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INTERAGENCY REPORT
ON STREAMLINING COMPUTER BASED INFORMATION
PROCESSING BY INCOME SUPPLEMENTATION AND
SOCIAL SERVICE PROGRAMS

May, 1985

Augusta, Maine

Department of Mental Health & Mental Retardation
Division of Community Services
Department of Human Services
Bureau of Central Computer Services

INTRODUCTION

The Governor approved on June 24, 1983, a Resolve, Authorizing the Streamlining of Information Processing by Income Supplementation and Social Service Programs. The four State agencies through its Information Streamlining Work Group have considered all specific items of the Resolve:

- I. The operation of computer-based hardware and software in the several agencies and its compatibility with current and planned systems.
- II. The creation of a Maine Income Supplementation and Social Services Information System.
- III. Methods of improving data sharing, communication, and coordination.
- IV. Methods of improving client entry into services.

FINDINGS OF THE DEPARTMENTS

- I. With relation to the operation of computer-based hardware and software, the Bureau of Central Computer Services has worked closely with each State agency in the development and improvement of their automated information systems and certifies that newly acquired systems are in accordance with appropriate standards in terms of communication ability, exchange of data, and ability to meet program administration information requirements.

During the last two years standards have been set by Central Computer Services and the Computer Services Advisory Board and subsequently approved by the Commissioner of Finance and Administration that mandate that computer terminals and micro-computers be able to connect to the State network in a manner that allows communication among State agencies. These standards, when followed, allow the capability of terminals within Community

Services, Human Services, and Mental Health and Mental Retardation to inquire into sharable information. The standards also allow for transfer and sharing of files between the agencies. Although these standards cannot be enforced for agencies outside of State Government, copies of the standards can and will be made available to those outside agencies interested. If they voluntarily follow these standards as they relate to terminals and file transfer then the private agencies will have the technical ability to inquire into information made available by the State agencies and to accomplish file transfer with them. After the participating State Agency, the private agency and Central Computer Services agree on aspects such as data availability, security, billing, etc., then file transfer or terminal inquiry with outside agencies could be implemented.

It is important to understand that the State standards are not unique and, in fact, they call for communication abilities supported by most major data processing vendors. The standards call for the ability to communicate as a 3270 type terminal and/or have the ability to transfer files as a 3780 work station. For more than a year, any equipment purchased via purchase orders or Request for Proposals have been required to meet the above restrictions.

Attached as Appendix A is a copy of Section 75 of the Manual of Financial Procedures. This Section consists of standards recently reviewed by the Computer Services Advisory Board and the Standardization Committee and approved by the Commissioner of Finance and Administration.

II. The four State agencies have evaluated the creation of a Maine Income Supplementation and Social Services Information System. While we have determined that it is impractical to develop a single system which would combine client information and eligibility criteria from such a wide variety of programs, each Department has in place, or is currently developing, a client-centered information system that achieves appropriate confidentiality and privacy and that serves clients in an effective manner. The Departments and the Division support continuing improvement in methods of data sharing among publicly and privately-operated State-administered programs.

III. Our study of these issues leads us to recommend against the establishment of a totally integrated Social Services Index which would allow tracking of services provided by multiple programs and allow open access to personal client data among Departments or agencies.

Our recommendations are based in large part on our review of the significant privacy and confidentiality problems involved in the direct tracking of clients and exchange of personal data. Each Department, but especially the Departments of Human Services and Mental Health and Mental Retardation, has a body of statutes protecting information from unauthorized disclosure. Although the specific meaning of unauthorized disclosure varies from program to program, it can at least be concluded that there are serious legal impediments to the easy, across-program sharing of data envisioned in the Resolve. In the course of our study, many of these impediments have been identified by our Attorneys General and communicated to the Joint Select Committee on Interagency Information Processing.

We feel that attempts to resolve the privacy and confidentiality issues involved with the total Index concept either legislatively or administratively would place us in potential conflict with Federal regulations and would raise legitimate civil liberties concerns among our clients and the general public. Further, as discussed below, it is possible to make meaningful, concrete improvements in data sharing and interagency cooperation while maintaining the confidentiality protections now reflected in Maine law and Federal regulations.

The Committee recommends that the departments establish guidelines and standards under which client data may be shared, bearing in mind the confidentiality restraints in place, but recognizing the need for such information for planning and budgeting for these programs. This data or selected extracts of such data should be made available on a "need to know" basis where appropriate and when privacy considerations have been met.

