estimated Development Time: Sept 2000 - March 20001

Technology Used: MS Office 2000, PC & servers

BIS Service Impact: Some assistance in migration planning and implementation

Expected Benefits: Improved Office work flow and reduce helpdesk costs

PROFESSIONAL & FINANCIAL REGULATIONS, DEPARTMENT OF INFORMATION TECHNOLOGY PLAN

Submitted by: Paul A. Sawyer, ATO

Date Revised: February 18, 2000

Introduction: The plan was developed using business requirements identified in the Department's strategic plan and initiatives identified by the senior management group at planning meetings. The Commissioner discussed the plan with the CIO, the Department's senior management staff approved the plan and the budget was approved by the Legislature.

Initiative: Maintenance

Business Function Affected (Description): Maintain the Department's existing technology infrastructure to include a program that will replace approximately one third of the computer hardware and upgrade or replace one third of the software applications each year. The Department's infrastructure includes approximately 160 personal computers, 58 notebook computers, 24 networked printers, 9 NT file/print/application servers, 2 AIX/Oracle database servers, a local area network, an electronic mail application, an imaging system, an IT training room, a helpdesk service, a "loaner" notebook computer program, a shared technical resources, a technology inventory tracking system, miscellaneous programs unique to agencies. This maintenance program includes migrating from Lotus SmartSuite office productivity tools to Microsoft Office and migrating all databases to Microsoft Access or Oracle databases.

Relationship to the Agency's Strategic Business Plan: The Department's strategic plan states that it is critical for regulatory agencies to keep abreast of technological changes to effectively and efficiently regulate various industries.

Estimated Life: This is an on going business requirement.

Estimated Development Time: This is a continuous initiative.

Technology Used: The Department has standardized on AIX and NT 4.0 for its server operating systems, NT 4.0 for its network and PC operating systems, Oracle and Access for database development languages, Microsoft Office 97 for its office productivity tools and Microsoft Exchange and Outlook for electronic mail. Other standards include 3Com for networking hardware and RS 6000s for AIX/Oracle database hardware.

User Community Impact: The Department provides on going training opportunities for all employees and transition training is provided for software changes and major upgrades.

Alternatives That Were Considered: Ad hoc hardware and software upgrades, as a process, were rejected because the Department cannot implement major infrastructure changes fast enough to accommodate new applications mandated by ever changing business requirements. Instead the Department elected to follow the one third per year technology refreshment program recommended by the CIO. The technology refreshment program better distributes the budget requirements and the workload.

BIS Service Impact: The Department's maintenance program does not change the impact on BIS services in any significant or identifiable way. However, the Department does use available technology to take advantage of enterprise wide services such as the telecommunications, wide area network, remote network access services, central accounting and human resources applications, and budgeting applications.

Expected Benefits: The technology maintenance programs will enable the Department to continue its work at current productivity levels, to take advantage of resources made available by business partners and to respond in a timely manner to changes in technologies in use by regulated industries.

Initiative: Agency Records Management (ARM) UPD

Business Function Affected (Description): Upgrade the Agency Records Management system (ARM) used to maintain licensing related records. This system is primarily used by the Department's internal agencies, but the Department of Agriculture and the Department of Economic & Community Development use the system to a lesser degree. The upgrade will include changes to hardware, the operating system, database software tools and the purchase of a license for the database application and source code.

Relationship to the Agency's Strategic Business Plan: This database is a core information management tool essential to the Department's regulatory mission.

Estimated Life: The above-described upgrades would extend the life of the system for two years, which will provide time for the department to secure a long-term solution. In addition to meeting the immediate need, the upgrades also provide the option of using existing system as the foundation upon which to build a long-term application solution.

Estimated Development Time: An arrangement for completing the upgrades is currently in progress and the project has a target completion date of June 30, 2000.

Technology Used: The hardware used is an IBM RS 6000 J40 running an AIX operating system. The application itself is written in Oracle and C.

User Community Impact: These system changes are expected to be transparent to the users and will not require any re-training. However, the user community will need to test the application following the changes.

Alternatives That Were Considered: A contract for a replacement application was recently terminated for unsatisfactory vendor performance. Failure to complete the updates at all would decrease the life of the application significantly.

BIS Service Impact: These changes will not impact BIS services. This application will continue to use the Wan at current levels, but it does not rely upon BIS programming, Helpdesk or Desktop Services.

Expected Benefits: This initiative will allow the Department to continue licensing services at current levels. Failure to perform these upgrades would put service delivery at high risk. If the application fails application processing would have to be done manually and could not be accomplished at current levels even with a significant staff increase.

Initiative: Producer Data Base (PRB)

Business Function Affected (Description): Create an electronic interface between the Producer Database (PDB) maintained by the National Association of Insurance Commissioners and the Department's licensing database. This initiative includes automating the process of sending periodic adds, changes and deletes to the PDB in the specified format. The PDB refers to

licensing and appointment data and RIRS (Regulatory Information Retrieval System) refers to final regulatory actions that have been taken against producers and firms by a state insurance department.

Relationship to the Agency's Strategic Business Plan: This initiative supports the Bureau of Insurance goal of ensuring financial integrity of and the fair practice by all regulated parties for the benefit of Maine consumers.

Estimated Life: The interface will be used for up to two years and the code may be re-used depending upon the long-term application solution for the licensing database.

Estimated Development Time: Arrangements for a contract are in progress. The target completion date is June 30, 2000.

Technology Used: An RS 6000 running AIX and an Oracle database will be used for this project.

User Community Impact: Use of this electronic interface will require an additional level of maintenance for the IS staff and additional communications between the Bureau of Insurance staff and the National Association of Insurance Commissioners.

Alternatives That Were Considered: Electronic filing of information has been agreed to by most states and will be necessary if Maine is to have access to information filed by other states. No alternatives have been considered.

BIS Service Impact: This initiative is not expected to significantly impact BIS services. A one-time large file transfer will take place and then nightly updates will be sent across the WAN. The size and timing of updates is flexible.

Expected Benefits: Maine's participation in the PDB will entitle Maine regulators to access information filed by other states for use in fulfilling its regulatory mission.

Initiative: E-Comerce

Business Function Affected (Description): Establish the Internet as a substantial method of conducting business with the Department. This project will include making licensing related information available, allowing Internet based searches of license records, submission of requests and filing of complaints on line, making applications and forms available for downloading and, where practical, to provide the opportunity for filing applications and payment of fees on line.

Relationship to the Agency's Strategic Business Plan: This initiative is consistent with the Department's strategic plan for keeping pace with the technology used by regulated industries and with its on going attempts to improve productivity.

Estimated Life: Indefinite.

Estimated Development Time: This project is currently in progress. It is estimated that all applications and forms will be available for downloading over the Internet by April 1, 2000, a substantial capability for on line filing and payment of fees will be in place by December 31, 2000 and other services will be completed by December 2000.

Technology Used: The technology to be used has not yet been identified.

User Community Impact: Internet based services will be maintained as one of several methods for doing business with the Department. It is expected that parallel systems will need to be maintained indefinitely. This process will require promotion, but should be intuitive for those who already use the Internet.

Alternatives That Were Considered: None

BIS Service Impact: It is expected that this initiative will have an impact on the wide area network over time, but it is anticipated that it will take several years before the level of use will have more than a minimal impact on traffic. Bandwidth requirements will be better identified as the technology and process is designed.

Expected Benefits: Internet based services are being provided as an added convenience for the public. Efficiencies are also anticipated because the information will be initially provided in electronic format. However, these are long-term benefits. The initial low volume, initial setup requirements and maintaining an additional process is expected to require more resources.

Initiative: Agency Record Management (ARM) Replacement

Business Function Affected (Description): Identify system requirements and upgrade or replace the ARM licensing system with a long-term business solution.

Relationship to the Agency's Strategic Business Plan: This database functionality is a core information management tool essential to the Department's regulatory mission.

Estimated Life: 7 years

Estimated Development Time: Begin May of 2000 and end June 30, 2002

Technology Used: Not yet identified, but is assumed that we will continue to use IBM RS 6000 hardware, the AIX operating system and Oracle database development tools.

