

# MAINE STATE LEGISLATURE

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# Maine Office of Information Technology 2021 Annual Report



*MaineIT delivers reliable, secure, and effective technology solutions and strategies for State agencies to maximize service to Mainers.*

*To enrich and transform the delivery of government service to Mainers through technological innovation.*

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## Executive Summary

MaineIT is collectively cultivating an environment of collaboration, shared innovation, and citizen-centric service by delivering excellence in information technology (IT) services and developing strong, trusted partnerships. Throughout 2021, the State of Maine Office of Information Technology (MaineIT) has further traversed the path of being the trusted and preferred technology provider for all State of Maine Executive Branch agencies.

In the MaineIT 2020 annual report, we committed to creating a new future – a future built on the foundation laid by all our previous efforts and accomplishments. A future in which:

- Technology challenges are addressed collaboratively with agency business partners to provide a citizen-centric experience.
- We lead the way in bringing value-added technology solutions to the table.
- Our staff take great pride in their work which directly benefits Maine citizens.
- We have clear leadership alignment and a shared decision-making framework.
- We have the flexibility to offer proactive, expert technology advice and shared solutions while providing a superior experience for our business partners.

To facilitate the realization of our future vision, and to integrate our overarching effort of cultural improvement, MaineIT adopted four core values, Customer Focus, Accountability, Responsiveness, and Empathy (CARE), to serve as our core guiding principles for every decision, interaction, and service. As we actively move toward a holistic culture of CARE, our values are the underlying foundation for all major accomplishments that have been achieved throughout the past year.

The 2021 MaineIT Annual Report reflects on our transformation by highlighting areas of achievement, as well as areas in which we have identified additional opportunities in the coming years. Throughout this report, we highlight collaboration, self-improvement, and future vision initiatives. We detail both our annual accomplishments and future goals to ensure reliable and secure technology solutions and strategies that maximize services to the citizens of Maine.

**“ We do IT because we CARE ”**

## About Us

MaineIT, as part of the Department of Administrative and Financial Services, is a group of dedicated State employees and contractors striving to provide the highest quality services to our agency partners to ensure the public is served. We are a centralized, shared-services organization that directly delivers a full range of IT support, services, and innovation for Executive Branch agencies and provides selected IT services to the Judicial Branch and the four Constitutional Offices: The Secretary of State, Attorney General, State Auditor, and State Treasurer. MaineIT is also responsible for the operation and maintenance of the State's public-safety radio network.

MaineIT roles and responsibilities are legislatively authorized by statute: 5-M.R.S. Chapter 163: Office of Information Technology.<sup>1</sup> The roles and responsibilities of MaineIT and the Chief Information Officer include the complete spectrum of IT oversight and management for Executive Branch agencies and selected parts of the spectrum throughout State government. MaineIT services include providing:

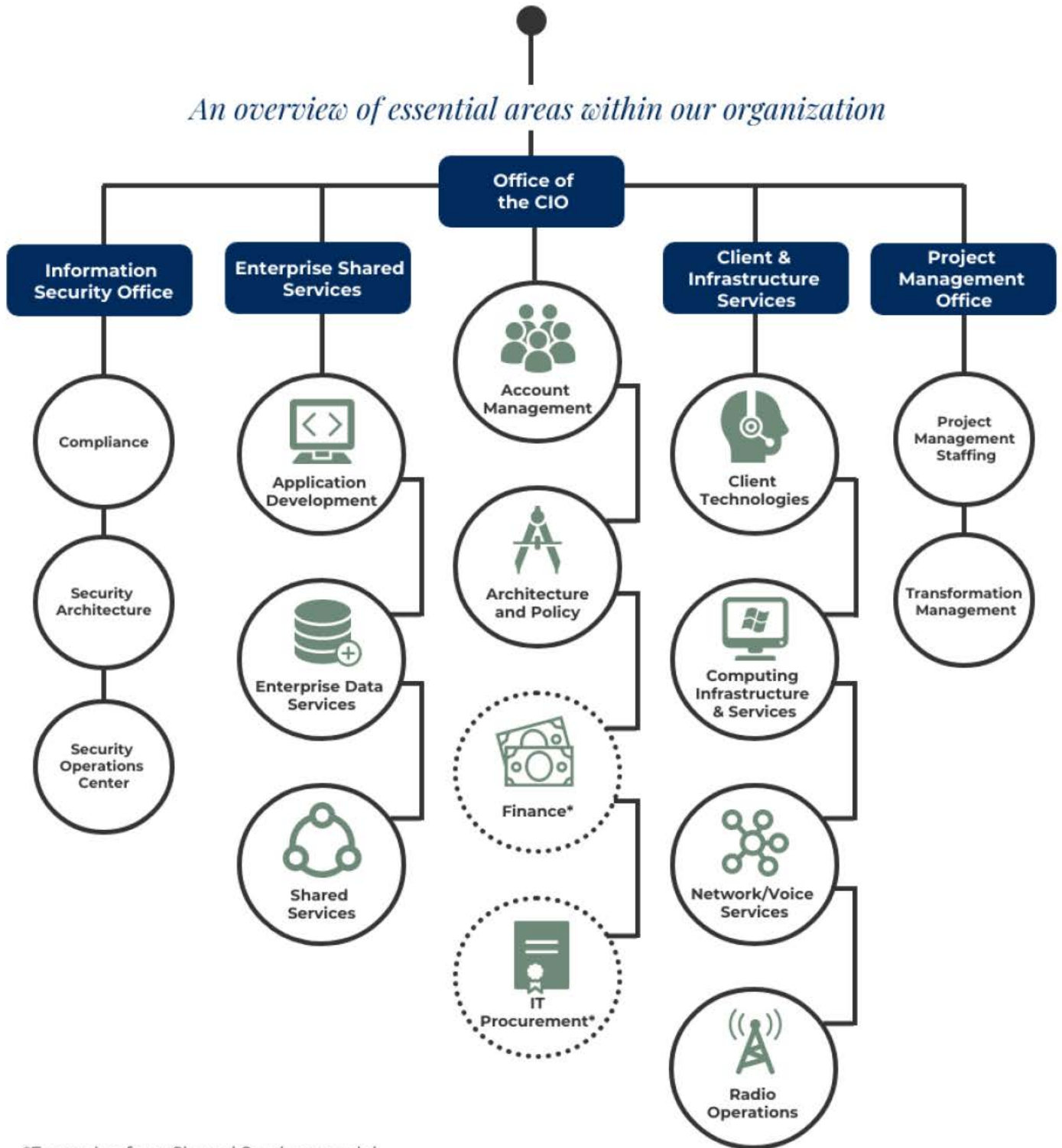
- Best business practices and project management (§1973);
- IT communications and coordination across State government (§1973);
- IT leadership and vision (§1973);
- Policies and standards (§1973);
- Strategic planning (§1974);
- Training and development programs for State employees (§1974);
- Approval of acquisition and use of equipment (§1974); and
- High-quality, responsive, cost-effective information technology services (§1981).