We suggest that the currently established Interdepartmental Coordinating Committee oversee the development of these guidelines and assure that this information is used effectively and in an appropriate manner in the interests of more efficient service to our clientele.

IV. The Resolve mentions the desire for improved client entry to services. While this issue is not primarily a data collection issue, the Departments and the Division are committed to working together to improve the awareness of clients and front-line workers as to the availability of services provided by the several Departments. Further, a specific interdepartmental proposal involving development of an electronic catalog of social assistance programs is proposed below.

CURRENT SYSTEMS AND PLANNED IMPROVEMENTS

The Department of Human Services, Department of Mental Health and Mental Retardation, and the Division of Community Services are currently developing and improving their automated information systems to enhance program services and administration. These current systems and planned, on-going improvements incorporate the essential objectives of the Resolve in that they represent coordinated subsystems through which comparable data concerning programs, clients, and costs can be captured and presented. Outlined below are current systems and planned improvements for each Department and the Division.

I. Division of Community Services

The Division installed a Wang VS-80 computer system in March, 1984. Hardware purchased at that time included the VS-80 central processing unit, a 300K Diskette Drive, a 90 megabyte Disc Drive (F/R), a 4-Port Disc IOP, a 16-Port Serial IOP, two data processing (342K) work stations, four data processing/word processing (64K) work stations, a band printer, and a high-density matrix printer with twinsheet feeder. In addition to Wang System Data Processing and Work Processing software, custom-designed programming includes HEAP Program software, Weatherization Program software, and Subgrantee software.

The Division is currently working on implementing the HEAP Program software, which includes conversion and data entry of fiscal year 1984 HEAP applications. The Division will continue its installation efforts including implementation of program software for the Weatherization and Subgrantee Programs.

The Division plans to add three new work stations and/or personal computers to the VS-80, an additional printer for work processing, and a telecommunications system to link up with Central Computer

Services and the twelve Community Action Program agencies. The Community Action Programs have been operating computer systems for some time with various types of equipment and software. The Division is striving to standardize the data entered into the CAP Systems and to communicate electronically with each agency system.

The Division addresses the issue of client access to services through the operation of a 1-800 Client Assistance Number information and referral system. System operators are trained to make appropriate referrals to services provided by other agencies.

II. Department of Human Services

The Department of Human Services has an integrated information system. The development of this system has included major efforts towards standardization of data elements and development of a high networking capacity between its programs and the programs of others. The Department also strives to achieve single client files and cross-referencing capacity where appropriate, and to maintain high security of its system.

The Department encourages ease of client access to its programs, increased efficiency through the use of information systems and other means, and efforts to coordinate its programs in cooperation with other agencies.

Current on-going objectives for improvement of the Department's information system include equipment changes by which high speed terminals will replace older slower terminals to increase efficiency of data input. The same equipment will offer an opportunity to permit microcomputer and word processing capacity in regional offices. These changes will expand office automation system and decision support systems at those offices.

Central Office and front-line staff will be afforded increased opportunities with these equipment changes to: a) expand managerial control of case loads, b) examine unique features of client groups by geographical areas, c) use software to manipulate data, and d) use mainframe file extracts for statistical analysis and graphic output.

In addition to these equipment changes, programming improvements will increase cross-referencing capacity particularly among multiple client groups by establishing an assigned key individual numbering system. Elimination of the use of Social Security number as a record key removes the need for ID changes and reduces the possibility of duplicate records established by separate programs.

III. Department of Mental Health and Mental Retardation

The 111th Legislature appropriated funds for the acquisition of a computer system by the Department. The Department is currently designing and testing a client/patient tracking system which will improve the availability of information on individuals and on the collective mental health and mental retardation system. The system will have the capacity to track services received and will generate bills for reimburseable treatment. In addition to increasing revenues, the information system will give the Department additional management tools relating to its mental health institutes and community and institutional mental retardation system. Client profiles, census reporting, continued Consent Decree monitoring, medication review, development of cost centers for billing services and required cost reports, and pharmacy/medical equipment inventories are but a partial list of the capabilities of the system.