User Community Impact: The impact on the user community depends upon the solution identified. Users will be impacted by the time needed to identify their requirements, training to use the new application, testing the application and testing for accuracy of the data migration.

Alternatives That Were Considered: We are currently considering alternatives.

BIS Service Impact: Completion of this initiative will not have a significant impact upon BIS services. If it were decided that the application would be used by other departments, then it would have a wide area network bandwidth impact.

Expected Benefits: The application would be more efficient for data entry and lookups; it would accommodate electronic submission and retrieval of information to and from other systems, and would accommodate changing business requirements for the various licensing entities.

Initiative: Insurance Complaints

Business Function Affected (Description): Modify the insurance complaint database used by the Property & Casualty Division and the Life and Health Divisions to accommodate the Consumer Health Care Division needs for tracking information and reporting to the Legislature. This requires modifications for work flow efficiencies for recording information and reporting flexibility.

Relationship to the Agency's Strategic Business Plan: This initiative supports the Bureau of Insurance goal of ensuring financial integrity of and the fair practice by all regulated parties for the benefit of Maine consumers.

Estimated Life: 7 years.

Estimated Development Time: Planning is currently in process. Completion is expected by June 30, 2000.

Technology Used: An RS 6000 running AIX and an Oracle database development tools will be used for this project.

User Community Impact: Only minor user training will be required.

Alternatives That Were Considered: None.

BIS Service Impact: No expected impact upon BIS services. It is anticipated that this application will only be used on the local area network.

Expected Benefits: Productivity gains and service enhancements are expected to result from data entry modifications and its interface with a document management system.

PUBLIC SAFETY, DEPARTMENT OF
INFORMATION TECHNOLOGY PLAN

Submitted by: Wayne Gallant, MIS Director
Date Revised: February 2000

Introduction: The Department of Public Safety consists of nine bureaus with responsibility for delivering various public safety and/or criminal justice related services. These bureaus vary in size from the predominate Maine State Police to the five person Emergency Services Communication Bureau commonly referred to as Enhanced 911. Ironically this bureau, one of the smallest in Maine State government, is responsible for one of the largest IT projects, the $22M E911 service delivery contract.

Although a central Administrative unit provides human resources, payroll, and finance support to the Department, the Management Information Systems unit is located within the Maine State Police. The MIS unit provides, coordinates, and supports information technology systems and services to all Bureaus. The Director of MIS is a member of the Department's senior management and State Police Commissioned Officers teams.

Through senior management meeting and discussions with bureau directors, the MIS Director develops project plans and receives prioritization input. The majority of the Department's major technology initiatives are focused on State Police business processes and the provisioning of services required of the State Control Terminal Agency. As such IT plans for these initiatives are developed in collaboration with Chief and Deputy Chief of the State Police.

Public Safety's IT plan is organized along functional business processes, ongoing support/maintenance efforts, and larger IT projects. Larger projects are those requiring resources in excess of $250,000. For this reporting period the following initiatives are described.

- Core service maintenance. The ongoing support, maintenance, upgrade, and refresh of core information technology services.

- General business systems. Ongoing support, maintenance, and enhancement of information systems/applications supporting business functions with the Department. Includes small to medium development or procurement efforts.

- Control terminal agency. Information systems and services that the Maine State Police provides to all criminal justice entities in the State.

- Incident management. Information systems and services designed to support law enforcement incident and case management processes.

- Criminal history records. Information systems and services supporting the various business processes associated with collecting, validation, maintenance, and dissemination of criminal history information.

- Accident information reporting. A field application and back end information system designed to support in field vehicle accident/crash data collection and a central repository for data analysis.

- Enhanced 911. The project to implement and support enhanced 9-1-1 calling services.

Initiative: Control Terminal Agency

Business Function Affected (Description): The criminal justice information systems and services that the Maine State Police are statutorily mandated to provide are consolidated under this IT initiative. As the State's Control Terminal Agency (CTA) the systems and service must be operated within the parameters articulated by oversight policy boards. This requires high availability, secure transmission, and timely response. All services are provided on a continuous 24 by 7 basis.

The Criminal Justice Information Network (CJIN) is the digital telecommunications network infrastructure that provides connectivity the various criminal justice agencies within the State of Maine. Additionally CJIN supports connectivity to the federal criminal justice information systems network, national crime information computer and national law enforcement telecommunications systems. The system is implemented using a variety of telecommunication technologies and personnel resources.

The METRO message switch system provides high speed message routing of criminal justice information between various agencies and information systems. This service utilizes CJIN for message transmissions. For fiscal years 00 and 01 the message switch application will be upgraded and enhanced.

Relationship to the Agency's Strategic Business Plan: As the State's Control Terminal Agency, the Maine State Police is statutorily mandated to implement and maintain certain mission critical criminal justice information services. The Department's plan is to enhance the service level through the improvements to existing service, addition of new services, and expanded access to criminal justice partners.

Estimated Life: Ongoing since the 1970's.

Estimated Development Time: Ongoing.

Technology Used: Hardware includes various telecommunications equipment, workstations, and servers, communication servers. Software components consists of; specialized message switching server application, network management products, client access applications, Windows operating system, Unix operating system, Oracle RDBMS, C, communication products. Telecommunication components consist of; dedicated wire line circuits, wireless services, LANs in facilities, dedicated and commingled WANs.

BIS Service Impact: Components of CJIN include the State's WAN. For personnel located outside of wireless coverage areas and Department facilities, dial in remote access may be utilized to access information.

User Community Impact: There are mandatory training and audit requirements associated with the use of criminal justice information systems. The CTA is responsible for ensuring that these requirements are fulfilled.

Alternatives That Were Considered: This is a statutory mandate.

Expected Benefits: Officer and public safety is enhanced by the delivery of timely, accurate law enforcement information. The timely apprehension of missing persons, wanted persons, and stolen property is supported through the dissemination of critical information. Court issued arrest warrants, protective orders, and bail conditions are available to all law enforcement regardless of their origination point. The Criminal Justice Information Network is connected to federal and national information systems allowing seamless access to various databases around the country. This also allows officers from any in the United States and number of foreign countries to access Maine criminal justice databases.

Initiative: General Business Systems

Business Function Affected (Description): A number of information systems/applications are used to support specific business functions within the various bureaus. These systems are the result of in-house development efforts, provider delivered applications, and federally provided applications. The MIS unit fully supports in-house developed applications and participates with the Provider for the support of their applications. A NT based Oracle server is maintained as a database platform for these applications.

- Administration. A basic personnel and time/leave system maintains information for sworn and civilian personnel. Detail fleet fuel usage data is electronically sent by the Department's fuel Provider and maintained for review and analysis. Both applications are Oracle based.

- Fire Marshals Office. A third party facility inspections application supports this bureau's inspections function. The field client component is MS Access based and Oracle is used to bi-directional exchange data with Human Services.

- Liquor Enforcement. An in-house supported facility licensing system developed in Oracle. Additional compliance and enforcement functionality is schedule for FY 01

- Maine Criminal Justice Academy. A third party training records management system using Oracle for the database. A web based front-end capability will be added later this fiscal year.

- Maine Drug Enforcement Agency. This bureau is planning on implementing a version of the Crime Laboratory's evidence management system at its storage warehouse this summer.

- State Police Crime Laboratory. A third party evidence tracking and analysis management system using Oracle for the database. Two systems provided by the US Department of Justice are in use. CODIS, an NT SQL Server based application, supports DNA profile matching. Drugfire supports firearms ballistic imaging and runs on Sun Solaris platform.

- State Police Licensing. An Oracle based in-house developed Beano and Games of Chance application. A project to migrate a nonstandard Concealed Firearms Permit system to Oracle, using contract resources, is planned for late FY00 and early FY 01.

Relationship to the Agency's Strategic Business Plan: All these system support core business functions within their respective bureaus and units.

Estimated Life: Ongoing with enhancements as required and resources permit.