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<sup>1</sup> <http://legislature.maine.gov/statutes/5/title5ch163sec0.html>

# Teams within MaineIT

*An overview of essential areas within our organization*



\*Example of our Shared Services model

- **Client & Infrastructure Services**
  - **Client Technologies** provides client software, devices, and help-desk services to facilitate functionality, productivity, and ease-of-use for State agencies partners.
  - **Computing Infrastructure & Services** hosts 800 agency systems on 600 servers and provides foundational enterprise services such as the Microsoft 365 suite, email accounts, data backup, and file storage that are used by nearly every employee.
  - **Network/Voice Services** maintains, manages, and protects all communication through State data networks, including voice and wireless networks.
  - **Radio Operations** provides all two-way radio communications and designs and builds emergency communication systems for Public Safety vehicles.
  
- **Enterprise Shared Services**
  - **Application Development** teams provide and support the development, vendor selection, implementation, and maintenance of approximately 800 business applications.
  - **Enterprise Data Services** provides and supports agency data services by managing over 300 active servers and relational databases and by providing analytic services.
  - **Shared Services** consolidates business and technical operations for enterprise applications to standardize and streamline processes while reducing redundancies.
  
- The **Information Security Office** protects State information systems and assets by creating, approving, disseminating, and implementing security policies, standards, and controls. The Office also responds directly to threats and assists with recovery from cyber intrusions.
  
- **Office of the Chief Information Officer (CIO)**
  - **Account Management** ensures agency partner collaboration and alignment of business needs with IT solutions.
  - **Architecture and Policy** collaboratively creates, maintains, and governs the enterprise technology vision and related standards for consistent and secure processes.
  - **IT Finance** is one example of our shared partnerships. This partnership with DAFS Service Center provides vital business functionality through rate setting, budgeting, processing invoices, and providing financial support.
  - **IT Procurement** is another example of our shared partnerships. The group establishes and oversees contracts, acquisitions, and supports long-term value-added reseller relationships to help achieve State IT goals and objectives.
  
- The **Project Management Office** defines and maintains project management best practices and introduces economies of repetition into the execution and support of technology projects across the State of Maine. The Project Management Office is also charged with overseeing and managing the IT service portfolio.

## Key Focus Initiatives: Accomplishments and Goals

In 2021, MaineIT has engaged in projects to modernize our assets and improve security and performance among the services we provide to our agency partners and the public. The sections below highlight some of the key progress made over the past year as well as the goals we plan to prioritize in 2022.

### Application Modernization

MaineIT is focused on modernizing our application strategy to identify, align, select, and support investments in modernized IT assets for all Executive Branch agencies. Our approach to a modernized application service and delivery initiative will enable us to support changing needs, provide innovative solutions with a faster time to implement, support scalability, mitigate risk, and develop sustainable support models while meeting agency needs and aligning strategic priorities.

#### *Accomplishments from our Goals*

**Application Modernization Strategic Plan.** MaineIT is developing a strategic plan to align and focus our modernization initiative. The strategic plan will span the next several years and encompass key aspects for a truly modernized service and delivery approach including workforce, technology, governance and policy, service strategy, and delivery. Once finalized, the strategic plan will serve to cement our commitment and dedication to this work and the possibilities it brings to State IT.

**Maine Automated Child Welfare Information System (MACWIS) Modernization.** One major modernization initiative completed in January 2021 was the migration from our legacy child welfare application to a modern cloud-based solution. This project marked another major milestone as one of the first applications to interface with the Maine Service Bus for robust data exchange delivery. These efforts ensure the State remains positioned to comply with Federal guidelines while best meeting the needs of the public.