There will be twelve sites at institutions and regional community mental retardation offices sharing both work processing and data processing. The Wang VS-80 computer is able to communicate with both the IBM and Honeywell mainframes located at Central Computer Services. The three large institutional sites (Pineland Center, Augusta Mental Health Institute, and Bangor Mental Health Institute) will require several work stations and printers. The Elizabeth Levinson Center and the seven sites at the Bureau of Mental Retardation's community operations will initially require only one printer and one terminal. The Department will be working in the next several months to evaluate initial operation of hardware and software at the Augusta Mental Health Institute. Second-phase efforts will include installation at the other sites and training of appropriate staff. Initial system testing will undoubtedly reveal several areas for system improvement and enhancement.

INTERDEPARTMENTAL EFFORTS

The Departments and the Division present below several projects aimed at improving interdepartmental cooperation in the use and sharing of automated information. Each of the agencies already has a substantial commitment to improvement and coordination of their information systems, and many of the projects outlined below are natural extensions of on-going efforts. These efforts represent a substantial commitment of time and resources toward the establishment of coordinated sub-systems which will support the decision making on both a policy and program management level.

INTER-DEPARTMENTAL EFFORTS

1. The Bureau of Mental Health and the Bureau of Social Services each contract for services with several community mental health agencies. Historically, each Bureau has pursued separate budgeting.

contracting, reporting, and auditing systems. Information submitted to one Bureau has not been shared with the other.

In the current year, the two Bureaus have been working together to develop a single budget review and a consolidation of program reporting requirements at one community mental health center. It is anticipated that this effort will improve the quality of State accountability for funds at each Bureau, as well as reduce the duplication of reporting required by the agency.

This effort will be evaluated by both Bureaus in the current year. Depending on their judgment as to the degree and scope of replicability, it may be possible for additional contractors to be involved in joint budgeting and contract negotiation. It may also be possible for the Bureaus to amend their contract principles, budget formats, contract formats, and/or reporting formats to encourage similarity.

Several mental health contractors fulfill their contract budgeting and reporting requirements to the Bureau of Mental Health on a computer-generated format. Fairly speaking, the prospect of electronically transmitted reports is far into the future if at all practicable, and the prospect of a single State, interdepartmental reporting scheme is as well remote from the present.

II. The Department of Mental Health and Mental Retardation, Bureau of Mental Retardation and the Department of Human Services, Bureau of Medical Services are jointly involved in the funding, administration, eligibility determination, monitoring, and evaluation of a Federal Home and Community-Based Waiver Program. Established for an initial three year period, the program provides a variety of services as alternatives to institutionalization involving 400 clients, several

hundred community vendors, and approximately \$10,000,000 in State and Federal funds. In addition to necessary state budgetary and program monitoring requirements, there are federal reporting and budgetary requirements that must be met in order to avoid fiscal sanctions. In response to these challenges, the two Departments have utilized the resources of the DHS Medicaid Management Information System and the BMR Individual Program Planning Process to design a single set of program and financial data base reports which satisfy both agency's mandated responsibilities. These include reports identifying, individually and in aggregate, clients served, type, cost, and volume of services provided by vendor by service by geographic location by client. This system, combining resources of both Departments is avoiding the necessity for each Department to design and implement a separate reporting mechanisms. We expect to build improvements to this system as changing federal reporting requirements and program needs dictate.

III. MEDICAID BILLING

In addition to the computerized Medicaid/Medicare and third party billing system now being developed as part of Mental Health and Mental Retardation's Management Information System, the Department of Human Services and Mental Health and Mental Retardation will aggressively explore, once the system is fully implemented, designing an enhancement which allows for electronic billing of services between Mental Health and Mental Retardation's automated client billing system and DHS automated Medicaid Management Information System. In this fashion the need for hard copy (paper) generation and associated costs of data entry, re-entry, retrieval, mailing, and clerical costs can be dramatically reduced while speeding up billing procedures and flow of revenue to the General Fund.