Estimated Development Time: Not applicable.

Technology Used: Oracle, MS Access, and Crystal Reports. Third party developed and supported applications running in the Department's technology architecture.

BIS Service Impact: WAN connectivity service.

User Community Impact: The Department provides specific training for users for in-house developed applications and systems. Third party providers are required to train and support end users.

Alternatives That Were Considered: Not applicable.

Expected Benefits: These systems are closely aligned to business processes and support the effective and efficient use of staff resources performing daily functions. Recent enhancements and the introduction of current technology is providing better access to information to program managers allowing them more effectively manage their programs.

Providing timely and accurate information to policy makers, legislators, constituency groups, and other interested third parties is a requirement for many business units. Through the use of standard products, timely data capture, and design enhancements the Department is better positioned to support information requests. The Department was unable or restricted in its ability to respond to these requests prior to implementation of information systems.

Public safety is enhanced by the delivery of timely, accurate information that provide investigators leads in criminal investigations. Other systems provide databases of trend and historical data that can be used to improve public safety programs.

Through the use of electronic interfaces the need to redundantly enter data is eliminated or reduced. This results in a reduction in data entry/clerical tasks, an improvement in data quality, and allows personnel to become data users/managers.

Initiative: Enhanced 911

Business Function Affected (Description): The Enhanced 911 project will bring "enhanced" 911 emergency call services to every wire line and wireless phone in the State. Enhanced 911 or E911 adds sophisticated routing, delivery assurance, and supplemental information functionality not found with basic 911 services, currently available in some parts of Maine. At the public safety answering points, 911 call information is integrated into an information system that interfaces to the telecommunicator via a Windows workstation. The system is designed to

expedite call handling, call transfer, dispatch, emergency response, and collects various metrics that are used to manage the 911 call volumes and handling performance.

The Department has contracted with Bell Atlantic to provide all components and 911 voice and data delivery, from the callers local exchange carrier up to and including the public safety answering point equipment used by the telecommunicators. State, local, and county telecommunication personnel are responsible for answering 911 calls and subsequent response actions.

In conjunction with the implementation of E911 services, are the digitization of road/address GIS base layers and coordination of address renaming initiatives. The Emergency Service Communications Bureau is responsible for the management of the E911 call service implementation and ongoing performance. This bureau also coordinates addressing initiatives, telecommunication training, and GIS base layer development by BIS's Office of GIS.

Relationship to the Agency's Strategic Business Plan: By statute the Emergency Service Communications Bureau is responsible for provisioning Enhanced 911 call services. This and the ancillary activities associated with 911 emergency services are the business functions of the Bureau.

Estimated Life: Ongoing after implementation.

Estimated Development Time: Initial E911 "cutovers" begin Summer 2000, statewide implementation Summer 2001. Base layer mapping and addressing efforts have been in progress for a number of years and are expected to be substantially completed by December 2001.

Technology Used: Hardware includes; various voice and data telecommunications equipment, Windows workstations, database servers, and printers. Software components consist of specialized voice and data processing applications and answering point systems. Telecommunication components consists of; dedicated wire line circuits, and LANs in public safety answering point facilities

BIS Service Impact: None.

User Community Impact: The users of this service are public safety answering point telecommunicators and Emergency Service Communications Bureau personnel. Through service Provider and State training resources all telecommunicators will be trained and competency tested. A complete E911 training facility will be setup and operated by the Bureau to ensure for ongoing telecommunicator training.

Alternatives That Were Considered: The alternative to enhanced 911 services is basic 911 services that do not provide the functionality or the coverage of E911.

Expected Benefits: Enhanced 911 saves lives, reduces injury, and minimizes property damage by facilitating quicker and more accurate emergency response service. Advanced call processing information allows managers to more effectively utilize response equipment and personnel

resources. Dedicated, diverse, and redundant system components increase overall system integrity resulting in improved emergency response and public safety.

Initiative: Criminal History Records

Business Function Affected (Description): The Criminal History Records initiative from an IT perspective can be separated into three projects that will result in integrated information systems that support the various business processes associated with collecting, validating, maintaining, and disseminating criminal history information. The three projects include, automated fingerprint identification, records validation, and a criminal history repository.

The automated fingerprint identification system, AFIS, is currently operational in the State Bureau of Identification, Maine State Police Crime Laboratory, and a handful of county law enforcement agencies. Continued implementation of additional live scan systems and integration of law enforcement agencies is anticipated through FY 01. Maine's share of the Tri-State AFIS project is $1.7M over seven years. Expanded use of the system to support the statutory requirement for background checks in certain employment occupations is expected to begin in late FY 00.

In preparation for the computerization of criminal history records, a validation effort was undertaken in 1997. This project consisted of a manual review of existing criminal history documents and file maintenance on the supporting current electronic Master Name Index. It was completed in December 1999 at a cost of $500K.

Although the Department developed and maintains a basic Master Name Index and Sex Offender Registry to support criminal records business functions, our goal is to implement a comprehensive computerized criminal history system. Information contained in the system includes data currently stored in paper forms as well as new items such digital mug shots. Interfaces to other information systems such as AFIS and the METRO message switch will enhance overall system utility. An RFP will be released by the end of FY 00 for the procurement, implementation, and support of a computerized criminal history system. The project plan calls for a phased approach rolling in the various electronic data interfaces after the core records system is implemented.

Relationship to the Agency's Strategic Business Plan: By statute the Maine State Police is responsible for collecting, maintaining and disseminating information on persons arrested and/or convicted of criminal offenses. A significant component of this mandate is ensuring that the criminal justice system events, arrests, prosecution, disposition, and custody are positively linked by fingerprints to each individual for whom data is stored. This information is provided for a variety of purposes the fall into two basic categories criminal and non-criminal.

In criminal cases the information is used by all elements of the criminal justice community to support the particular activities of each. Examples include, use of fingerprints from bookings and crime scenes to identify arrestees and perpetrators, use of criminal history information to assist investigators, police, prosecutors, and others. Access to and use of this information is not limited

to agencies within the State. Additionally, criminal history information is used to support elements of the DNA registry and the registry of certain classes of offenders, e.g., sex offenders.

Non-criminal use of this information is primarily to provide background checks for a variety of purposes. These include background checks for employment, for re-certification of certain classes of individuals, for certain types of permit holders, and to screen potential jurors.

The Department's strategic plan is to address all elements of the operation of its criminal history repository. This includes improvements to the data acquisition process as well as improvements in the processing and management of the data within the system. Results of this will be increased accuracy, currency, and relevance of all information stored and provided to users. Accurate and timely responses to inquiries will be a natural result of these improvements.

Estimated Life: Ongoing.

Estimated Development Time: AFIS; expansion and enhancements through FY 01. Criminal records repository. FY 00 through FY 02.

Technology Used: Hardware includes; various telecommunications equipment, standard and Unix workstations, database servers, printers, and communication gateways. Software components consists of; specialized fingerprint imaging and matching applications, Unix operating system, Oracle RDBMS, communication products, and application integration components. Telecommunication components consist of; dedicated wire line circuits, LANs in facilities, dedicated and commingled WANs.

BIS Service Impact: Components of criminal justice information network include the State's WAN.

User Community Impact: Users of the criminal history system include all members of the criminal justice community as well as the employees of the Department's repository. Training will be provided to the Department's employees by the providers of the various systems. New electronic interfaces with law enforcement, prosecutors, courts, and corrections will require training of those agencies and significant interaction between the Department's system providers and the technical and liaison staff of criminal justice agencies. Any employee of the Department's providers who has access to the criminal records will be required to submit to a background check.

Alternatives That Were Considered: The only alternative to computerization is to continue the manual system. This is not a viable alternative.

Maine is the only state without a computerized criminal history system. Currently, participation in important national systems requires computerization at the earliest possible time. As examples, participation in the Interstate Identification Index system and in the National Fingerprint File system requires computerized criminal records. Within the state, acquisition of accurate and current data and timely response to inquiries require significant changes in processing that can be accomplished only by computerization. As examples, data from agencies

is received on paper documents and processed manually; responses to inquiries require manual sorting of criminal data followed by typewriting the results using electric typewriters.