"I must say, your team has done an outstanding job supporting the project, and they are extremely helpful in finding solutions. They consistently assist in a kind and positive manner on any issue that might arise. They come to every meeting able and capable of helping – this is huge in any project, especially of this size."

- A MaineIT Agency Partner on the MACWIS Project

#### *Goals Moving Forward*

**Strategic Plan Implementation.** Over the next several years MaineIT will focus on finalizing and implementing identified strategies with a vision to provide cost-effective, secure, modern, reliable, sustainable, and adaptive solutions. To ensure success in our digital transformation journey, work will begin with small, focused efforts that lay the foundation necessary for full realization in the future.



## Client-Centric Service

In alignment with our CARE values, Client-centric means providing a positive experience for and collaborating successfully with our agency partners to ensure the citizens of Maine receive exceptional State service. Since prioritizing this as a cornerstone to our IT service delivery model, MaineIT has implemented several key initiatives to improve user experiences. Our approach has fostered open, trusting relationships that facilitate shared successes and outcomes.

### *Accomplishments from our Goals*

**Customer Service Portal.** MaineIT's Customer Service Portal was launched in 2021 as an easy way for agencies to access commonly requested items, services, costs, IT policy and IT information. This portal was one of the deliverables from our dedicated organizational development work over the past year. The feedback we have received indicates that this portal serves our users very well, as it is more organized and more accessible than anything we've offered before.

**Virtual Tech Connect Pilot Project.** In conversation and collaboration with agency partners, MaineIT piloted Virtual Tech Connect. This new and innovative 60-day pilot project was designed as a just-in-time help desk with no calls, queues, or waiting, providing agency partners with a virtual space to connect with IT subject matter experts on technology questions and support. As with many innovative initiatives in this new and virtual business world, no solid playbook existed for implementing such an effort. While it was eventually determined that the concept was not sustainable, this effort reflects both MaineIT's and our agency partner's commitment to shared partnerships and close collaboration to be innovative in the way we do business. All agency partners involved in this effort were immensely appreciative of the effort put forth to implement new and innovative concepts and business practices. Lessons learned will be key to carry forward to future service strategies.

"This Pilot service has provided a valuable resource for DEP employees to ask their questions and get a very quick response. I have heard from several employees that welcome this type of technical expertise in this platform. Please consider continuing this service in the future. Either for five days/week or even two or three days/week because it provides value. Thank you."

- A MaineIT Virtual Tech Connect Partner

**IT Applications using Low Code No Code Products.** MaineIT has introduced Microsoft PowerApps, which allow end-users to quickly build custom business applications that connect to data stored in various online and on-premises data sources (such as SharePoint, Microsoft 365, Dynamics 365, or SQL Server). This empowers our agency

partners to share in developing and producing business applications that better serve Maine citizens with the service lines of each agency.

**Microsoft Maine Open Office Hours Support.** MaineIT offers regularly scheduled Microsoft Office hours that allow agency staff to ask questions, learn more about existing products, and obtain timely awareness of new Microsoft products, pending changes, and planned improvements to existing products. As one aspect of our Statewide training opportunity initiative, this open office forum allows any agency member to increase their value and gain efficiencies in our Microsoft toolset offerings. In 2021, 294 State users signed up to participate in this service offering.

### *Goals Moving Forward*

**Self-Sustaining Culture of CARE.** In early 2022, MaineIT is launching an organization-wide CARE workshop series. During these workshops, internal ambassadors will learn techniques to leverage our core values (CARE) and train the rest of the organization using best practices from world-class organizations. Through this approach, MaineIT aims to build a self-sustaining culture of CARE at all levels of the organization.

The graphic features a dark blue header with the text "2021 CARE Award Winners" in white. Below the header is a white background decorated with colorful confetti. Four award categories are presented in separate boxes, each with a title, a list of names, and a small icon. The categories are: Customer Focus (Anil Bhardwaj, Michael MacPeek, Chris Siegel), Accountability (Thomas Allen, Adam Corcoran, Nicolas Genovese), Responsiveness (Bradley Bickford, Alyssa Brann, Victor Chakravarty), and Empathy (Candise Colfer, Adam Corcoran, Ann Salverson-Seales).

Customer Focus	Accountability	Responsiveness	Empathy
Anil Bhardwaj Michael MacPeek Chris Siegel	Thomas Allen Adam Corcoran Nicolas Genovese	Bradley Bickford Alyssa Brann Victor Chakravarty	Candise Colfer Adam Corcoran Ann Salverson-Seales

**IT Service Management.** In 2021, MaineIT began the work to implement an IT Service Management (ITSM) tool. The effort includes a total of seven modules, which will be implemented individually over the next few years: Knowledge Management, Problem Management, Service Catalog, Service Request Management, Asset Management, Change Management, and Incident Management. The holistic system, customized to fit State of Maine needs will replace several dated, legacy systems spanning back over 17 years. Through the implementation of a dedicated ITSM solution, MaineIT will be positioned to better support and facilitate tasks and workloads to deliver quality IT services to all agency and business partners.

## Digital Accessibility

As we move forward in this unprecedented time of digital transformation, and in light of the COVID-19 pandemic, it has become even more critical to make our digital information and services accessible to all Maine citizens. This includes people with disabilities, who make up about 16 percent of Maine's population as well as the State of Maine workforce to empower employees to serve the public. In 2021, MaineIT took great strides toward making the State's digital information and services available and accessible to the broadest audience possible. The below examples were achieved through our strategic initiative designed to elevate our accessibility program to the next level, reflect national standards, and build and sustain digital accessibility maturity across ten key organizational dimensions.