IV. AGING OUT

Each year several hundred handicapped students leave high school special education programs at age 20 or less. A majority need additional supportive assistance in the areas of independent living, training, and employment opportunities. Without this assistance, many of these persons will regress, requiring placement in more restrictive settings. In recognition of this problem, the Maine State Legislature, in September, 1984, passed a Resolve "To Address Training and Employment Opportunities for Handicapped Persons Beyond School Age". A major finding was that a "coordinated effort utilizing the resources and experience of both the public and private sectors is necessary in addressing this problem to the benefit of all citizens of Maine.....". A Select Committee with broad representation will study all aspects of the problem with findings and recommendations due March, 1984. Agencies involved in addressing this issue include DECS (Special Education and Vocational Education), MH&MR, DHS (Bureau of Rehabilitation) and others. It is felt by the Departments that some coordinated means of identifying the needs, services provided and outcomes is sorely needed and will be an agenda item for the Committee, which has, as one of its charges identifying "elements of a coordinated system of support services for handicapped young adults making the transition from school to community living". The recommendations, and subsequent actions emanating from this Committee, should provide fertile ground for Interdepartmental collaboration and information sharing which will be of tangible benefit to the many individuals for whom services are not currently available or who "fall through the cracks" of existing systems.

V. There are three state agencies contributing to a combined planning effort with support by the Maine Human Services Council in the development of a Maine Social Services plan.

The focus for this interdepartmental cooperation will be developing program data for planning purposes. This effort is built on earlier recommendations to seek commonality of meaning and format for data collected in program applications.

It is apparent that both the Department of Mental Health and Mental Retardation and the Department of Human Services provide and purchase services for similar target populations. Both Departments purchase mental health services, for example, and both conduct services for children, the elderly, etc. Both Departments capture data on clients serviced.

Such recent efforts as the Maine Social Services Report have pointed out that comparison of programs, even those that serve similar clients, is impeded because of differences in Department reporting systems. Similar client groups are defined differently in separate programs, and reporting of client characteristics is accomplished on different formats with different data elements and reporting category boundaries.

In order to improve comparability among like programs administered by each Department, the Department of Human Services and Department of Mental Health and Mental Retardation will work together in the next year to (1) identify like programs, (2) examine the reporting structures in all such identified programs, and (3) conform the reporting structures in like programs so that comparison of costs, services rendered, and numbers and types of clients served will be available to legislators, policy makers, and the general public as

will the Department of Human Services and the Division of Community Services in the area of establishing the capability to verify client program participation in AFDC and SSI via improved networking of the Division's computer with the Department of Human Services and Maine's Community Action Agencies. Timely awareness of program participation can be obtained and improved client confidentiality can be secured.

- VI. Finally, the three agencies and perhaps others will explore the feasibility of the creation of an electronic catalog of social assistance programs. This project, formerly described as an electronic bulletin board, would assist front line client services workers in identifying assistance resources, e.g., automated resource guide.

These identified areas for interdepartmental data streamlining and coordination will be monitored and directed by the existing Interdepartmental Committee (IDC), with support and assistance, when appropriate from Central Computer Services and the Division of Community Services. The IDC, in existence since 1977, is a staffed formally constituted body whose membership consists of the Commissioners of the Departments of Corrections, Mental Health and Mental Retardation, Education and Cultural Services, and Human Services; their Deputy and Associate Commissioners; and various Departmental staff. The IDC has been extremely successful in addressing licensing, funding, and administrative issues involved in addressing the complex problems facing children and families in need. The expansion of the IDC into other areas of coordination between the Departments is a logical and effective consequence as more crosscutting program areas between the De-

partments demand interdepartmental attention and resolution. The IDC will issue reports to the Human Resources Committee by December 15, 1985 and December 15, 1986. These reports will outline specific accomplishments to date, factors impeding data streamlining efforts, future plans, and any recommended actions necessary to fully implement maximum feasible data coordination and streamlining.

APPENDIX A

SECTION 75

DATA PROCESSING SYSTEMS STANDARDS (092884)

GENERAL

OBJECTIVE

75.1

It is the intent of the Computer Services Advisory Board (CSAB) that the acquisition and use of micro/personal computers (Micros), word processors, distributed systems and networking devices such as terminals by State agencies be accomplished in a cost-effective manner. In order to fulfill this intent CSAB has established State standards to serve as a guide for:

- The Bureau of Purchases in developing a procurement base,
- Central Computer Services in its approval and support functions,
- The user Departments and Agencies in their analysis and implementation activities.

Where possible, it is intended that the State obtain contracts for equipment and software from which all can draw. It is expected that the Bureau of Purchases would take advantage of quantity discounts and the other benefits of centralized procurement and coordinated maintenance. It is also anticipated that user Departments and Agencies will benefit from common experience and improved support capability.