There are multiple alternatives for system solutions. There are multiple alternative implementation approaches to accomplish these solutions. The best will be selected through the procurement process defined by the State.

Expected Benefits: State Bureau of Identification users will see an immediate improvement in workflow efficiency and in their ability to manage the flow of data into the repository and the dissemination of criminal records. The system functionality will enhance the Department's ability to ensure accuracy and currency of the information it stores and disseminates.

The criminal justice community will find that submission of information to the State Bureau of Identification will be greatly facilitated by the electronic interface mechanisms that will be provided. The identification component of the system will allow identification of crime scene prints with the resulting improvement in crime solution. The ability of the system to notify agencies of relevant events, for example, notification of a probation officer when one of his or her probationers is arrested for a crime, will provide a variety of benefits as agencies become more aware of the criminal activity in their jurisdictions.

All agencies will benefit from the improved access to records which will now be available on-line, containing current data, and presented in form and content well suited to the particular inquiry.

The principal effect, and, indeed, the purpose of computerization, will be increased public safety. In addition, the public will benefit from the ability to directly access criminal records of various types as permitted by statute.

Initiative: Incident Management

Business Function Affected (Description): Public Safety's incident management initiative consists of three projects; computer aided dispatch, records management, and mobile workstations. Computer aided dispatch supports dispatch and other incident processing functions occurring in the Department's four Regional Communication Centers. During call/incident handling, data is collected in the communication centers to assist dispatch and responding personnel. Portions of this data are then forwarded to a records management system to initiate the records/case management activities. Ruggedized laptops assigned to patrol and investigatory personnel will facilitate the collection of data and flow of information between central databases and mobile units. Where wireless data communication coverage exist real-time interfaces with computer aid dispatch and other law enforcement system enhance officer/public safety and incident management operations.

An older computer aided dispatch system is currently in operation in each regional communication center. A companion records management system is operational in only in the Augusta region. This system does not meet the requirements of the Department and state wide deployment was curtailed.

Replacements for both applications will be acquired through the competitive procurement process. Target time frames are, records management in FY 00 and computer-aided dispatch in FY 01. The Provider(s) will be responsible for implementation, configuration, initial training, and ongoing support. Department personnel will manage the project, conduct user training, and coordinate ongoing support and maintenance.

Currently the Department is focusing resources on the procurement, implementation, and ongoing support of a records management system for the Maine State Police and eventually other law enforcement units within Public Safety. This service will enable the Department to capture, disseminate, and analyze incident data that is currently only partially automated. The system will improve the effectiveness and efficiency of case management processes, many of which are manual and/or not integrated. It will facilitate the electronic submission incident data to the State crime information database in the FBI's National Incident Based reporting System format. Additionally the system will electronically interface with the computer aided dispatch and message switch systems.

The project to procure, install, implement, and maintain ruggedized laptops in Maine State Police patrol vehicles is exploring a variety of funding scenarios. Integrated in the project is the provisioning of wireless or alternative telecommunication technology to provide access to criminal justice information assets. Mobile workstations will support and enhance current and planned business functions of the Maine State Police field units including routine patrol activities, incident management, case investigation, and intelligence operations. Overall they will reduce the need for field units to travel to Troop Barracks or other Department facilities to complete case reports and look up information.

The Department intends to procure mobile workstations through a Provider using a service format with in-house personnel managing the project and establishing provisions with the Provider to ensure ongoing support and maintenance. Considerable knowledge of mobile workstation hardware, software, and telecommunications issues has been obtained through a number of small pilot projects. Six months is the estimate for completing the competitive procurement process and establishing an Agreement.

Relationship to the Agency's Strategic Business Plan: The Department's strategic plan includes a number of current business processes and new initiatives that will be supported and enhanced with the implementation of this technology initiative. Strategically the Department is looking to improve the efficiency and effectiveness of its patrol resources, improve the collection and dissemination of crime information, obtain accreditation as a law enforcement agency, enhance officer, and as always, protect the lives and property of the public.

The technology and system implemented through this initiative are transferable to other law enforcement agencies that are partners with the Department. These include wardens from Inland Fisheries and Wildlife and Marine Resources who are dispatched through Public Safety communication centers.

Estimated Life: These services will become permanently integrated into the Department's law enforcement operations. Software components typically have life cycles from three to five years and forward migrations are anticipated in the future.

Estimated Development Time: An Agreement for the records management system is anticipated to take effect July 2000. The statewide rollout of a records management system is estimated at one year. Procurement of a new computer aided system will start in Summer 2000 and is estimated to take at least one year. Mobile workstation procurement will be begin will funding sources are established.

Technology Used: Hardware components consist of; ruggedized laptops, vehicle mounting systems, and modems. Software components consist of; Windows 95/2000, and standard Department field applications. Telecommunication components; wireless CDPD in vehicle, LAN/WAN at Departmental facilities, standard voice for non-coverage locations, and possibly State RF system within the project life cycle.

BIS Service Impact: This initiative will utilize the criminal justice information network to transport data and information. Components of this network include the State's WAN. For personnel located outside of wireless coverage areas and Department facilities, dial in remote access may be utilized to access information.

User Community Impact: There will be a significant training requirement for all personnel using the system. Training material and recommended plans will be provide as part of the Agreement for each project. Given the geographically diverse and large number of users it is expected that the service will be phased into operation. The Department is planning to develop core-training resources to ensure ongoing training for new hires and existing staff.

Alternatives That Were Considered: The Department continues to fall further behind in meeting reporting requirement, information dissemination, and personnel efficiency under its current mostly manual records management processes. The computerized system in use in one region is not providing the necessary benefits. Continuing with either alternative is not feasible.

Expected Benefits: The Department will be able to collect and submit incident based information with the implementation of an enterprise wide records management system. This will allow the Department to obtain federal NIBRS certification and assist with efforts to achieve national law enforcement accreditation.

Officer and public safety is enhanced by the delivery of timely, accurate information. In addition the quality, quantity, and consistency of data will improve from the implementation of records management. This will improve the Department's ability to manage its law enforcement resources.

Newer generation systems facilitate the integration of external data sources and new technologies. These will result in new functionality, improved access, and better information generation capability.

As access to these system is expanded to additional sites and wireless technologies become available, law enforcement personnel will be able to spend more time in their patrol areas and less traveling to/from Department facilities to complete case/incident reports and look up information. Along with the increased officer presence will be a decrease in vehicle mileage and other expenses incurred traveling to/from these facilities.

Public requests for case information will be more efficiently processed with the new records management system. Considerable resources are consumed filing, filming, copying, and disseminating paper case reports. There are limited electronic search and distribution capabilities in the central records management unit.

Direct in vehicle access to information systems increases the effectiveness of dispatch and incident management operations. This direct access will result in more vehicle registration and driver queries by officers. As a result a proportion increase in the identification and apprehension of wanted persons and stolen property will occur. Officer safety is enhanced by the delivery of timely, accurate information.

As additional information systems come on-line and are integrated into field units the quality, quantity, and consistency of data will improve. Data can be captured at its source and other technologies such as bar code readers can be incorporated. Officers will be able to spend less time manually completing paperwork. The electronic capture of data has efficiency ramifications in other programs and Departments as the need to manually enter the data is reduced.

Initiative: Core Services (Maintenance)

Business Function Affected (Description): Providing for the ongoing support, maintenance, upgrade, and refresh of core information technology services are covered by this initiative. In general this covers hardware such as desktops, servers, printers, and hubs/switches. Software items include desktop applications, e-mail, workstation/network/server operating systems, and relational data base products.

The Department's IS unit currently supports 425 desktop/laptop workstations, over 100 printers, 25 Novell/NT servers, in 20 plus locations throughout the State. 7 by 24 hour support is provided to the four State Police Regional Communication Centers.

All traditional desk bound personnel now have access to standard desktop services. Civilian and sworn field personnel are provided with mobile technologies such as laptops and/or have access to shared workstations located throughout the State.