### *Accomplishments from our Goals*

**Digital Accessibility Awareness.** Accessible communication is crucial. To maintain awareness of the importance of digital accessibility for Maine citizens, over the past year, MaineIT included digital accessibility content in our monthly MaineIT newsletter. We adopted an internal digital accessibility communication plan, presented digital accessibility information at various forums, and updated our accessibility website (<https://www.maine.gov/oit/accessibility>) as we continue this path of maturing our accessibility model.

**Partnerships and Collaboration.** Throughout the past year, MaineIT has worked to continue to strengthen our Information Technology Accessibility Committee (ITAC) partnership. Through this committee advisory group, we have built critical relationships with agency committee members with a range of expertise and vested interest in digital accessibility. This effort has produced an accessibility website containing a wide array of educational resources for state agencies.

### *Goals Moving Forward*

**Build a Digital Accessibility Culture.** The number of requests for digital accessibility guidance has significantly increased over the past year as the importance of proactive accessibility has become more widely understood. To sustain this momentum, we will concentrate our strategic efforts on governance, communication, policy, compliance, fiscal, software development, testing, documentation, procurement, and training.

**Promote Multi-State Digital Accessibility Collaboration.** As part of the Maine-initiated Multi-State Digital Accessibility Collaborative, we are expanding our outreach to other states. In 2021, the collaborative has grown to eleven states, and we anticipate more growth in the future. We will leverage this collaborative effort to share information, identify best practices, and increase consistency between states.

## Finance

In 2020, MaineIT was transitioning through a staff change with our Finance Director and a key IT Finance support position. Since that time, these roles have been filled. In 2021, the IT Finance unit took a fresh look at the processes across the department and identified future goals for our funding model, financial performance, service priorities, and federal funding sources available due to COVID.

### *Accomplishments from our Goals*

**Funding Model.** In 2021, MaineIT received appropriations from the Legislature totaling \$7.1 million of which \$3 million involved equipment upgrades (Thank you!). This was a significant improvement as we aim to modernize several initiatives in the coming years through the general fund appropriation. IT Finance has identified areas of opportunity for 2022 and beyond including financial reporting/performance, quality of service, IT Security, and rate setting.

### *Goals Moving Forward*

**Fiscal Performance.** MaineIT spending as a percent of the total operating legislative budget in FY21 was 1.27%, which was less than the FY20 of 1.30%. The fiscal performance was highly influenced by unanticipated costs of IT services, which were elevated as a result of pandemic changes.

**Quality of Service & IT Security.** Our investment in quality IT Security services continues to remain a priority. In FY20, investment in this area was 3.65% of the IT budget. In FY21, investment in this area grew to 5.4%, getting us closer to the 10% national average.<sup>2</sup> The continuity of our IT services is a focus in FY22 as we make decisions on the next biennium rate planning cycle in collaboration with our agency partners. This effort is critical to manage IT costs in a world where supply chains remain unpredictable.

**Funding Sources.** The IT Directors and Finance team have leveraged federal Coronavirus Relief Funds (CRF) to support the needs of State agencies. These funds, totaling \$5.9 million were requested for unbudgeted remote workforce changes including IT Security, phone systems, and call center and network upgrades. In collaboration with agencies, our teams continue to review resources and respond to the pandemic challenges. In addition to federal funds along with the continued support from the Governor and Legislature, we will continue to align our fiscal model to support IT services that best serve Maine citizens.

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<sup>2</sup> [https://www2.deloitte.com/content/dam/Deloitte/ec/Documents/financial-services/DI\\_Pursuing-cybersecurity-maturity-at-financial-institutions.pdf](https://www2.deloitte.com/content/dam/Deloitte/ec/Documents/financial-services/DI_Pursuing-cybersecurity-maturity-at-financial-institutions.pdf)

## Governance

IT governance encompasses the processes by which organizations are directed, controlled, and held accountable. The practice of good governance focuses on documented boundaries and repeatable processes to align objectives and promote responsiveness, objective decision making, resource balancing, risk management, and accountability. Excellence in IT management and service delivery can be achieved through adoption of and adherence to structured, proven governance principles and practices.

### *Accomplishments from our Goals*

**Governance Modernization.** Proper IT governance is critical to ensure a consistent, aligned, and repeatable framework is established to inform decisions and accomplish business objectives. As part of our larger modernization efforts, MaineIT has published two sets (six total documents) for emerging technology governance. These documents provide a standard rubric for IT governance, which enable us to fulfill statutory responsibilities, best meet agency goals, and maintain alignment with our data and architectural practices and policies. The newly published governance documents include Microsoft Power Platform and Salesforce.

**Maine Service Bus.** The Maine Service Bus provides a platform to integrate data in a reliable and secure way between multiple applications. This platform exists between business applications to reduce the complexity of system integration and provide for the reusability of existing interfaces. During the past year, MaineIT launched a new service to modernize the integration of information and create an infrastructure to better support composable business architecture. As one example, the Maine Service Bus was a key component in the development of the Katahdin application for the DHHS Office of Child and Family Services, enabling rapid development and reusable components.