HARDWARE/SOFTWARE STANDARDS

75.2

The State's policy is to direct its limited computing support resources to focus on specific "types" of systems during any one period of time; with one "type" to be established as preferred and the others to be considered as alternates available for particular areas of use. This same approach is established for commercially available software for such applications as word processing, data management, graphics, etc. The current standards are to be documented by, and distributed from, Central Computer Services.

All Micros and word processing systems must be capable of supporting communications to a central host in one of the prescribed formats, and must additionally support "file transfer" in one of the prescribed formats.

REV. 12/84

75.2 (continued)

To promote better maintainability it is intended that equipment as procured would not contain any modifications or add-on components which would invalidate the original manufacture's warranty or maintenance agreements. It is recommended that the availability of a reliable source for maintenance be a consideration in the selections of microcomputer hardware.

SUPPORT

75.3

The overall intent is for Central Computer Services to assemble a representative model of each of the standard equipment and software. These would provide the means for training and demonstrating the capabilities of the systems (particularly the established standards) to potential state users. It is further intended that Central Computer Services is to maintain a reasonable proficiency level in the use of each product in order to assist users who have questions or difficulties.

JUSTIFICATION FOR ACQUISITION

75.4

Requests for acquisition of systems or terminals and/or related hardware and software must be approved by the Director of Central Computer Services. It is expected that the justification for acquisition will include a description of the cost-benefit relationships pertinent to the intended utilization. If the functionality of the item can be realistically shown to earn a payback within a two year period then approval should be granted. Longer payback periods, or justifications based on increased capability, will be reviewed on their merits.

Exceptions to established equipment/software standards may be allowed if appropriate justification is shown during a critical review; and provided that the requestor indicates understanding that no support can be expected from Central Computer Services. In addition, such exceptions should be costed as a disposable item over a limited time span to be determined by the Director of Central Computer Services.

OPERATION

75.5

Where data resides is a matter of Department or Agency policy. It is recommended, however, that multi-user data not be set up for permanent storage on a Micro. Where multi-agency data is involved, it must be kept in a format that can be communicated to a Central Computer Services host.

All users of Micros and word processors are expected to abide by Departmental or Agency policy in regards to "Security" and "Backups." It is the State standard that users are responsible for their own backups. It is

75.5 (continued)

also the State standard that no equipment should be left unattended while accessing another system; the user in all instances being responsible for insuring that the equipment can not be used to gain unauthorized access to another system.

The focus of the Micro is primarily personal computing, and chief benefit in procuring Micros is the generally available packaged software professionally developed to meet localized needs. It is the State standard that no substantive programming be done on these systems without justification and the appropriate documentation and safeguards to promote continuity.

It is a standard that the State of Maine will respect and abide by the copyrights and/or license agreements of software vendors. Programs will not be illegally copied.

MAINTENANCE

75.6

A prerequisite to the establishment of a statewide contract for systems and equipment is a reliable source of maintenance from which agencies may expect services. Each department or agency is responsible for maintenance of their own microcomputer systems. Where applications are critical to ongoing operations, redundant or backup equipment is suggested. Service contracts may or may not be appropriate depending upon the intended use, the availability of backup equipment and cost considerations.

DEPARTMENT OR AGENCY POLICIES AND STANDARDS

75.7

Department or agencies are encouraged to adopt any necessary microcomputer policies or standards for their own use which are in conformance with these standards. When a department finds it necessary to issue policies or standards in conflict with these standards, an exception must be approved by the Director of Central Computer Services. Central Computer Services will provide advice and assistance to departments or agencies in drafting their data processing system policies or standards.

CONFIDENTIALITY

75.8

It is the Standard that all employees, contractors, vendors, or others having reason to use devices or systems connected to the State's network be required to sign non-disclosure agreements which reflect that it is unlawful to disclose various data elements that they may in their course of business come in contact with. It is the Standard that CCS be notified of the resignation or dismissal of an employee.

SPECIFIC STANDARDS

75.9

MICRO COMPUTERS/PERSONAL COMPUTERS

75.9a

STRUCTURE - There exists a tiered structure of the standards and support. The first level of the tier would be the preferred machine, component or software for the category. The second tier would be the preferred alternative machines, components or software products. When a new machine or software package becomes preferred it would take over the first level, and the incumbent product would initially drop to the second level. It is assumed but not mandatory that one of the second level products would be dropped.

DATA RESIDENCE - Where data resides will be a matter of Department or Agency policy. Where there is no policy, it is the Standard that no sharable data (non personal data) be permanently stored on this category system. Sharable data must be kept in a format that can be communicated to a Central Computer Services host.

FILE TRANSFER - All systems of this category must be capable of supporting communications to a Central Computer Services host in one of the prescribed formats, and must additionally support file transfer in one of the prescribed formats.

PROGRAMMING - The focus of this category system is primarily personal computing and the prime reason for procuring systems of this category is for the generally available packaged software. It is the Standard that there be no substantive programming done without justification, and the appropriate documentation and safeguards established to promote continuity.

MAINTENANCE - To promote better maintainability it is a Standard that there be no substitution of another vendor component within a discrete piece of equipment. For example, no vendors circuit boards should be modified or altered to add another vendors circuits. Such action would generally be judged reason to void the original manufacturers guarantee and maintenance. It is preferred that the whole device be of the same manufacturer. It is a Standard that all micro/personal computer systems be maintained through a reliable source, unless the Department or Agency has taken steps to maintain the equipment or provide backup on its own.

STANDARD EQUIPMENT AND SOFTWARE
DECEMBER 1984

Central Computer Services, having the resources, will assemble a representative model of each of the standard equipment and software in this category for use in training and demonstrating the capabilities to potential State users.

COMPUTER	OPERATING SYSTEM
Level 1 IBM P/C* or Compatible** (Columbia, COMPAQ)	MSDOS 2.1
Level 2 Burroughs B20 (Hardware Alternative) APPLE IIE (Software Alternative)	BTOS CPM
WORD PROCESSING SOFTWARE	SPREAD SHEET SOFTWARE WITH INTEGRATED GRAPHICS
Level 1 UNDER EVALUATION	LOTUS
Level 2 BENCHMARK (First Alternative) WORD STAR (Second Alternative)	MULTIPLAN (First Alternative) VISICALC (Second Alternative)
PRINTERS	MODEMS (DIAL ASYNCH ASCII) (AUTO CALL AUTO ANSWER)
Level 1 EPSON (General Purpose)	HAYES
Level 2 IBM 5210 (Daisy Wheel Letter Quality) OKIDATA (Daisy Wheel Letter Quality)	
MODEM (SYNCH or SDLC)	FILE TRANSFER
Level 1 Current Modem Supplier	UNDER EVALUATION CROSS TALK XVI IBM HDDI (Host Based)

*The Standard configuration would include the P/C, Monitor, Keyboard, Printer, File Transfer capability, 256K, Power Strip and Voltage Protector.

**Compatible is defined as a system capable of running compatible software (PC/DOS, MS/DOS, and application packages) and also having identical disk formats)

DATA RESIDENCE - Data residence and providing security for the data is a matter of Department or Agency policy. It is recommended, however, that the agency develop policy in regards to the backing up of user data that would include statements as to where the physical media is kept, how often backups must be performed, and who is authorized to access the data.. Where multi-agency data is involved, it must be kept in a format that can be communicated to a Central Computer Services host.

COMMUNICATIONS - All systems of this category must be capable of supporting communications to a Central Computer Services host. The system must support file transfer in one of the prescribed formats. It is the Standard that connection to the network include the ability of the systems to support SNA and the ability of the individual stations to support a 3270 like transmission, thereby enabling access to other systems, and saving the need for multiple terminals of a single operator.

PROGRAMMING - The focus of this system is primarily word processing and the prime reason for procuring systems of this category is for the available office automation software. It is the Standard that there be no substantive programming done without justification, and the appropriate documentation and safeguards established to promote continuity.

MAINTENANCE - Because of the high dependency of the office upon this system, it is a Standard that all word processing systems be maintained through a reliable source.

STANDARD EQUIPMENT AND SOFTWARE
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IBM - 8100 DPCX Systems - Selected because IBM has announced a standard for document interchange that the rest of the major word processing vendors have said they will support, and because of the multiple product offerings that offer upward compatible user software.

Wang - OIS Systems - Selected because of multiple product offerings that offer upwardly compatible user software.

Honeywell - DPS6 OAS - Selected because of strong State use of the Level 6 or DPS 6 based products.

IBM - DISPLAYWRITER Systems - Selected because of strong State use of the product. TEXTPACK 4 or 6 is the standard software. (Recommend caution in procurement as product appears to being replaced by the IBM P/C products)

DISTRIBUTED SYSTEMS

75.9c

SELECTION - This group of systems is selected as a result of an analysis of the needs of the individual using agency. Agencies are expected to recognize the importance of selecting systems in which the State has some expertise.

DATA RESIDENCE - Data residence and providing security for the data is a matter of Department or Agency policy. It is a standard that the agency develop policy in regards to the backing up of agency data that would include statements as to where the physical media is kept, how often backups must be performed, and who is authorized to access the data. Where multi-agency data is involved, it must be kept in a format that can be communicated to a Central Computer Services host.

COMMUNICATIONS - All systems of this category must communicate with a Central Computer Services host. The system must support file transfer in one of the prescribed formats. It is the Standard that connection to the network include the ability of any individual stations to support a 3270 like transmission, thereby enabling access to other systems, and saving the need for multiple terminals of a single operator.

PROGRAMMING - The focus of this system is for the distributed functionality of the programs, packages, utilities, report writers etc. It is the Standard that there be no programming without a formal commitment to continuity, which might include staffing (programmers etc.) or contractual support by another party.

MAINTENANCE - It is the Standard that all distributed systems be maintained through a reliable source.

SCREEN FORMAT and ATTRIBUTES - It is the standard that the terminal after connection to the network be capable of acting as an IBM 3270 type terminal. This may be accomplished by the direct emulation of an IBM 3270 or via a control unit, protocol converter or other device.

NETWORK ATTACHMENT - Central Computer is at the request of the Computer Services Advisory Board conducting further studies in regard to network attachment. *

* Central Computer Services is in the process of implementing an SNA network, that would support connection of any terminal in the network to any host. In addition, CCS host programs are being modified to support a "Standard Terminal" type, the IBM 3270. This process is being accomplished by migrating from several older and less universally accepted networking facilities. As this process may take quite some time, as in some cases the only way to make the switch is to replace the older equipment and modify host programming, we are asking that new devices be capable of attaching to the SNA network. It may turn out, as an interim that a new system may have to be attached in an older mode initially then switch to SNA. This is not to imply that equipment cannot be replaced simply because new SNA facilities are still being finalized. We would encourage where it is financially attractive to replace equipment, and if necessary use an interim attachment mode.

JUSTIFICATION INFORMATION

75.10

JUSTIFICATION - It is essential that any equipment or software fit into the Departmental or Agency plan. A statement indicating how the item(s) will help meet those plans must be presented. Justification for equipment or software will require that the use of the item meets reasonable cost/benefit criteria. Requests for new systems are expected to show a cost/benefit analysis that earns a better return on the State's investment than the use of existing central or departmental facilities after all costs are considered. Smaller systems (Micros or Word Processors) should be expected to earn the State a payback in 2 or 3 years. Systems requiring longer payback periods will require substantially more justification. Individuals must also obtain Departmental or Agency approval. Requestor's must understand that should an audit or review reveal that the equipment was not used for the intended purpose, and/or is not currently being used productively, that future requests for systems may be denied.

EXCEPTIONS - to the Standards will be allowed provided that the Requestor meets a specific need of his/her agency and any Departmental Standards. He/she must make an appropriate justification for why he/she must deviate from standard and why the standard system or equipment or software choices can't reasonably meet the need. Such justification must state that he/she understands that the system, equipment or software will not be supported, and that it will be treated as being disposable by his/her Agency in a very short time.

MAINTENANCE - As part of the justification, the Requestor will have to specify the maintenance plan required. It is a Standard that all systems be maintained through a reliable source, unless the Department or Agency has taken steps to maintain the equipment or provide backup on its own.

CHECK LIST

1. Description of the intended use of the system, equipment or software
2. Statement of how the equipment or software fits into the Agency's plan
3. Cost/Benefit Analysis
4. Statement of compliance with Departmental or Agency Standards
5. Statement of who will use the system.
6. Statement of who will operate the system and for how long
7. Statement of who is responsible for the Data and Backups.
8. Statement of who will perform systems maintenance functions (programming, program modification, installation of software etc.)
9. Statement on Maintenance plan required.
10. Statement of how any proposed system is expected to support attachment to a CCS host.
11. Statement of why standard equipment or software, existing central or agency facilities can't reasonably meet the need.

END OF SECTIONS 70 THRU 75