Bureau Directors are encouraged to budget for a four-year hardware refresh rate and to flat fund software, support, and connectivity costs.

Projects in process include migration to MS Office and Exchange for core desktop applications, implementation of online helpdesk support, and improved resource management.

Relationship to the Agency's Strategic Business Plan: The Department strives to provide quality services to the citizens of the State of Maine, criminal justice partners, and other customer and business associates. Utilizing modern technologies supports the ability for personnel to deliver service services effectively, efficiently and to continually improve.

Estimated Life: Ongoing with refresh rates varying on the technology, other initiatives, products upgrades, and other factors.

Estimated Development Time: Continuous.

Technology Used: Standard desktop workstations, laptops, printers running Windows 95 and Lotus SmartSuite. NT 4, Novell 3.2 and 4.2 servers.

BIS Service Impact: BIS provides WAN connectivity and Internet routing service.

User Community Impact: A helpdesk service is provided to assist users with various questions and problems. Specific training is conducted for major upgrades or new service introductions.

Alternatives That Were Considered: Not applicable.

Expected Benefits: Core desktops services have become a necessary component of productivity tools provided most knowledge workers. These services allow personnel to more efficiently perform their job tasks through the use of e-mail, word processors, spreadsheets, etc. In many cases workers cannot effectively perform their jobs unless access to these service/tools is provided.

A standard desktop platform allows the Department to lever a base level of user knowledge and technical capacity as business function related information systems are developed. These information systems more readily supported in a standard architecture, user adaptability is greater, and the opportunities for data integration are enhanced.

Initiative: Accident Information

Business Function Affected (Description): The Maine State Police is charged with collecting, analyzing and reporting information regarding traffic incidents within the State of Maine. There are over 40,000 crashes a year resulting in approximately 190 fatalities, 12,000 injury crashes, and 16,000 personal injuries.

The current method of data collection relies on a paper form completed by the law enforcement officer in the field. The forms are then submitted through the Maine State Police Traffic Division for verification and forwarded to MDOT for data entry and archiving. In addition, the motorist(s) involved in the incident are required to complete a "48-hour" and submit it to the Bureau of Motor Vehicles.

The data resulting from this process is used to generate information used by several agencies (state and federal) in the focusing and allocation of resources to save lives through education, enforcement, engineering and emergency medical services.

The Maine Mobile Accident Information Reporting System project (MMAIRS) was conceived to improve the timeliness, quality, and availability of information regarding traffic crashes through source data collection automation and validation, using currently available software and network communications technologies.

The Department's plan is to implement MMAIRS in three phases: Field, Agency, and State.

- Field Module. This module will provide for basic data collection, validation and completeness testing. Through the use of validation tables and drop down list, the officer in the field will be able submit complete and consistent reports to MDPS Traffic in a timely manner.

- Agency Module. This module will act as the consolidation point for the agencies field modules and provide for some local reporting and analysis of crash data.

- State Module. This module will act as the repository for all the state crash data and provide for the dissemination of crash data to all interested parties.

Relationship to the Agencies Strategic Business Plan: The Maine State Police is charged with the collection and dissemination of crash information. In this light the MMAIRS project was designed to make the State Police the repository and point of contact for all crash data while improving the timeliness, quality, and availability to crash data to all interested parties.

Estimated Life: Ongoing.

Estimated Development Time: The field module is completed, has undergone field test, and is awaiting the Agency module for disbursement. The agency module is currently under development and expected to be complete by December 2000. Work on the state module will start as soon as the agency module is complete. Estimated completion for the complete implementation and roll out is early 2002.

Technology Used: Hardware includes: laptops, workstations, and database server. Software consists of: specialized software written in visual basic and using MS Access, Oracle, and TCP/IP communications. Telecommunications will be over the Criminal Justice Information Network (CJIN).

BIS Service Impact: Components of CJIN include the State's WAN. When the "48 Hour Form" is implemented, as a web page there will be some impact as motorists connect from outside the state WAN to complete their reports on line.

User Community Impact: All law enforcement personnel will need training to effectively use the system. A training program has been developed, tested, and will be used with system rollout.

Expected Benefits: Public safety improvements through:

- Timely and accurate data concerning crash location, conditions, environment, and driver status.

- Focus of analysis and resources on current problems and issues.

- Officer productivity will be improved in that reports should become more complete and accurate thereby reducing holdups and/or rewrites due to incomplete and illegible recording.

- Local analysis of crash data will be available to the local agencies through the agency module.

- Standardization of crash data collection will result in improved data quality over time.

PUBLIC UTILITIES COMMISSION, MAINE
INFORMATION TECHNOLOGY PLAN

Submitted by: Ann Cook, IS Manager
Date Revised: February 29, 2000

Introduction: This plan covers the critical IT needs for the Maine Public Utilities Commission (MPUC) for the next five years. It is being developed by the IT staff with input from Commission staff, and will be reviewed and approved by management. All IT initiatives support the strategic direction of the MPUC. Our goal is to use technology to maximize our productivity and the public's accessibility to the Commission. As a public service agency, accessibility to the Commission and its resources is a high priority. The ability of the public, utility companies, interveners, researchers, and other interested parties to have access to all available information is important for the operation of the Commission. Public information and education are particularly crucial for the operation of emerging competitive markets. The Commission's website has been the primary tool for the increased public accessibility.

Initiative: Virtual Docket

Business Function Affected (Description): The MPUC will begin a pilot project that will enable the Commission to provide Internet access to all of its case files. This "virtual" docket will be an electronic duplicate of our case files. This initiative, coupled with the "Schools and Library Program," will allow the public "on demand" access to Commission records electronically. It will also increase staff productivity and reduce copying costs because the staff at the MPUC will have access to these electronic documents.

Relationship To The Agency's Strategic Business Plan: Our "virtual" docket is a key part of our goal to make the Commission accessible to the public – on-demand, i.e., anywhere and at anytime. It is also a necessary part in our effort to move away from paper, thus increasing the efficiency and effectiveness of our staff. It will decrease Commission operating costs and paperwork, while increase the quality of service we provide to our customers.

The "virtual" docket will reduce the Commission's operating costs and paperwork, while increasing the quality of service the Commission provides to its customers and accessibility to the public.

Estimated Life: 10+ years.

Estimated Development Time: This capability has been under development since 1997, with the Commission effort to develop our Administrative Tracking System. We should be able to complete the pilot within three months.

Technology Used: The Commission has installed the software that allows for scanning of documents, but that software will be upgraded to implement the "virtual" docket system. A Web server will need to be installed which will be housed at InforME. This server has already been purchased.

User Community Impact: Some in-house training will be required but it will be minimal. The public access via the Web should not require training.

Alternatives That Were Considered, and Why They Were Rejected: The Commission has reviewed a variety of software from different companies that specialize in this type of capability for more than a year looking for a least cost solution. We have also worked with a select group of utilities during this research period.

BIS Service Impact: More traffic on the Internet and State WAN.

Expected Benefits: This initiative will greatly benefit the public by allowing more readily available access to Commission documents. It will also save copying costs because the staff will be able to access files electronically.

Initiative: Electronic Filing

Business Function Affected (Description): Electronic filing will improve our ability to provide quality service to our customers and will help to enable the full implementation of our "virtual" docket system. The goal is to have an interactive Web site that will allow the public to submit filings electronically and reduce the number of paper copies that they now have to file.

Electronic filing is integral to our effort to use the Internet for any business transaction with the Commission. The development and implementation of electronic filing, initially using FTP protocols and dial-up modems, will be a key aspect to this. This initiative will significantly increase the efficiency of our business transactions, improve the timeliness for the delivery of our services, and reduce costs.

Estimated Life: 10+ years.

Estimated Development Time Period (begin/end): This capability has been under development since 1997, with the Commission effort to develop our Administrative Tracking System. We should be able to complete the pilot within three months.

Technology Used: The Commission has installed the software that allows for scanning of documents, but that software needs to be upgraded. A Web server will need to be installed and housed at InforME. This server has already been purchased.