### *Goals Moving Forward*

**Data Governance.** Over the next several years, MaineIT will focus on data governance and the collective sharing of data with the goal to improve citizen interactions with government. Data governance, as an IT responsibility, encompasses all aspects of data, including data security, data lineage, master data management, and data loss prevention. Through an appropriate governance structure, the State will be positioned to share data across platforms and between agencies to provide Maine citizens with rich digital experiences and interactions.

## Hybrid-Cloud

A hybrid-cloud environment combines on-premises datacenters with public cloud technology. Our hybrid-cloud initiative is aimed at modernizing our legacy hosting environments which have historically resided solely in on-premises data centers. Cloud offerings provide the sustainable hosting foundation necessary to support new applications and modernization efforts. Through a hybrid-cloud approach, the State will realize significant flexibility and benefits from cost, security, service delivery, integration, and data recovery perspectives.

### *Accomplishments from our Goals*

**Initial Phase Efforts.** Our initial phase includes efforts to develop a mixed computing, storage, and services environment made up of on-premises infrastructure, private cloud services, and a public cloud. The planning and provisioning efforts that have been completed set the foundational footprint for future utilization of these key resources.

**Oracle Cloud.** MaineIT, led by the Enterprise Data Services team, completed a migration from the Oracle Cloud Classic to Oracle's Gen 2 Cloud. This migration provides all State services using the Oracle Cloud with a set of modern solutions for managing diverse data types and provides a suite of artificial intelligence-based visual analytics. The migration efforts in this area set the stage for further expansion in the Oracle Cloud and position the State to be more cloud ready.

### *Goals Moving Forward*

**Hybrid-Cloud Implementation.** In 2022, MaineIT will continue to implement our hybrid-cloud strategy to provide agencies with greater scalability, flexibility, security, and cost savings for programs and services. As we gain more experience, continue doing research, and keep current on evolving technology trends, we will continue to adjust our model and tailor our approach to best meet State, agency, and citizen needs.

**Mainframe as a Service (MFaaS).** Migrating to a Mainframe as a Service cloud environment will provide the State with a supported mainframe infrastructure and enable MaineIT to maintain and continue to run our remaining legacy mainframe applications at a reduced cost. This plan will eliminate the need to hire for legacy skills to support legacy applications which are challenging to recruit within the current workforce. In addition to operating on a supported platform, MFaaS allows the State to gain critical disaster recovery capabilities which have never previously been available.

## Project Management

The Project Management Office (PMO) provides services to State agencies to manage the life cycle of important projects and initiatives to better serve Maine citizens. The PMO provides independent oversight and assures that nationally accepted Project Management Institute best practices are utilized through the full life cycle of each initiative. The PMO provides a full array of project management services from initiation to completion including intake, strategic alignment, requirements gathering, risk mitigation, and issue resolution.

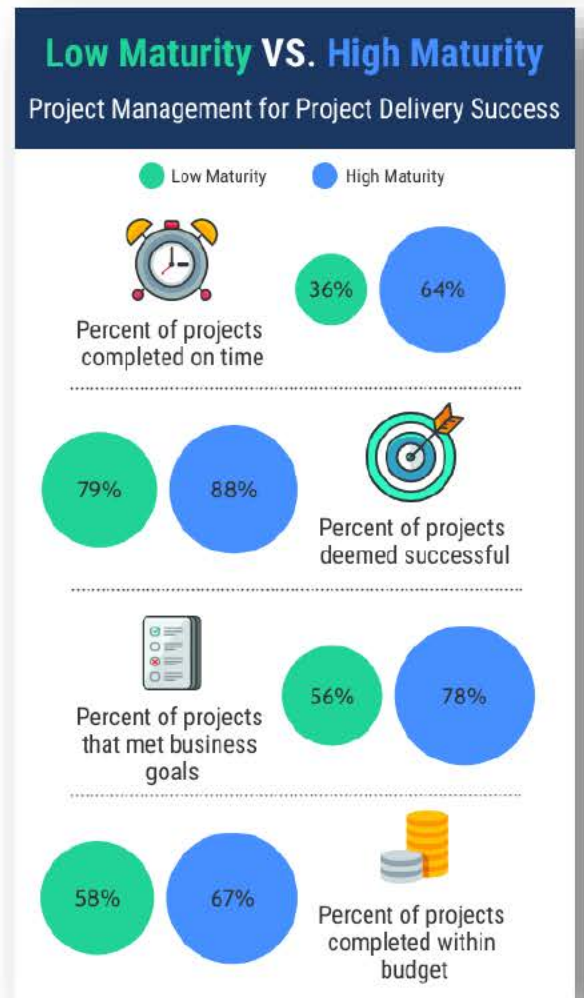
### *Accomplishments from our Goals*

**Shift to Full-Service PMO.** Beginning in 2020 and through 2021 the PMO has shifted its focus from a Project Resource Office, that provided general guidance and resource acquisition for project teams, to the establishment of a full-service PMO, providing direct project management and project consulting services to agencies across the Executive Branch and Constitutional Offices. This effort included growing from a team of one, to our current staffing level of eight and realigning contracted staff to a single standard of professional practice.

**Transformation Management.** Transformation Managers meet agency partners "where they are at" to assist in understanding what level of project management or project consulting may be required for each individual need. For any initiative that is not suited for project management services, the Transformation Manager ensures that the agency/business contact is connected with the right resource or process to fulfill the request timely.

### *Goals Moving Forward*

**Enterprise Project Management Office.** In 2022-2023, the PMO is committed to maturing further into a full-service broad-spectrum Enterprise Project Management Office (EPMO). The establishment of EPMO services will allow complete management of projects and initiatives through their full life cycle and in the context of agencies' long-term strategic goals. One of these key services that we intend to build out is portfolio management. Through portfolio management the PMO can assist agencies in managing projects across their organizations while aligning priorities, resources, and budgets to maximize the positive impact to the State.



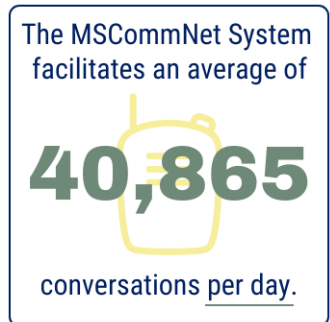
## Radio Operations

“People’s lives depend on the daily work of the MaineIT Radio Operations team.” As the team is responsible for multiple critical radio and communication system assets, including reliable radio operations for our Public Safety, law enforcement, and first responder partners, the team lives by this fundamental code to assure 100 percent continuity of radio operations. Serving as the backbone for all agency radio traffic within the State of Maine, it is vital that we continue to proactively support all users needing reliable and secure radio services every hour of every day.

### *Accomplishments from our Goals*

**Self-Supported MSCommNet Migration.** The Maine State Communication Network System (MSCommNet) provides a statewide radio frequency-based voice and data communication system. Our Public Safety partners rely on this system to perform lifesaving search and rescues, forest fire abatements, high-speed multi-jurisdictional criminal pursuits, and arrests. As part of our investment in keeping this vital system current, we continue to leverage the BeOn (radio communications over cellphone or laptop) technology.

Radio Operations has continued to improve the system by completing core and network updates in several locations to ensure alignment with the latest firmware, operating system, and security patching. Recently, the Radio Operations team led a transition from the vendor-supported system to an adapted, self-supported approach. This move was critical to ensure the best interest of the State was maintained. To this effort, MaineIT has added a balanced staffing mix, avoiding increased costs by assuming the support, control, and maintenance items to in-house staff while partnering with four Maine-based companies as part of our initial rollout of our self-support model. This transition was a big success, being completed before the deadline and under budget.



### *Goals Moving Forward*

**LMR and LTE.** Radio Operations continues to develop the plan to keep our system current, moving towards a “converged network” of Land Mobile Radio (LMR) and Long-Term Evolution (LTE). This converged network will increase the effectiveness and safety of personnel by providing a dedicated, wireless broadband infrastructure capable of offering critical communication services, including voice, data, and video. The Radio Operations five-year strategic plan also includes a refresh of the out-of-service microwave system that connects all the communication assets and completing a security threat assessment.



## Security

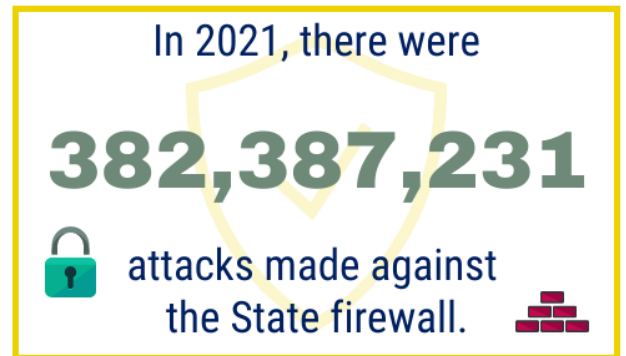
MaineIT is committed to ensuring the security of State of Maine information assets. As threats continue to become more sophisticated, it is vital that we continue adapting to proactively counter those threats. In 2021, MaineIT successfully initiated significant progress in strengthening our architecture infrastructure and security posture while protecting Maine State assets. This work encompassed several significant initiatives within not only State government but also local governments and municipalities throughout our state. To continue this transformation trajectory, we aim to further enhance our architectural, structural, and security improvements while providing support throughout Maine to strengthen the entire government security posture regardless of division, branch, or jurisdiction.

### *Accomplishments from our Goals*

**Coronavirus Relief Fund Initiatives.** Amid the Coronavirus pandemic, malicious cyber actors have shifted their techniques to capitalize on fears associated with COVID-19 and take advantage of the instantaneous shift from an office-based to remote-based workforce. Not only have methods for attacks advanced and evolved, but the sheer increase in volume indicates that either more threats are involved, or more malicious actors are working simultaneously to take advantage of the current situation. Through the Coronavirus Relief Fund, the Information Security Office was able to operationalize several security initiatives to completion.

**Improving Security Through Executive Action.** Governor Mills signed an Executive Order<sup>3</sup> establishing the Maine Cybersecurity Advisory Council, with the purpose to strengthen the security and resiliency of the State's technology infrastructure. The Order requires an annual report and an Office of the Governor representative.

**State of Maine Information Security Strategic Plan.** MaineIT appreciates the support from our Legislative Branch in appropriating General Funds to support critical security investments. Using these funds, the Information Security Office has developed a comprehensive strategic plan to implement and strengthen several critical initiatives.



<sup>3</sup> <https://www.maine.gov/governor/mills/sites/maine.gov.governor.mills/files/inline-files/EO%2082%2025.pdf>

**Strengthening Security for Legislative IT.** The Information Security Office continues to coordinate our shared goals with other state government branches. As one recent example, in partnership with the National Cybersecurity Center and Legislative IT team, the Information Security Office was able to offer a security awareness training program designed specifically for Maine Legislative elected officials, leaders, and team members. The training addresses best practices for online safety including an overview of the many different cyber threats that State and local governments face daily.