User Community Impact: Some in-house training will be required but it will be minimal. The public access via the Web should not require training.

Alternatives That Were Considered, and Why They Were Rejected: The Commission has been looking into different companies that specialize in this type of software for more than a year. The Commission was looking for a least cost solution.

BIS Service Impact: More traffic on the Internet and State WAN.

Expected Benefits: This initiative will provide improved customer service, enable electronic business transactions with the Commission, and with the "virtual" docket, greatly benefit the public and staff by allowing more readily available access to Commission documents. It will also save copying costs because the staff will be able to access files electronically.

Initiative: Real Video

Business Function Affected (Description): The Commission is currently broadcasting its hearings live via the Web using Real Audio software. The MPUC would soon expand that capability to include capturing video of witnesses and sharing whiteboard documents. These sessions will also be archived for a specific period of time to allow for people to view deliberations or hearing that they missed or were unable to access at the time of the live broadcast.

Relationship To The Agency's Strategic Business Plan: This initiative greater expands the accessibility of the Commission, its activities, and its resources to the public-at-large. Our live broadcasts using "RealAudio" have received broad support from many people who do regular business with the Commission and attest to the value of such technology.

Estimated Life: 5+ years

Estimated Development Time: 3 Months

Technology Used: The Commission would have to purchase the video equipment necessary, plus purchase additional Real Networks software.

BIS Service Impact: This will require additional bandwidth. We have discussed going though InforME for this service.

Expected Benefits: This would allow the Commission to provide better quality public access to its hearings and deliberations.

Initiative: GIS

Business Function Affected (Description): The MPUC wishes to expand its in-house GIS capabilities in order to analyze power outages, service reliability issues and other data related to the utility industry.

Relationship To The Agency's Strategic Business Plan: Developing our Geographically Information Systems capability will allow us to provide more accessible and meaningful information to the public and improved analytical support to the Commission as we move from a strict regulatory environment for the provision of utility services to the use of the competitive market to provide these services.

Estimated Life: 5+ years

Estimated Development Time: 4-6 Months

Technology Used: The Commission currently has Arcview installed and will be acquiring a plotter.

User Community Impact: Three Commission staff members have already been though the necessary training.

BIS Service Impact: Additional WAN traffic.

Expected Benefits: This will give the Commission the ability to perform analysis and provide necessary data to the public to enable them to make informed choices about their utility services in a competitive market.

Initiative: Microsoft Exchange

Business Function Affected (Description): The MPUC will be moving from ccMail to Microsoft Exchange.

Estimated Life: 5+ years.

Estimated Development Time: Two months.

Technology Used: The Commission is considering signing a service level agreement with BIS.

User Community Impact: This will require in-house training, but the Commission would have an in-house person who would be trained to train the staff.

Alternatives That Were Considered, and Why They Were Rejected: The Commission has considered maintaining its own server in-house. We are still evaluating this alternative.

BIS Service Impact: More traffic on the WAN and BIS would be in charge of the migration and support if an SLA is signed.

Expected Benefits: The staff will benefit by having newer technology and more capabilities with this newer software, and will be more interconnected with the state systems, thus enhancing their ability to telecommute and to work while away from the office on business related travel.

Initiative: Web Accessible Library Catalog

Business Function Affected (Description): In 1987 the Commission established an in-house library called the Information Resources Center (IRC). The IRC contains books, periodicals, and other resources pertinent to all issues discussed and decided at the Commission. The Commission is currently using cataloging software and will be making this information accessible to the public via the Web.

Relationship To The Agency's Strategic Business Plan: The ability of the public, utility companies, interveners, researchers, and other interested parties to have access to all available information is important for the operation of the Commission. Public information and education are particularly crucial for the operation of emerging competitive markets. The Commission's website has been the primary tool for the increased public accessibility. Providing access to the IRC resources via the Web further increases public access to Commission resources.

Estimated Life: 5+ years

Estimated Development Time: 1-2 Months

Technology Used: This will be connected using the same server as the one used for electronic filing. Software will be purchased to make it web accessible.

BIS Service Impact: Additional Internet traffic.

Expected Benefits: This would allow the public to access Commission library cataloging materials electronically.

Initiative: Maintenance

Business Function Affected (Description): Maintain the Commission's existing technology infrastructure which includes replacing approximately one third of the computer hardware and upgrade or replace one third of the software applications each year. The Commission's infrastructure includes approximately 80 personal computers, 6 notebook computers, 10 network printers, 2 NT servers, 1 Novell Server, a local area network, an imaging system, a case tracking system, a library cataloging system, and other miscellaneous programs unique to agency. This maintenance program includes migrating from Lotus ccMail to Microsoft Exchange Mail.

Relationship To The Agency's Strategic Business Plan: The Department's strategic plan states that it is critical for regulatory agencies to keep abreast of technological changes to effectively and efficiently regulate various industries.

Estimated Life: This is an on going business requirement.

Estimated Development Time: This is a continuous initiative.

Technology Used: The Commission is standardized on Windows NT for its operating system, is migrating to Windows NT from Novell for its network operating system, Oracle and Access for database development languages, Microsoft Office 2000 for its office productivity tools and Microsoft Exchange and Outlook for electronic mail.

User Community Impact: Transition training is provided for software changes and major upgrades.

Alternatives That Were Considered: Ad hoc hardware and software upgrades were rejected because the Commission cannot implement major infrastructure changes fast enough to accommodate new applications mandated by ever changing business requirements. The Commission found that replacing hardware on an annual basis was easier to budget and manage as far as the workload.

BIS Service Impact: The Department's maintenance program does not change the impact on BIS services in any significant or identifiable way. However, the Department does use available technology to take advantage of enterprise wide services such as the telecommunications, wide area network, remote network access services, central accounting and human resources applications, and budgeting applications.

Expected Benefits: This allows for better planning and use of technological advances.

TRANSPORTATION, DEPARTMENT OF
INFORMATION TECHNOLOGY PLAN

Submitted by: Raymond E. Halperin, Director Information Systems
Date Revised: February 8, 2000

Introduction: The Maine Department of Transportation Information Technology Plan is prepared by its Information Systems Steering Committee (ISSC). The MDOT ISSC meets regularly - assessing progress on IT projects, prioritizing work efforts, establishing budgets, approving policies and generally applying a department wide perspective to IT efforts. The MDOT ISSC is comprised of representative Bureau Directors, representative Office Directors and the Chief Engineer.

Initiative: Computer Aided Design and Drafting

Business Function Affected (Description): Computer Aided Design and Drafting (CADD) is an ongoing MDOT initiative that supports the development of capitol improvement projects, from initial survey data capture through to long term maintenance of the constructed facility. Although MDOT's use of this technology is quite mature, there are continuous quality and efficiency improvements being made that positively affect the delivery of facility improvements projects. The Department, as part of its strategic plan, will be distributing project development capability to its Division offices. Current and future development of CADD functionality supports that plan.

Estimated Life: Approximately 10 years

Estimated Development Time: Ongoing

Technology Used: Bentley Systems MICROSTATION for drafting, Infrasoft's MOSS products for design, AASHTO's Survey Data Management System (SDMS), various add on packages, WINDOWS NT servers and workstations, and a number of high quality plotting devices. Two DEC ALPHA servers host these, and other applications. The oldest server, running VMS, will be replaced within the next year. CADD workstations are "refreshed" similarly to regular PC's.

User Community Impact: There is an ongoing training, education and testing effort as new more efficient methods and procedures are developed.

Alternatives That Were Considered: All software and hardware was acquired using competitive procurement methods.

BIS Service Impact: There is an increasing distribution of this capability to locations outside of Augusta, and although full CADD capability will be locally served up, there will be occasional large file transfers required across the WAN.

Expected Benefits: CADD systems provide the only way to deliver effective and efficient capital improvement program project materials. Three to four to one productivity over manual methods is standard.

Initiative: TIDE – Transportation Information for Decision Enhancement

Business Function Affected (Description): TIDE is a data warehouse with Geographic Information System (GIS) capability. It contains infrastructure related data and provides analysis capabilities to many areas of the MDOT: safety, capacity, financial, maintenance, and has both tabular and mapped output capability. Phase I was completed in October of 1999. Phase II will begin about March of 2000. There are two components to Phase II - one is a location-referencing engine that would perform the synchronization of locations that allows for integration of data. The other component is the addition of new data to the warehouse and enhancements to the functionality of the warehouse and mapping tool. A phase III is expected that will complete the migration of the department's enterprise inventory system to new technology. The types of analysis that TIDE is capable of and operational improvements in infrastructure management provided by TIDE are part of the MDOT's strategic plan.

Estimated Life: Approximately 10 years, with upgrades and maintenance

Estimated Development Time: Phase II will begin in March of 2000 and will be about an 18 month effort.

Technology Used: Oracle databases, ESRI products, Hummingbird GQL, WINDOWS NT servers and workstations, color printers and plotters. Hardware and software "refreshes" are required to keep TIDE operating at an optimal level.

User Community Impact: There will be a considerable training and education component to this effort.

Alternatives That Were Considered: The TIDE effort is a "leading edge" development. There are no other alternatives.

BIS Service Impact: This is an increasing distribution of this capability to locations outside of Augusta. Current usage by remote locations does not indicate a significant WAN impact. Investigation is underway regarding the relative merits of local versus centralized data stores.

Expected Benefits: Analysis of data, and presentation of the results in mapped forms, is possible with TIDE in ways that were never possible using other methods. This system is one of less than half a dozen in the United States with this kind of capability. Significantly enhanced communications with the Legislature, the public and within the department are already in evidence.

Initiative: Document Management and Workflow

Business Function Affected (Description): The Department has initiated three studies in the document management and workflow arena. One is oriented to documents associated with financial transactions, one is associated with documents pertaining to project development, and the third covers all remaining department documents and workflow.

Estimated Life: Indeterminate at present

Estimated Development Time: Unknown. Study team findings are due in April 2000.

Technology Used: Unknown at present.

User Community Impact: Unknown at present

Alternatives That Were Considered: A competitive procurement will be done. Commercially available solutions exist.

BIS Service Impact: Unknown at present

Expected Benefits: A combination of process re-engineering and technology application can reduce the amount of paper transferred and stored by the department. Ready access to information previously stored and filed on paper can make the department more effective and efficient.

Initiative: ProjEx - Program Project Management and Scheduling System

Business Function Affected (Description): ProjEx will be used to improve efficiency and effectiveness in scheduling projects and people. Information necessary for management and sharing of knowledge about projects will be available through an improved database. A GIS interface to ProjEx will be used to improve the project location information maintained with project records. This will also allow automatic population of database tables for use in queries and reports in ProjEx. ProjEx will enable MDOT to successfully manage a larger program (more projects). The department is focusing more attention on local arterial and collector roads as part of its strategic plan. This means more projects with shorter delivery times.

Estimated Life: 10+ years with upgrades and maintenance.

Estimated Development Time: This system is scheduled to be online in 2000. The core system was developed by NY DOT and transferred to Maine at no charge. Modifications are being made with a combination of in-house staff and contracted assistance. Off the shelf software is also included.

Technology Used: Oracle, WINDOWS NT servers and workstations, off the shelf software from ARTEMIS, ArcView, Avenue programming language, Centura Team Developer and Crystal Reports. As ProjEx grows in size, accumulating valuable historical data, server upgrades may be necessary.

User Community Impact: There is a considerable training and education component to this effort. Project management and scheduling concepts are key elements.

Alternatives That Were Considered: An extensive review of other DOT practices and procedures was conducted prior to embarking on the system effort. Custom developments were rejected as too expensive. NYDOT's system met most of the requirements for Maine.

BIS Service Impact: None anticipated

Expected Benefits: Better control and management of project schedules and resources required for completing a project. Improved and always up-to-date locations will be stored with project information. This will facilitate identifying, describing, and communicating locations of projects, and provide an ability to visually compare candidate project locations

Initiative: FREE2000 - FoRms Elimination Effort

Business Function Affected (Description): Time & Attendance (Salary Vouchers), Expense Reimbursement Requests, and Bill Paying (Invoices). These three functions account for

approximately 80 percent of the paper flowing from MDOT's personnel to the central office, and as well a significant majority of the paper forwarded to Accounts & Control, DAFS. Phase I expected to be completed by 9/1/00 implements the "front end", user interface components. Phase II will concentrate on the "back end", business office processes. FREE2000 is consistent with the department's continuous improvement program.

Estimated Life: 5 years

Estimated Development Time: 2/1/99 to 7/1/01

Technology To Be Used: Windows NT servers and workstations, Oracle with PL/SQL and WEBDB. Server capacity and capability is under continuous review.

User Community Impact: All MDOT non-Crew employees will be using these products. They are being designed for ease of use, accuracy of information and reliability.

Alternatives That Were Considered: Commercially available software was reviewed. None met the needs of the department.

BIS Service Impact: Data traffic is not a concern; a high degree of availability and reliability of telecommunications resources is.

Expected Benefits: Reduction of paper, data entry at the source (editing), employee empowerment, and supervisor involvement.

Initiative: MATS - Maintenance Activity Tracking

Business Function Affected (Description): MATS is a resource management and tracking system developed for the State of Vermont by Booz. Allen & Hamilton. MDOT's Maintenance and Operations Bureau is currently reviewing it to determine its capabilities and impacts with regard to maintenance management within MDOT. As a prelude to the implementation of a system similar to MATS, an asset inventory (culverts, guard rails, signs, etc.) data collection effort is being implemented, with data collection scheduled to begin in the fall of 1999. This will necessitate access to the database by 100+ personal computers located in field offices using Shiva dialup. MATS will assist in the department's stated goal of improving our knowledge of our physical assets (culverts, guard rails, etc.) and management of the resources required to maintain that infrastructure.

Estimated life: Unknown

Estimated Development Time: A pilot project was initiated in the spring of 1999 to determine the functional and technology fit between the system developed by the State of Vermont and the needs of the State of Maine. This pilot will conclude in the spring of 2000.

Technology To Be Used: Windows NT servers and desktops, SQL Server database, Shiva dialup. Approximately 130 new desktop devices are needed to support MATS. MDOT may

choose a CITRIX implementation. This would require three to four new servers. If not, server upgrades may be needed in each of MDOT's seven Division offices.

User Community Impact: Considerable. The end users have never before been required to use computers. Education and training in the use of maintenance management practices, as well as computer systems is required.

Alternatives That Were Considered: A review of other DOT solutions was done. Vermont's solution came closest to meeting the needs of MDOT. No commercially available software performs the functions.

BIS Service Impact: Users are currently experiencing problems related to network reliability and the accessibility of the asset inventory database via the dial-up network, which in turn casts doubt upon our ability to implement MATS in Maine. Increased reliability of WAN, LAN, and dialup connections, as well as a reduced complexity are necessary to successful implementation of a system such as MATS.

Expected Benefits: Full implementation of this system can bring about better management and utilization of MDOT's maintenance resources, and can provide performance measurements consistent with performance budgeting requirements.

Initiative: Crew Payroll, Personnel and Associated Functions

Business Function Affected (Description): The Department of Transportation currently maintains a modular system that provides payroll, personnel, private equipment, state equipment and associated functions for its maintenance work force. The system is technologically obsolete and difficult to maintain and extend. It does however provide functionality that state core systems cannot. The department is initiating an effort to examine replacement alternatives, develop a plan and implement a new system. This initiative supports the department's plan to better manage its maintenance resources.

Estimated Life: The current system has existed for 25 years. The new one will be designed for a life of 15 years.

Estimated Development Time: One to two years

Technology Used: Unknown at present

User Community Impact: Considerable

Alternatives That Were Considered: A wide variety of alternatives will be considered

BIS Service Impact: A high degree of reliability in remote access will be required.