**Working with Agencies to Offer Services Securely.**

In 2021, the Information Security Office worked with stakeholders from across Maine State government to ensure that proper security measures were in place for all IT projects. IT Security support is provided for IT investments whether they are developed locally or in the cloud.

*Goals Moving Forward*

**Helping Local Governments.** The Infrastructure Investment and Jobs Act signed into law in 2021, includes \$1 billion over four years to enable government to prioritize cybersecurity investments. Of this, the State of Maine is projected to receive \$13 million over the period, of which 80 percent will be allocated for supporting local government cybersecurity investments. MaineIT will be supporting local governments with the administration of these financial resources and is actively working on a plan with collaboration from relevant stakeholders.



**Maturing our Security Framework.** MaineIT has adopted the Information Security standards and controls set forth in the National Institute of Standards and Technology (NIST) Special Publication (SP) 800-53 as the framework for our security program. MaineIT continues to strengthen our security by implementing these information security controls across the Executive Branch of State government to protect against new and emerging cybersecurity threats and vulnerabilities to ensure the confidentiality, integrity, and availability of the State of Maine systems.

## Notable and Noteworthy: 2021 Project Achievements

Over the past year, MaineIT has engaged in projects to help modernize our delivery, improve performance, align initiatives, and support our agency partners and Maine citizens. The below accomplishments from 2021 further serve to demonstrate our commitment to our four CARE values: Customer Focus, Accountability, Responsiveness, and Empathy.

**Backup and Storage.** MaineIT reduced our legacy tape library environment footprint on-premises. Reducing this footprint down to the minimum amount required in 2021 to support restore requests has allowed MaineIT to achieve a substantial return on investment, reducing our annual equipment costs by \$304,844.

**Cohesity.** MaineIT has modernized our Network File Sharing data management system by replacing the on-premises file sharing platforms with a commodity-based hyper-converged platform. In 2021, we have successfully migrated 627 network shares to this new, more secure, cloud-integrated environment. Benefits include cost savings for storage, improved data management, and the ability for end users to independently retrieve back-up data.

**Device Refresh.** MaineIT has refreshed over 3,000 computers with new hardware to support modern technologies. This includes the implementation of a five-year refresh cycle to proactively sustain a productive device fleet. Leveraging vendor services and Modern Desktop Management technology has enabled us to deliver devices that improve the technology user's experience with a proactive rather than reactive approach to support. Additionally, a new process for billing computer bundles has been adopted to improve agency experience with more accurate and consistent bills.

**DocuWare Upgrades.** DocuWare is utilized by State agencies to electronically capture, store, and organize documents and information. It serves as a modern replacement for older, aging document management platforms. MaineIT upgraded our DocuWare platform in 2021 to improve both the security and functionality of the service.

**Maine Revenue Services STARS Tax System.** Maine Revenue Services and MaineIT collaboratively engaged in the State Tax and Revenue System (STARS) project, a four-year phased operation to replace the legacy tax systems. In October 2021, MRS went live with the STARS application to process certain tax types within the new system. This critical first step will pave the way for other tax types to be migrated from the legacy systems into the STARS application. The successful first rollout to production was the culmination of hard work, dedication, and partnership from both Maine Revenue Services and MaineIT.

"A huge thank...for assisting...the STARS project by adding flexibility to the access of the Maine Tax Portal. Now the citizens of Maine (or other taxpayers worldwide) can access the Maine Tax Portal no matter if they enter [www.revenue.maine.gov](http://www.revenue.maine.gov), or <https://revenue.maine.gov>, or <https://www.revenue.maine.gov> into their browsers, on their phones, iPads, laptops or computers. They will get to the location where they can file and pay easily. Another fine example of MRS, MainelIT, and FAST working together!"

- A MainelIT Agency Partner on the STARS Project

**Maine State-Based Marketplace (SBM).** MainelIT, in partnership with the Department of Health and Human Services, replaced the Federally Facilitated Marketplace for federally mandated consumer insurance coverage and MaineCare eligibility with the SBM. The first release to replace the interface between critical business applications and the Centers for Medicare & Medicaid Services went live on schedule to meet the November 1, 2021 federal deadline for the 2021 open enrollment period. The next release scheduled for mid-2022 will provide further enhancements to functionality and usability for the citizens of Maine.

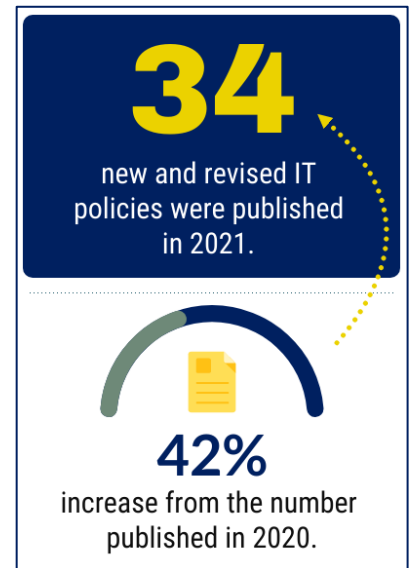
**MOVEit Upgrades.** MOVEit securely moves files to and from accounts inside or outside the State network, or between file shares and servers within the State network. MainelIT upgraded both the MOVEit application and servers from Windows Server 2008 to Windows Server 2019. Collectively, these updates improve platform stability and security. The upgrade was a massive undertaking involving partnerships with hundreds of internal and external service entities.

**Request for Proposal (RFP) Template Updates.** The IT Procurement team led efforts to update the standard RFP template to specifically address IT solicitations and provide a consistent approach for preparing an RFP for posting. Major changes include an updated and standardized bidder response form and predefined questions and non-functional requirements applicable to IT procurements. The categorization of data and identification of applicable security requirements occurs early in this new process in collaboration with the Information Security Office and Architecture and Policy team. This approach enables the State to adopt best practices in securing necessary information for IT products and services and reduces the risk that RFPs will be posted without sufficient security requirements.



## IT Policies and Procedures: 2021 Accomplishments

The Architecture and Policy team, in collaboration with the Information Security Office, and in response to an outside security assessment, continues to align our IT security policies with the National Institute of Standards and Technology (NIST) framework. Developed in partnership with the U.S. Government, this framework provides formal guidance to manage cybersecurity risks, strengthen security operations, comply with regulatory requirements, and implement and maintain security management practices and programs. Additionally, the ever-changing technology landscape makes it critical to review and update all published policies on a routine basis. The Architecture and Policy team strives to update policy controls to remain compliant with current standards and practices. The list below provides a selection of the major 2021 policy accomplishments that align with the NIST framework.



### *New Policies Published in 2021*

- **Physical and Environmental Protection Policy (PE-1).** Outlines the security controls around physical protection of information assets in data centers and at MaineIT headquarters.
- **Program Management Policy and Procedures (PM-1).** Provides standards to develop, implement, and administer organization-wide information security programs.
- **Systems and Communications Protection Policy and Procedures (SC-1, 7, 8).** Outlines how information systems and communications are protected through boundary protection, transmission confidentiality, and integrity.

### *Policies Substantially Updated in 2021*

- **Cyber Incident Response Plan (IR-8).** Establishes the formal, focused, and coordinated approach to responding to cyber incidents.
- **Security Assessment and Authorization Policy and Procedures (CA-1).** Defines the procedures to conduct and support security assessments of information assets and to determine whether they meet specific security objectives.
- **Identification and Authentication Policy and Procedures (IA-1).** Outlines the procedures to ensure that appropriate identification and authentication methods are instituted across Maine State information assets.

## Additional 2022 Goals: Maine Jobs and Recovery Plan

**Maine Jobs and Recovery Plan Modernize State Technology Proposal.** MainIT has identified and proposed several key areas of work efforts under the Maine Jobs and Recovery Plan. The work proposed focuses on critical security investments to better secure and protect State of Maine assets and services including:

- **Business Continuity Plan for Information Technology.** Business Continuity focuses on sustaining mission/business processes during and after a disruption to restore operability of the target systems, applications, or infrastructure after an event. The State of Maine must develop, train and be prepared to execute plans to assure essential government services are available for citizens.
  
- **Modernize Digital and Physical Technology.** The pandemic forced the State to shift much of its workforce to remote locations. This shift required systems designed to support an in-person workforce to support a largely digital service environment. Modernization of the State's digital and physical technology will ensure:
  - State Government continues to respond to demands from the pandemic.
  - Maine citizens have access to reliable digital government services.
  - Aging assets with accumulating technical debt and risk are replaced timely.
  - Public health systems are adequately improved and supported.
  - Infrastructure systems are appropriately sized to support demand growth.
  - Citizen applications are stable, available, secure, and well-performing.
  - All State facilities have the bandwidth necessary to support hybrid work.
  - Infrastructure is highly available, redundant, and low risk.
  
- **Remote Technology Portfolio.** Creating a Remote Technology Portfolio will improve the opportunities for a highly available hybrid remote workforce by adding systems, support, processes, and enhancements to existing tools to increase the effectiveness of remote work capabilities. The program will focus on ensuring State employees and the public can access what they need no matter where they are.
  
- **Single Citizen Portal.** The creation of an integrated constituent portal will allow Maine citizens and businesses to find and navigate the State's digital presence from one point of entry. The start of this is a secure architecture foundation upon which we can add services and information access.
  
- **State Cybersecurity Program.** The initiative will focus on implementing a deliberate process of formulating, improving, and expanding educational, managerial, and service-oriented plans for the Information Security Program. This initiative will include efforts to better secure the network, monitor the network, and empower and secure end user tools.

## Thank you

Throughout 2021, high profile security breaches increasingly continued to make “front page” headlines. It is safe to say that cyberthreats are not going away, instead, they are likely to continue gaining in complexity and sophistication from which no organization, including the small State of Maine is immune. Over the coming year, MaineIT looks forward to using Federal allocations and increased General Fund appropriations to ensure our technology footprint and IT services are both safer, more effective, and more available to citizens. MaineIT hopes to move on from the unrest related to the pandemic by permanently adapting our service delivery for a changed world.

I would like to say thank you to Maine State leadership for their continued support. We have come together as a State to ensure that even during difficult times, we can excel in our commitment to serve the citizens of Maine. Our growing technology framework, partnership, and collaboration will continue to serve Maine citizens for years to come.



Fred Brittain  
Chief Information Officer