Expected Benefits: Ease of use, reduced manual processing

Initiative: Desktop Functionality

Business Function Affected (Description): Provision of Desktop functionality for over 1200 customers in a geographically dispersed environment. Basic services include: electronic mail, word processing, spread sheets, presentation graphics capability, internet and intranet access, geographic information systems access, data warehouse access, mainframe and other telecommunications access, and for a high number of customers, computer aided drafting and design access. This initiative is oriented to implementing the MS Office, Exchange and Windows 2000 software updates.

Estimated Life: 1-4 years (software changes are required more frequently - desktop hardware changes are programmed at 4 year intervals)

Estimated Development Time: Three years

Technology Used: WINDOWS NT servers and workstations, SMS, LOTUS SmartSuite, MS Office, cc:Mail, Hummingbird GQL, ESRI products, MS Internet Explorer, IBM MF and associated software, Oracle Database, SQL Server Database, ArcServe backup software. Additional server capacity will be required to affect the software transitions described, and provide ongoing services for the department's efforts.

User Community Impact: Document, spreadsheet and database conversions. Learning new software.

Alternatives That Were Considered: Several. The emergence of MS products as "state standard" occurred after other choices were originally identified as best for MDOT.

BIS Service Impact: There is a need for a high reliability WAN and LAN interconnect capability, a high reliability INTERNET connection, rapid and responsive telecommunications problem resolution and a much improved dial-up capability before any expected benefits can be realized.

Expected Benefits: Seamless, transparent delivery of a wide variety of IT services that assist in delivering the programs and products of the department

Initiative: Existing System Maintenance

Business Function Affected: MDOT has several core systems that require continuous maintenance, dependent upon legislative and/or collective bargaining contract changes. MDOT's policy concerning legacy systems is that no discretionary maintenance will be performed. These systems include: MDOT accounting and financial management systems (including PROMIS, MEDIA, FACT), MDOT fleet management and parts inventory systems (MESIS and IDS), MDOT's implementation of the AASHTO TRNSPORT system (for managing capital improvement projects), and MDOT's Crew Payroll and Personnel System (PPC).

Estimated Life: 10+ years with upgrades and maintenance.

Estimated Development Time: Not Applicable

Technology Used: The technology range is PL/1, COBOL, Easytrieve, FAVER, Panvalet, CICS, IBM MF, AS/400, FTP, WINDOWS NT servers and workstations, Oracle Database, WebDB and others

User Community Impact: Discretionary enhancements in existing systems have been curtailed. Modifications are now being made only when legislative, regulatory, collective bargaining, or high priority best practices review indicates a necessity for change.

Alternatives That Were Considered: Not applicable.

BIS Service Impact: Minimal, mainly in the Operations area.

Expected Benefits: These systems provide the functionality required by the department to operate effectively.

WORKERS COMPENSATION BOARD
INFORMATION TECHNOLOGY PLAN

Submitted by: Paul J. Fortier
Date Revised: March 23, 2000

Introduction: The Workers' Compensation Board's Information Technology Plan was initially prepared by the Agency Technology Officer following a series of strategic planning meetings with upper management and information gathering sessions at each of the six (6) WCB offices. Some of the initiatives listed below were also identified in a consultant's report following a review of WCB operations.

Initiative: Board System Rewrite

Business Function Affected (Description): A comprehensive review of the WCB application and database was performed to assess the viability for modifying the current system. The determination was made that rewrite would be more efficient and expeditious. The changes necessitated by the MAE program forced the rewrite of the Claims Management Unit first. Only those changes required for the MAE program we implemented at this time. The schedule is to perform an analysis and develop new programs for the Coverage Unit and then return to complete the Claims Unit.

The WCB system collects information on all State of Maine employers to assure that each entity required by law have workers compensation insurance. The system also is the repository of data for all lost time workplace injuries and subsequent reporting elements for Maine employers. The Board also is the primary provider of information to Department of Labor's Bureau of Labor

Standards. In addition, information is also forwarded to the Department of Human Services' Bureau of Medical Services and Child Enforcement on a weekly basis.

Relationship to the Agency's Strategic Business Plan: This system is the core system for all work performed within the WCB. The strategic plan identifies the current informational and functional needs of the Board as well as the areas where the Legislature has mandated increased information requirements. One such example is a program increases the monitoring and auditing of carriers and self-insured employers

Estimated Life: 10 – 15 years

Estimated Development Time: 2 years with ongoing maintenance and continual modifications as business needs change

Technology Used: Client server applications using a Novell network on the State's Wan. The database server currently is an IBM AIX server but plans are to share a common database server with the DOL's Bureau of Labor Standards. The database is Progress.

User Community Impact: The current system was written and implemented with minimal end user involvement. As the new system is written, analysis involving end user, management, and WCB staff will occur throughout the entire process. Staff is directly involved with the design of screens and functional aspects of system during the development process.

Alternatives That Were Considered: A review of systems in other states and offerings from software vendors occurred during the initial evaluation stage. All states had a homegrown system of some type and the software vendor's offerings catered to systems that insurance carriers would typically utilize.

BIS Service Impact: While the rewrite does not represent additional resource requirements from the infrastructure, a meeting and subsequent network monitoring with BIS identified programming efficiencies could be taken into account during new development.

Expected Benefits: The current system is very cumbersome and inflexible for staff to use. More important is that the system (database) lacks referential integrity and the accuracy of the data is a continual suspect when reporting carrier performance. The changes with provide a much more efficiently and data friendly environment for staff as well as providing a peace of mind where data accuracy is concerned.

Initiative: Electronic Data Submission

Business Function Affected (Description): The WCB receives on an annual basis in excess of 15,000 lost time First Reports from employers. In addition the Board receives an additional 30,000 or more subsequent reports of which 80% are data entered into the system. The goal is to provide multiple levels of electronic data submission of information, which will be available for all levels of sophistication.

Relationship to the Agency's Strategic Business Plan: Movement to electronic submission of information was specifically identified during planning meetings.

Estimated Life: Electronic submissions will be ongoing in the Boards future, no anticipated end to this direction.

Estimated Development Time:

1. Phase I – FTP submissions are expected to be fully operational for First Reports, Memorandum of Payments, and Notice of Controversy by 9/2000.

2. Phase II - EDI using the IAIABC standard is contingent on the successful inclusion of specific data elements. Upon approval the anticipated date is 1/2001. This is also contingent on BIS's installation of EDI software that is in the early RFP stages at this time.

3. Phase III – The development of web based entry screens for submission of First Reports by employers. Anticipated implementation 12/2000.

User Community Impact: The primary benefit of electronic submissions is to reduce the data entry function here at the WCB. Data entry is very time consuming and adds additional layers of potential data entry errors. Staff time is more beneficial in case management and monitoring than in data entry.

Alternatives That Were Considered: The three approaches identified are being used or in planning stages in other states. When Phase II begins the analysis point the Board will investigate the options of contracting out the service or bringing EDI in-house. No decisions have been made thus far.

BIS Service Impact: BIS has been involved with Phase I with access into the State's secured network. Phase II implantation is entirely dependent on BIS's installation of EDI software and VAN services. It is anticipated that web programming assistance will be requested of BIS when we begin that stage.

Expected Benefits: Shifting of staff resources from a data entry role to a case management and monitoring role. This would provide for more accurate data and allow staff to regularly monitor carrier's adherence to WCB rules and regulations. Ultimately the injured worker would realize a more expeditious process in claim resolution.

Initiative: Infrastructure Maintenance

Business Function Affected (Description): The underlying technical infrastructure that staff utilizes to perform daily functions requires technology refreshment, software release upgrades, and yearly subscriptions to online resources. Some of these items are: desktop hardware and software, networking hubs, server software (database and network), and online subscription access to Westlaw and Larson's Worker' Comp, database software, query reporting tools, scheduling software, etc.

Estimated Life: PC and network server (hardware and software) replacement schedule based on a 3-year cycle (1/3 per fiscal year). Desktop suite will be coordinated with State's schedule.

Estimated Development Time:

Technology Used:

User Community Impact:

Alternatives That Were Considered:

BIS Service Impact:

Expected Benefits: