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**STATE OF MAINE
119TH LEGISLATURE
FIRST REGULAR SESSION**

**Interim Report
of the**

**JOINT SELECT COMMITTEE ON THE
YEAR 2000 COMPUTER PROBLEM**

December 1999

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Senator Anne Rand**

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Executive Summary

This is the interim report of the Joint Select Committee on the Year 2000 Computer Problem.

The Committee is confident that the computer systems in State government, particularly those that provide and maintain essential public services, are prepared for the transition to the year 2000. Although some degree of uncertainty will remain on some matters no matter what level of preparedness is achieved, we believe that agencies of the Executive and Legislative branches of government have taken all reasonable steps necessary to prepare for Y2K by identifying and replacing non-compliant systems, particularly in the most critical systems, and preparing contingency plans in the event that unanticipated problems arise. Governmental agencies charged with maintaining public health and safety such as the United States Coast Guard, the Department of Defense, Veterans and Emergency Management and the State Police have taken adequate steps to prepare for the Y2K transition and have assured the Committee that they are well prepared to continue to fulfill all their emergency response duties during and after the New Year's weekend. The Committee has been assured that State and county emergency management agencies will be staffed and in communication with one another during New Year's weekend and that on Saturday morning, January 1, 2000, state agencies will be bringing computer systems up and testing them in order to correct any problems that may arise prior to the start of business on Monday, January 3, 2000.

The Committee also believes that State government has taken the steps necessary to ensure that regular cash disbursements to individuals and municipalities are not interrupted and that investments in U.S. and international markets are managed in a way to minimize Y2K related risks. We also believe that regulated utilities providing water, electricity, gas and telecommunication services are not likely to experience Y2K related problems and have contingency plans in place to address any unanticipated interruptions of water, power and communications. Agencies such as the Bureau of Information Systems, the Office of the Treasurer, the State Auditor, the Secretary of State, the Director of the Maine State Retirement System and Public Utilities Commission, are to be congratulated for their foresight, planning and preparation in these areas.

The situation at the municipal level is less clear. A survey of municipalities undertaken at the Committee's request by the Maine Municipal Association showed that only 14% of the 202 towns responding indicated that they had Y2K contingency plans at the local level. The primary concern of municipal officials with respect to Y2K preparedness was the concern about interruptions in electrical service. Although the Public Utilities Commission and the utilities are confident that the transition to the year 2000 will likely not result in such interruptions, local unrelated outages are equally as likely to occur over the Y2K weekend as on any other weekend. The Committee is confident that the county

and state emergency preparedness agencies and the state police are prepared to respond in the event of such problems. It is important that to recognize that such uncertainty exists. The fact that 75% of the municipalities with emergency dispatch services have tested those systems for Y2K compliance provides some further assurance of prompt responses to unanticipated or unrelated localized problems.

Although the Committee was not directly charged with studying how technology is purchased and managed in State government, it became obvious to us during our study there were significant problems in those areas. The Committee has found that the process of planning and buying computers and computer systems within state government suffers from a serious lack of coordination, decentralization of decision making and, on occasion, from simple wastefulness. Some of those communication and coordination problems stem from the historically independent nature of the Executive, Legislative and Judicial branches of government. But even within these branches of government there are serious questions about inter-agency coordination as well as major questions about how state agencies plan for and acquire computer systems and how the Legislature oversees agency spending on technology need to be addressed. These are critical issues which the Committee feels must be addressed not only in the short term, but in the long term as well.

State government currently spends \$40 million annually on computers, with little or no coordination among agencies. The costs of this lack of coordination can be seen in the results of an Executive Branch contract with the consulting firm of PricewaterhouseCoopers for Y2K verification and validation services. This contract, which was signed while the Legislature was in session but without any prior consultation with the Legislature, ultimately resulted in agencies having to pay \$791,000 in direct consultant fees and an estimated \$15-\$18 million to replace non-complaint systems and equipment.¹ Because the Legislature was not involved with or informed about these potential costs, those agencies are forced to pay those bills using funds appropriated for other essential programs and public services. An example of waste can be seen in the Department of Human Service's recent decision to abandon its plans to replace an old computer system after spending \$1 million on that effort.

The Committee intends to provide its findings and recommendations on these matters in a final report to be issued during the first half of the year 2000.

¹ The initial contract was signed by the State Purchasing Agent on February 22, 1999 and was amended 20 times over the next 8 months. Department mitigation cost estimates were provided by BIS are included as Table 1. Y2K verification and validation costs by agency is included as Table 2.

Introduction

The Joint Select Committee on the Year 2000 Computer Problem was established on February 16, 1999 by a Joint Order sponsored by Senator Marge Kil Kelly.² The Committee consists of three members from the Senate appointed by the President of the Senate and 10 members from the House appointed by the Speaker of the House of Representatives. The Committee is established for the duration of the 119th Legislature.

The purpose of the Committee is to assess the prevalence of and problems related to the year 2000 computer problem in the public and private sector, to periodically report to the Legislature on the progress made by public and private sector businesses and organizations in addressing that problem and recommendations for Legislative or other action.

This is the interim report of the Committee. The purpose of this interim report is to summarize the information and testimony received by the Committee at its meetings. This report describes the process used by the committee, what issues were discussed, who participated and what was reported.

A final report will be released by the committee in the year 2000, after the Committee has met to assess what issues arose during the transition to the year 2000, the effectiveness of any contingency plans that were implemented and if any Legislative action is necessary to address immediate or long term problems associated with the Y2K transition. The final report will also include findings and recommendations on the State's ability to coordinate the planning, acquisition and use of computer technologies in the Executive Branch and between the Legislative, Executive and Judicial branches of government.

In conducting its work during this interim, the Committee met 4 times; on Wednesday, August 18th, Tuesday, September 7th, Thursday, October 14th and Monday, November 8th. Over those 4 meetings, the Committee received testimony from the following individuals and agencies:

- **Paul Mayotte**, Director, Office of Information Systems
- **Major General Earl Adams**, Commissioner, Department of Defense, Veterans and Emergency Management
- **Robert Mayer**, Chief Information Officer, Department of Administrative and Financial Services;
- **Joe Sukaskas**, Public Utilities Commission;
- **Kate Dufour**, Maine Municipal Association
- **Muriel Mosher**, Maine Manufacturing Extension Partnership

² Senate Paper 160 was read and passed in the Senate on February 2, 1999 and read and passed in the House on February 16, 1999.

- **Commander Patrick Twiss; Captain Tom Meyers and Commander Roy Nash**; U.S. Coast Guard
- **Sarah Buckley and Steve Levy**, Maine Rural Water Association
- **Major Jeffrey Harmon**, Maine State Police, Support Services Division
- **PricewaterhouseCoopers LLP**
- **Thomas Welch**, Chair of the Public Utilities Commission
- **Richard Thompson**, State Purchasing Agent.
- **Dan Gwadosky**, Secretary of State
- **Duncan MacKellar**, Finance Authority of Maine
- **Kay Evans**, Maine State Retirement System
- **Peter Merrill, Darren Brown**; Maine State Housing Authority
- **Douglas Davidson**: Maine Turnpike Authority
- **Gail Chase**, State Auditor
- **Dale McCormack**, State Treasurer

The Committee wishes to thank all of these individuals for their participation in these meetings and for providing the Committee with much useful information.

Regulated Utilities, State Police and Emergency Preparedness

Regulated utilities. The Public Utilities Commission reports that utilities have made good progress toward preparing for Y2K and are addressing areas of possible vulnerability through contingency planning.³ The Commission opened an inquiry into Y2K issues in September of 1998 and received briefings from Maine's larger utility companies in October of 1998 and May of 1999. The PUC staff has met with all utility sectors to discuss their Y2K readiness as well as meeting with regional utilities, emergency managers, utility commissions and the Independent System Operator for New England. The Commission also directed all regulated utilities in Maine to develop contingency plans by June 30, 1999 and has been reviewing selected contingency plans over the last several months.

The PUC reports on its utility service Y2K overview website⁴ that it is reasonably optimistic about the ability of Maine's electric utilities to maintain service during Y2K events. Maine's three largest electric utilities have completed all Y2K inventory and assessment activities and have completed necessary remediation efforts. The PUC has been following up with the smaller electric utilities, whose progress has been somewhat slower, to gather the information needed to assess readiness. The Commission believes that the information which is lacking relates to distribution-only utilities that likely have little vulnerability to Y2K issues. The PUC also reports that the North American Electric Reliability Council (NERC) has stated that electric power and delivery systems have met the NERC established date of June 30, 1999 for systems to be Y2K ready. The PUC notes that the current restructuring of the electric industry in Maine adds an additional level of

³ The PUC provided the Committee with an update of Y2K readiness within the utility sector which is included as an appendix to this report.

⁴ <http://janus.state.me.us/mpuc/Year 2000.htm>

complexity to Y2K planning, since certain power generation assets in the state are owned and operated by entities not regulated by the PUC. The readiness of these assets are being reviewed in the context of regional readiness assessment efforts.

The PUC also reports that the state's large and small local telecommunication exchange carriers are on track for Y2K readiness as are the larger interexchange carrier facilities in Maine.

The PUC also reports that it has met with Maine's local and interstate natural gas distribution companies and that they are working appropriately towards Y2K compliance.

With respect to drinking water supplies, the PUC reports that it shares the federal assessment of "cautious optimism" that water utility services will continue uninterrupted by Y2K. The PUC notes that a wide range of size and technology exists among Maine's water utilities and notes that the Portland Water District has the largest ozonation plant in New England. Of the approximately 153 regulated waters systems in Maine, however, 140 serve a population of fewer than 10,000 customers. These smaller utilities are usually very low-tech, some without any automation or computerization at all. The Maine Rural Water Association (MRWA) has undertaken a large scale effort to work with these smaller utilities to coordinate with state and federal agencies, including assistance in complying with PUC requirements for Y2K preparedness, providing technical assistance and education and helping these smaller utilities prepare contingency plans. The MRWA reported that it will serve as a Y2K response center for small water utilities, in cooperation with the National Rural Water Association and 44 other affiliated rural water associations nationwide. In addition, MRWA staff will be available on January 1, 2000 to assist water utilities around the state with Y2K related problems. Many PUC regulated utilities also have responsibilities for waste water treatment as well, and thus efforts by the PUC and MRWA are enhancing the readiness of the waste water sector as well.

State Police. The Maine State Police reported to the Committee that they had completed testing for all systems under their control and are confident that those systems are prepared for the year 2000. Some systems are being phased out, but all critical systems that are being retained or upgraded have been tested and have contingency plans in place in the event of unforeseen circumstances. All emergency response vehicles have been certified from the manufacturer as Y2K compliant and the agency is working closely with the Bureau of Information Services (BIS) and the Department of Administration and Financial Affairs (DAFS) to ensure that its communications infrastructure is 100% compliant prior to December 31, 1999. The Committee is confident that the State Police are appropriately placing critical importance on its ability to respond rapidly to any emergency event and to maintain uninterrupted communications with other agencies and the public. The State Police anticipate an increase in calls over the

coming New Year's weekend and has made plans to provide increased dispatch staffing.

Emergency preparedness. The Department of Defense, Veterans and Emergency Management has been preparing for the year 2000 conversion for nearly two years and is confident that critical communications and response systems are tested and compliant and will be able to respond rapidly and effectively in the event of any emergency. The department's emergency response center in Augusta will be 100% staffed over the New Year's weekend and will maintain communications with county and local emergency response agencies, the Coast Guard and other Federal agencies emergency response agencies.

Although questions about the readiness of E-911 systems arose during the Committee's study, the PUC, the Department of Emergency Management and the Department of Public Safety informed the Committee that the statewide E-911 system in Maine will not be initially deployed until the first quarter of the year 2000 and is therefore not a Y2K issue. The PUC also reports that the local basic 911 services should not encounter any Y2K interruptions.

Coast Guard. The Coast Guard reported that its port safety and environmental protection response vessels and equipment have been tested and are Y2K compliant. Vessels and equipment relied upon by the Coast Guard for search and rescue law enforcement and port security, including helicopters, cutters and other boats, have also been tested and found compliant. Operation centers are equipped with emergency back up power and communications and would continue to function in the event of a power outage. The global positioning system used by the Coast Guard has already passed its critical roll-over date and is not expected to experience any problems in the transition to the year 2000. All navigational buoys are Y2K compliant, although some lighthouses may operate at reduced intensity if power fluctuations occur.

Executive Branch; Bureau of Information Services

The BIS's most recent report to the Committee indicates that, overall, approximately 95% of the systems and applications in state government are Y2K compliant and that Maine ranks among the top New England states in terms of its preparedness for the year 2000.

Table 1 presents a summary of the BIS's most recent report of agency Y2K compliance rates and anticipated compliance related costs. The Bureau of Information Services (BIS) and the Chief Information Officer for the State worked extensively with the committee to help the Committee understand how the state agencies have prepared for Y2K and how effective those efforts have been in preparing state government for the transition to the year 2000. The BIS deserves a substantial amount of credit for its efforts in this area and for attempting to

coordinate agency activities in the absence of the statutory authority to direct the actions of those agencies in such matters. Efforts by BIS to coordinate the activity of state agencies, quasi-independent agencies and the other branches of government included direct support , monthly meetings of IS personnel and regular surveys of the agencies to determine the status of compliance efforts. The Committee was disappointed to learn that some agencies, including the Legislature, the Maine Turnpike Authority and the Judiciary, were not regularly

attending these meetings or responding to these surveys. The BIS did report, however, that participation in those activities improved somewhat after the Committee wrote letters encouraging that participation. In addition to its efforts at coordinating and tracking activities of the agencies, the BIS also entered into a contract with PricewaterhouseCoopers LLP to provide Year 2000 independent verification and validation (IVV) services for a number of Executive Branch agencies. The original contract was signed on February 22, 1999 and was subsequently amended 20 times between May 3, 1999 and October 22, 1999.⁵ Each of those amendments was for a specific agency and for a specified amount of money for the completion of the IVV. A listing of the dates and amounts of those contract amendments is provided in Table 2.

Table 1
Agency Y2K Compliance Rates
And Anticipated Compliance Costs
As of October, 1999

<u>Department</u>	<u>Percent Complete</u>	<u>Anticipated Mitigation Costs</u>	<u>Notes</u>
DAFS	98 26%	\$6,579,159	
Agriculture	100%	\$16,453	
Conservation	100%	\$22,214	
Corrections	96 50%	\$97,826	
Defense and Veterans	100%	\$22,573	
Economic Development	20%		Non-critical system that needs upgrade. Supported by Labor
Education	89 53%	\$150,560	
Environmental Protection	100%	\$40,213	
Executive	93 33	\$900	
Humans Services	100%	\$2,041,966	
Fish and Wildlife	100%	\$40,617	
Labor	91 81%	\$5,208,151	
Marine Resources	87 65%	\$16,850	
DMH&MR	100%	\$23,792	
Professional Regulation	100%	\$250,721	
Public Safety	86 29%	\$550,384	
Transportation	100%	\$477,000	
Miscellaneous		\$27,144	
EXECUTIVE BRANCH SUBTOTAL		\$15,566,523	
OTHER AGENCIES			
Attorney General	100%		
Audit	100%	\$2,600	
Finance Authority	100%	\$50,000	
Maine State Housing	81 93%		
Judicial Branch			Reports directly to Judiciary
Legislative Council	97 60%		Reports directly to Legislature
Secretary of State	100%		
Turnpike Authority	96 83		
Miscellaneous		\$85,531	Misc boards and commissions
OTHER AGENCIES SUBTOTAL		\$138,131	
TOTAL, ALL AGENCIES		\$15,704,654	

Note: All information provided to the Committee by the BIS

Although the BIS should be recognized for its efforts in helping to make agencies aware of the importance of Y2K planning and in helping to bring state government to an apparently high level of Y2K readiness, the Committee was, and remains, highly critical of the how this PwC contract was executed and how the results of its verification and validation study were handled. The failure by the Executive Branch to discuss the need for the contract or its potential financial implications with the Legislature in January or February, while the Legislature was debating the very Joint Order that created this study, is difficult to understand, as is the initial decision to not produce any formal final written report. Although much of the materials, findings

⁵ The February 22nd contract was signed less than one week after the Legislature debated and finally passed the Joint Order establishing this study committee.

and recommendations of the PwC work are now available, the process is well worthy of further discussion with the goal of avoiding such situations in the future.

TABLE 2.

Agency Costs for Independent Verification and Validation Services Provided by PricewaterhouseCoopers, LLP

2/22/99	Original Contract with BIS	\$127.80/hr
5/3/99	Bureau of Info Services	\$44,592
5/3/99	Transportation	\$27,144
5/12/99	Accounts and Controls	\$55,880
5/20/99	Administration and Financial Services	\$47,439
5/28/99	Professional and Financial Reg	\$24,165
5/31/99	Labor	\$57,336
6/15/99	Fisheries and Wildlife	\$16,617
6/15/99	Administration and Financial Services	\$15,949
6/15/99	Education	\$31,755
6/15/99	Taxation	\$40,700
6/17/99	Corrections	\$34,302
6/22/99	Public Safety	\$46,384
6/22/99	Conservation	\$22,214
6/23/99	Human Services	\$86,356
6/24/99	Agriculture	\$16,453
6/25/99	Environmental Protection	\$30,213
7/12/99	Mental Health/Mental Retardation	\$23,687
7/26/99	Marine Resources	\$34,687
8/11/99	State Purchasing Agent	\$76,680
10/22/99	Secretary of State	\$58,800
TOTAL	ALL AGENCIES	\$791,353

Note: Prepared by the OPLA from signed contracts.

The independent verification and validation process used by PwC was essentially a review of each agencies plans and processes to assess the degree to which the key components of a Y2K readiness program are being addressed by that agency. Testing of applications and related infrastructure was not within the scope of the PwC contract. The principal tool used by PwC to assess those agency systems was a survey and interviews with agency staff. The survey and interviews focused on primary business functions. Completion and analysis of the surveys was followed by the issuance of report cards and status reports for each agency .

At the request of the Committee, PwC provided the Committee with a briefing on its process, findings and recommendations. Although the briefing itself was lacking in detail and uninformative in many areas, the findings and recommendations of PricewaterhouseCoopers were:

With respect to awareness and risk assessment:

- *that general awareness of Y2K issues among the agencies was good but that the business risk to state agencies is difficult to quantify; and*
- *that agencies need to validate and recheck inventories that support critical agency functions.*

With respect to strategy and planning:

- *That, due to the decentralized nature of state government, there is no common state-wide approach or process among agencies, or even within agencies, for preparing for Y2K;*

- *That a single Y2K coordinator be appointed within each agency to avoid gaps in preparations among different agency systems; and*
- *That the state needs to develop a single Y2K risk management and contingency plan for critical functions.*

With respect to remediation:

- *That the state should focus on systems that support critical business functions and should perform more investigation and testing when receiving vendor compliance letters for critical services; and*
- *Improve documentation to support remediation efforts.*

PwC also recommended more generally that the state select a date and freeze changes to applications and that agencies should review staffing needs for the period around January 1, 2000.

BIS has indicated that progress has been made in the areas noted by PwC since those recommendations were provided.

A copy of the most recent BIS summary report on agency verification and validation issues is attached as an Appendix to this report.

Report from the Maine Legislature

The Office of Legislative Information Services reported in August that the legislative systems were 97% compliant, that key systems were tested and are ready but that additional work remains to be completed. Although the mission critical systems are tested and ready, desk top upgrades to Microsoft Office 2000 are anticipated prior to December 31, 1999 and some contingency planning remains to be completed. The overall assessment, however, was that the operations of the Legislature are not expected to be affected by year 2000 issues.

Report from the Office of the Treasurer

The Office of the State Treasurer reported to the Committee that it has identified and checked all systems that could potentially be affected by Y2K and has prepared contingency plans in the event any of these systems fail. In addition, the Treasurer has obtained letters of assurance of Y2K compliance from both Key Bank and Fleet Bank, the two main banks with which they do business. Treasury's contingency plans, which were discussed in some detail with the Committee, are designed to prepare for unforeseen problems at either or both of those banks, with the State computer systems or with interruptions in electrical supply.

The State Treasurer and key staff will be in the Treasurer's Office on Saturday, January 1, 2000, to log onto all systems, check their bank balances with Key Bank and Fleet Bank and to test all systems. In the event that a problem arises, the Treasurer is prepared to put contingency plans into place before the start of business on Monday, January 3, 2000.

The State Treasurer provided the Committee with the following summaries of the preparedness efforts and contingency planning for its various systems.

Abandoned property. The Treasurer reported that the abandoned property database is 100% compliant and that the Office has obtained a letter of assurance from Ken Wagers, the President of Wagers & Associates, Inc., warranting that the Unclaimed Property Management System (UPS2000 and Holder Reporting Software) used by the Treasurer are Y2K compliant. As part of its contingency plan, the Treasurer has on file paper copies of all the data in the Wager System to ensure that no claims or paperwork will be irretrievably lost. The Abandoned Property Division is also planning to run 50 blank claim forms on or before December 31, 1999 so that new claims can be hand-written in the event the system malfunctions. The Unclaimed Property Management System database contains 85,000 records, all of which are held in perpetuity by the Treasurer.

Municipal revenue sharing. The Treasurer also reported that the Municipal Revenue Sharing program is 100% compliant. The Municipal Revenue Sharing program utilizes the Lotus Approach Millennium software, which is reported to be Y2K compliant. The Treasurer is ensuring that the software is being independently tested and that a letter of assurance of compliance will be on file prior to January 1, 2000. As a contingency plan, the Treasurer will run the January 2000 checks for the 494 municipalities prior to December 31, 1999 and will store them in a vault. Those checks will be available to be sent to municipalities in January in the event the system malfunctions. The checks will be destroyed if they are not used. The Treasurer has also provided that a sufficient number of blank checks are on hand to hand-write the municipal checks if necessary.

Treasury cash receipt system. The Treasury Account Management Information System is a new system to the Office of the Treasurer and is designed to record and reconcile banking accounts. The program was written by Pine Tree Data Systems to be Y2K compliant and will allow the Treasurer to continue to reconcile bank accounts even if the computer systems fail in one or more of those banking institutions. With respect to contingency planning, the Treasurer will maintain hard copies of all bank account reconciliations and cash receipts and will ensure that all the most recent bank account details are printed and stored prior to December 31, 1999. The Treasurer will also ensure that all deposit tickets are clearly validated at the bank and that receipts are maintained so that hard copy records are available in case bank back-up is necessary. Extra

mailing labels for key finance officers will be printed prior to December 31, 1999 in the event that further directions to those departments is necessary after January 1, 2000.

Desktop hardware and software. The Treasurer reported that the State Bureau of Information Systems has tested and approved all desktop hardware in the Treasurer's office as Y2K compliant. The software used by the Office, Microsoft Office 97 with Outlook 98 and Lotus 98, are Y2K compliant as stated by the manufacturer. With respect to contingency plans, prior to December 31, 1999, the Treasurer will print documents necessary to conduct business in January of 2000. All of Treasury's files will be backed up to CD in the event that any saved files are damaged or lost.

The Treasurer's cash pool. The Treasurer reported that the Treasurer's cash pool programs are 100% compliant. All records of the cash pool are maintained in a compliant version of Microsoft Excel and are backed up by hard copies. Fleet Bank, which is the custodian of all investments by Treasury, has provided written assurance of compliance to the Treasurer as have all brokers with which the Treasurer trades on a daily basis. With respect to contingency planning, no commercial paper will be purchased beyond December 31, 1999 and no investments after December 31, 1999 will be made without a letter of compliance. Should there be an unforeseen problem with the State's custodian or a broker, hard copy records are kept by the Treasurer and can be used to recreate account information. The Treasurer has also assured that investors have access to their funds in the pool in the event of unforeseen problems by being prepared to hand-write check for the agencies invested in the cash pool that desire to make withdrawals after January 1, 2000.

Report from the Department of the Secretary of State

The Secretary of State is confident that the programs and systems administered by the department will be reviewed, tested and, where necessary, brought into Y2K compliance prior to December 31, 1999. In preparing for the transition to the year 2000, the Secretary of State has already reviewed, tested and remediated many key systems and has taken two additional important steps to ensure 100% readiness. First, they have established a Y2K Program Management Office that consists of top department managers and information systems professionals. Second, they have contracted with PricewaterhouseCoopers to perform an independent assessment of the plans, processes and activities pertaining to Y2K readiness with a concentration on contingency planning. The department's Program Management Office will serve a key function in cooperating with PricewaterhouseCoopers in those efforts. The scope of the PricewaterhouseCoopers review within the Secretary of State's office will focus on the following areas:

- Business applications

- Information technology Infrastructure
- External information exchange
- Supplier relationships
- Bureau of Information Systems in the office
- Contingency planning workshops

The Secretary discussed with the committee several areas in which Y2K remediation was undertaken as long ago as 1988, due to the fact that many of the applications in the department require advance dating. For example, systems tracking long term trailer registrations, which have 8 and 12 year expiration dates, were reviewed for compliance in 1988, driver licenses, which are valid for 6 years, were reviewed in 1994 and records of driver license suspensions and other administrative actions, which can extend as long as 6 to 10 years, were reviewed in 1994. The corporations database was designed with 4 digit date fields, since many corporations date back to the 1700's, and is therefore not expected to present any problems as they transition to the year 2000.

The Secretary noted several additional readiness activities within the department which have already taken place or were underway at the time these matters were discussed. Those include:

- Identification of the critical business functions of the department
- Inventory key processes that support those functions (such as information technology infrastructure components, system interfaces, vendors and suppliers and key business partners)
- Review, testing and remediation of 1500 mainframe programs
- Testing of mainframe applications that support critical functions
- Review and testing of PC hardware and software

The Secretary reported that detailed contingency planning for all systems is underway in coordination with PricewaterhouseCoopers and will be in place in time to ensure that the department's key functions continue to operate without interruption.

Report of the State Auditor

The State Auditor reported that its desktop hardware has been checked and is compliant and that no problems are anticipated in their systems during the transition to the year 2000. Because much of the auditing activity of the agency is recorded by hand and the agency has little or no direct contact with the public, a Y2K related failure of its desktop systems would not pose an immediate problem for the agency or the public.

Report of the Maine State Retirement System

The Retirement System reported to the Committee that many of its systems have been tested and are compliant, and that those that have not been completed will be tested and compliant before December 31, 1999.

Specifically, the Retirement System testified that its benefit and payroll systems, those systems that provide checks to individuals, were tested for transition to the year 2000 and for compliance with the leap year date of February 29, 2000. Although there were no problems during these tests, the Retirement System will be duplicating checks paid out in October of 1999 and storing them in a vault in the event that unforeseen circumstances prevent the issuance of checks in January of 2000. The general ledger systems of the Retirement System were upgraded in 1998 and were reported to be compliant. Internal payroll for its 118 employees is not expected to have problems, but the Retirement Systems is prepared to write payroll checks by hand if problems do arise.

Contributions into the retirement system from school administrative districts and participating local districts are currently done through the mail rather than electronically, so no Y2K related issues are expected to arise in that area. The city of Portland and the Maine Maritime Academy do, however, make their contributions electronically, although no problems are anticipated with those transfers since all the desktop hardware has been tested and is compliant.

Certain key data kept by the Retirement System, such as the time in service for state employees, is kept in a data repository on the non-compliant state mainframe computer system. Retirement will, however, have that data completely off the state main frame and on a compliant computer system prior to December 31, 1999.

The Investment Advisory Committee for the Maine State Retirement System has been reviewing its investment strategies in light of some degree of uncertainty with respect to the Y2K readiness of international markets. The Retirement System considers security industries in the U.S. to have a high degree of readiness, but the Advisory Committee is reviewing strategies such as possibly suspending trading over the Y2K weekend or temporarily going to cash as methods to minimize risks posed by international markets.

Report of the Maine State Housing Authority

The Maine State Housing Authority reported that it has substantially completed its work on Y2K compliance issue and has a high degree of confidence that key systems are compliant. The Authority developed a comprehensive awareness and education, assessment and inventory and validation and remediation program that began as early as 1997. Part of that plan included a "hotsite" in Portland that contained backup computer platforms for the agency. These

platforms were used to test all of the Authority's critical systems and applications. All systems that encountered problems during testing were remedied and retested. The Authority also reported that its business partners and vendors were required to provide Y2K plans for review and to provide written assurance about their Y2K readiness. Contingency plans were formulated for those partners which the Authority felt may pose a problem to its operations. The Authority was also reviewed for compliance by the Federal Department of Health and Human Services. Finally, the Authority contracted with the independent accounting firm of Baker Newman & Noyes to perform an independent review and assessment of the agency's Y2K work and subsequently took action to address each recommendation made by BNN.

Report of the Maine Turnpike Authority.

The Maine Turnpike Authority reported that it has achieved final Y2K compliance sign-off on all of its systems. The Authority made the important point that, since its bonds are backed by toll revenues, its bond rating is tied directly to the reliability of toll collection systems. The Authority assured the Committee that its toll collection systems are 100% compliant and that, in the event of an unforeseen problem, its contingency plan is to collect tolls manually if necessary.

Report from the Finance Authority of Maine

The Finance Authority of Maine reported to the Committee that it has undertaken thorough testing of its systems and is confident that its critical systems are ready for the year 2000. They cautioned the committee, however, that although their approach was designed to identify and correct hardware and systems that may not be Y2K ready, they could not provide full assurance that FAME will be immune from problems relating to Y2K.

FAME reported that it contracted with an independent information technology consulting firm to assist it with its efforts to prepare for the Y2K. Specifically, they initially inventoried all their systems and business relationships and identified critical elements that could be affected by the year 2000 transition. Each system identified as critical was tested independently. For non-critical systems, FAME obtained responses from business partners and vendors regarding the readiness of those systems.

Fame identified four software applications as critical: loan servicing (LoanLedger), general accounting (American Fundware), Microsoft Windows NT Server 4.0 (Win NT) and a FAME customized database. The loan servicing and general accounting software systems were tested by entering routing transactions on key dates in 1999 and 2000 to see if the systems worked.⁶ The Win NT systems were tested using the methodology and information provided by

⁶ Those dates were 9/9/99, 12/31/99, 1/1/2000, 1/3/2000, 2/29/2000 (leap year) and 7/1/2001.

Microsoft Corporation and the FAME customized database was independently tested by consultants. All these systems were found to be Y2K ready.

FAME also reported that its desktop hardware and software applications were tested using industry standard Y2K testing applications. Computers that were determined to be non-compliant were replaced with systems that were vendor certified as compliant.

Report of the Maine Municipal Association

At the request of the Committee, the MMA conducted a survey of municipalities to assess municipal preparedness for the year 2000. The Committee appreciates the efforts of the MMA to assemble, implement and analyze this survey in the short time available. A copy of MMA's preliminary analysis of the survey results is attached as an Appendix to this report.

The survey results presented an ambiguous picture of local preparedness. Only a minority of those responding had created formal contingency plans for addressing Y2K problems and that Y2K related information was coming from a wide variety of sources, including all levels of government, medical service providers, vendors and community groups. Those that have done some planning identified loss of electricity as their biggest concern and the lack of adequate generators and resources such as food, cots and blankets as their biggest needs. The survey appears to show that very little concern has been expressed from residents about Y2K and that only half the municipalities were engaged educational campaigns on Y2K. It was evident, however, that municipalities with local dispatching services did invest time and money to test those dispatching equipment for Y2K compliance.

Next Steps

The Committee will meet at least once during the 2nd Regular Session of the 119th Legislature to assess any Y2K related that arose during the transition to the year 2000 to determine if any action is needed by the Legislature to address immediate or longer term issues. The Committee feels strongly that the issue of improving coordination and information sharing when acquiring computer technology among agencies, and particularly between the branches of government, is a critical need and must be addressed. The Committee will be exploring those issues next session and will be providing the Legislature with its findings and recommendations in that area in a final report we anticipate will be released prior to the end of the session.

Appendices

STATE OF MAINE

In Senate January 21, 1999

ORDERED, the House concurring, that the Joint Select Committee on the Year 2000 Computer Problem is established as follows.

1. **Establishment.** The Joint Select Committee on the Year 2000 Computer Problem, referred to in this order as the "committee," is established.

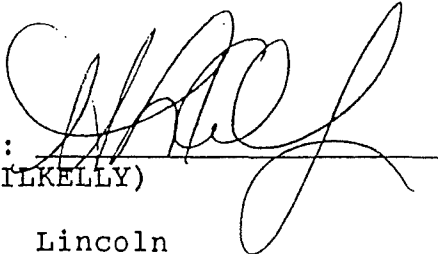
2. **Membership.** The committee consists of 3 members from the Senate appointed by the President of the Senate and 10 members from the House of Representatives appointed by the Speaker of the House. The first Senate member named is the Senate chair and the first House member named is the House chair.

3. **Responsibilities.** The responsibilities of the committee include the following:

A. To assess the prevalence of and problems related to the year 2000 computer problem in the public and private sector;

B. To periodically report to the Legislature regarding the progress made by public and private sector businesses and organizations to address the problem; and

C. To report to the Legislature solutions that may be aided by legislative or other action.

SPONSORED BY: 
(Senator KILKELLY)

COUNTY: Lincoln

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MEMORANDUM

TO: Pat Norton, OPLA

FROM: Joe Sukaskas, Maine PUC

SUBJECT: Y2K Status Update

DATE: December 8, 1999

This memo updates information related to Year 2000 transition, as you requested. These updates reflect developments since PUC presentations to the Committee on August 18 and October 14.

The Commission conducted a third open conference with Maine's electric, telecommunications, drinking water, and gas sectors on November 17, 1999. At that meeting, we heard Y2k preparedness and contingency planning updates from 17 key utilities and related organizations, and resolved remaining questions about the readiness of providers of Maine's public utility services. Key players in all sectors demonstrated the extensive preparations they have made to minimize the possibility that their services will be interrupted or impaired as a result of possible Y2k events, including the preparation of extensive contingency plans. Commissioners asked utilities to establish high restoration priorities for other providers of utility services in their areas in their emergency and contingency plans. A transcript and archived "webcast" recording of the conference is available on the PUC web site at janus.state.me.us/mpuc/Year2000.htm.

During the fall, we became aware of growing concerns in other states and nationally that some individuals and groups were planning to use the Y2k transition period as "cover" for physical or cyber attacks on the country's infrastructure, including utility facilities and services. We discussed these issues with agents the FBI's National Infrastructure Protection Center (NIPC), and facilitated a meeting between NIPC agents and key utility and state government law enforcement, emergency management, and infrastructure managers in late October. We have continuing concerns that some may attempt to "fly in under the radar" during Y2k transitions to commit mischief. We believe, however, that assistance available to Maine government and utilities through the NIPC, and utility recognition of these potential problems in their contingency plans, will address these issues.

We share concerns of the Governor's Year 2000 Readiness Task Force that incomplete or inaccurate information may be more likely, and potentially more detrimental, than technological failure during Y2k rollover periods. We thus expanded utility notification and reporting protocols during the end-of-year rollover. We have

directed key utilities to report immediately any significant changes in the status of their facilities and services to the Maine Emergency Management Agency (MEMA) in the Department of Defense, Veterans, and Emergency Management (DVEM) during the end-of-year rollover. The Staff will be available throughout the rollover period to support MEMA as requested, including coordination at the MEMA Emergency Operations Center.

In summary, we believe that utilities in Maine are very well prepared for possible Y2k events, and that their contingency plans address remaining vulnerabilities adequately. Please advise if I can provide any further information on Maine utilities' readiness for Y2k.

cc: Chairman Tom Welch
Commissioner Bill Nugent
Commissioner Steve Diamond

Year 2000 IV&V Summary Report by Department/Agency

Department of Administrative & Financial Services' Bureaus

Commissioner's Office & Division of Finance and Personnel Services

IV&V High Priority Recommendations:

- Review inventories to ensure completeness across all categories - IT technical environment components (hardware, software, network, etc.), vendor/suppliers, external information exchange, and embedded chip items.
- Review inventory and business assessment results and ensure BIS remediation efforts appropriately covers risk. Obtain documentation from BIS confirming compliance. Perform end user tests for BIS supported systems. Complete Year 2000 Work Plans, Risk Management Plans, and Test Plans for Business Answers.
- Complete Supplier/Vendor inventory and risk assessment, develop contingency and appropriate work plans. Identify key vendors and suppliers and develop a formal plan for compliance.
- Complete EIE inventory and assessment. Develop remediation work plan if required.
- Complete non-IT environment inventory and assessment in relationship to business risk. Develop a formal workplan to address key items if required.

MFASIS GROUP (Accounts & Control, Human Resources, Bureau of the Budget)

IV&V High Priority Recommendations

- Complete a non-IT environment (embedded chips) inventory.
- A formal bureau-wide review and acceptance plan should be developed and implemented and should include all Year 2000 efforts.

Bureau of Alcoholic Beverages and Lottery Operations

IV&V High Priority Recommendations:

- Review inventories to ensure the inventory is complete across all categories. Review the inventories at a Bureau level to ensure nothing has fallen through the cracks. Lottery Operations should pay particular attention to reviewing External Information Exchange partners.
- Create a formal agency-wide review and acceptance plan with sign-off procedures. These procedures should supplement any sign-off procedures, which exist with vendors.
- Review to ensure the Non-IT inventory is complete.

Bureau of General Services

IV&V High Priority Recommendations

- Formalize detailed work plans, test plans and contingency plans for the two primary business applications.
- Plan and conduct independent tests of critical suppliers. Consider visiting key vendors/suppliers to help confirm vendor compliance. Evaluation of vendor responses needs to be included in the work plan to determine criticality and the criteria for those requiring contingency plans.
- Work plans and contingency plans for Property Management (state facilities) and Embedded Chip

remediation need more detail as to action steps, resources, and schedule.

- Acceptance criteria for external information exchange partners and non-IT environments should be established and end-of-project sign-off process requiring Director/Commissioner acceptance should be initiated.

Bureau of Information Services

IV&V High Priority Recommendations:

- Complete an inventory ASAP and include all items on inventory lists irrespective of criticality or future retirement/replacement.
- Formalize work plans and updated after completing an IT infrastructure inventory that includes applications, hardware, and software. Document formal test plans with scripts, critical dates and acceptance criteria and execute the test plans. Allow for enough resources and time to perform correction of test defects. Develop risk management plans and create a review and acceptance plan.
- Obtain compliance letters for all external partners and perform end to end test as appropriate. Examine inventory to ensure that only seven EIE exist for all of BIS.
- Complete the Non-IT inventory. Create a work plan to validate vendor compliance where practical. Create test plans with scripts, critical dates, and acceptance criteria and then execute the test plans. Develop risk management plans with contingencies where necessary and also create and follow a review and acceptance plan.
- Formalize the Bureau-wide Review and Acceptance plan. Include executive signoffs on inventory lists, strategic plan, work plans, risk management plans, test plans and acceptance plans.

Department of Agriculture

IV&V High Priority Recommendations:

- For each of the applications plus IT hardware, develop formal test plan (scripts, critical dates, acceptance criteria), risk management plans and a review and acceptance plan.
- Develop a formal agency wide Review and Acceptance plan, which at a minimum addresses mission critical applications, software, operating systems, hardware, non-IT and EIE. The plan should include sign off by the business unit/agency manager, may include sign off by the IT Manager and lastly, in some cases, by the Commissioner.

Department of Conservation

IV&V High Priority Recommendations:

- Prepare an Department-wide inventory of all components of Year 2000 to include Software, Hardware, Peripherals, Applications, System interfaces, Items with Embedded Chips, External Interchange Partners, and Key vendors and suppliers.
- A formal Review and Acceptance process should be created and implemented at the Department level.
- Review the criticality of the non-mission critical applications and work towards Year 2000 compliance if required. Develop contingency plans for non-critical applications that will not be remediated.
- Review the list of supplier/vendors received from the Division of Purchasing and categorize them according to criticality. Develop a plan for the key suppliers to validate Year 2000 compliance and develop contingency plans if needed.

Department of Corrections

IV&V High Priority Recommendations:

- Create and use a formal agency wide review and acceptance plan. Use this plan to sign-off on remediated items and contingency plans.

Department of Defense, Veterans, and Emergency Management

IV&V High Priority Recommendations

- Complete inventory using an agency-wide perspective.
- A formal review and acceptance process needs to be created and implemented.
- Follow up with FEMA, DHHS and DAFS to obtain Year2000 compliance information.
- Complete a list for all supplier/vendors and categorize them according to criticality, then work with key suppliers/vendors to validate Year 2000 compliance.
- Complete working with external agencies involved for obtaining full Year 2000 compliance.
- Complete the Non-IT environment inventory.

Department of Economic & Community Development

IV&V High Priority Recommendations:

- Review inventories to ensure completeness across all categories - IT technical environment components (hardware, software, network, etc.), vendor/suppliers, external information exchange, and embedded chip items.
- Review inventory and business assessment results and ensure BIS remediation efforts appropriately covers risk. Obtain documentation from BIS confirming compliance. Perform end user tests for BIS supported systems. Complete Year 2000 Work Plans, Risk Management Plans, and Test Plans for Business Answers.
- Complete Supplier/Vendor inventory and risk assessment, develop contingency and appropriate work plans. Identify key vendors and suppliers and develop a formal plan for compliance.
- Complete EIE inventory and assessment. Develop remediation work plan if required.
- Complete non-IT environment inventory and assessment in relationship to business risk. Develop a formal workplan to address key items if required.

Department of Education

IV&V High Priority Recommendations:

- Complete and summarize inventory to ensure nothing gets missed. Identify critical vendors.
- Work with BIS to certify and test Year 2000 compliance on Grant Accounting System. Finish work on non-Year 2000 compliant applications. Complete and document work, test and acceptance plans for all applications.
- Identify critical suppliers and complete the vendor/supplier compliance effort.
- A determination of non-IT environment (embedded chips) should be made and documented even if none exist.
- Complete formalization and implementation of Year 2000 review and acceptance plan.

Department of Environmental Protection

IV&V High Priority Recommendations:

- Complete a list for all supplier/vendors and categorize them according to criticality and work with key suppliers to validate Year 2000 compliance.
- Verify that DAFS has addressed the Non-IT Environment (embedded chips) items under their control.
- Continue existing IT Remediation process and obtain Year 2000 compliance for the remaining non-compliant applications.

Governor's Office

IV&V High Priority Recommendations:

- Review inventories to ensure completeness across all categories - IT technical environment components (hardware, software, network, etc.), vendor/suppliers, external information exchange, and embedded chip items.
- Review inventory and business assessment results and ensure BIS remediation efforts appropriately covers risk. Obtain documentation from BIS confirming compliance. Perform end user tests for BIS supported systems. Complete Year 2000 Work Plans, Risk Management Plans, and Test Plans for Business Answers.
- Complete Supplier/Vendor inventory and risk assessment, develop contingency and appropriate work plans. Identify key vendors and suppliers and develop a formal plan for compliance.
- Complete EIE inventory and assessment. Develop remediation work plan if required.
- Complete non-IT environment inventory and assessment in relationship to business risk. Develop a formal workplan to address key items if required.

Public Advocate

IV&V High Priority Recommendations:

- Review inventories to ensure completeness across all categories - IT technical environment components (hardware, software, network, etc.), vendor/suppliers, external information exchange, and embedded chip items.
- Review inventory and business assessment results and ensure BIS remediation efforts appropriately covers risk. Obtain documentation from BIS confirming compliance. Perform end user tests for BIS supported systems. Complete Year 2000 Work Plans, Risk Management Plans, and Test Plans for Business Answers.
- Complete Supplier/Vendor inventory and risk assessment, develop contingency and appropriate work plans. Identify key vendors and suppliers and develop a formal plan for compliance.
- Complete EIE inventory and assessment. Develop remediation work plan if required.
- Complete non-IT environment inventory and assessment in relationship to business risk. Develop a formal workplan to address key items if required.

State Planning Office

IV&V High Priority Recommendations:

- Review inventories to ensure completeness across all categories - IT technical environment

components (hardware, software, network, etc.), vendor/suppliers, external information exchange, and embedded chip items.

- Review inventory and business assessment results and ensure BIS remediation efforts appropriately covers risk. Obtain documentation from BIS confirming compliance. Perform end user tests for BIS supported systems. Complete Year 2000 Work Plans, Risk Management Plans, and Test Plans for Business Answers.
- Complete Supplier/Vendor inventory and risk assessment, develop contingency and appropriate work plans. Identify key vendors and suppliers and develop a formal plan for compliance.
- Complete EIE inventory and assessment. Develop remediation work plan if required.
- Complete non-IT environment inventory and assessment in relationship to business risk. Develop a formal workplan to address key items if required.

Department of Human Services

IV&V Recommendations (Immediate Corrective Actions):

- Complete inventory ASAP and include all items on inventory lists irrespective of criticality.
- Test plans should be developed, published and performed for other processes: external exchange of information, IT infrastructure and non-IT environment (embedded chip items, etc.).

Department of Inland Fisheries and Wildlife

IV&V High Priority Recommendations

- Review and complete inventory across all categories.
- Obtain a document from BIS indicating compliance for the "Agent Licensing Dealer Registration Miscellaneous Licenses." Review to ensure inventory is complete and system software, hardware and the mission critical business applications are Year 2000 compliant.
- Review the list of supplier/vendors received from the Division of Purchasing to identify key vendors and suppliers. Develop a plan for the key suppliers to validate Year 2000 compliance and develop contingency plans if needed.
- Continue existing process and review to ensure Year 2000 compliance of all Non-IT items.
- A formal review and acceptance process should be created and implemented at the Department level. Once signoff documents are obtained, store the documents within a Year 2000 repository.

Department of Labor

IV&V High Priority Recommendations:

- Examine the approach used to develop the inventory. Verify that a complete inventory has been obtained for all components.
- A high percentage of manufacturer's claims of Year 2000 compliance have been found to be false. DOL should construct test scenarios for testing high priority items. Prepare detailed formal work, test and risk management plans for work still in process.
- Identify critical vendors and conduct an assessment of y2K compliance and readiness, and develop contingency plans.
- Conduct end-to-end compliance tests including interfaces. Seek, review and assess compliance letters from interface partners, and conduct appropriate tests
- Continue executing embedded chip work strategy including any facilities of key DOL service providers that do not have a MDOL presence

Department of Marine Resources

IV&V High Priority Recommendations:

- None

Department of Mental Health, Mental Retardation & Substance Abuse Services

IV&V High Priority Recommendations:

- Review the Year 2000 compliant applications and create a risk management plan. Continue existing process and obtain Year 2000 compliance for the "WANG In-Patient Billing" application. Review to ensure IT Infrastructure inventory is complete.
- Continue to obtain Year 2000 compliance for Non-IT environment. Prepare a risk management plan that includes contingency plans and review to ensure inventory is complete for all locations.

Department of Professional & Financial Regulations

IV&V High Priority Recommendations

- Begin testing the existing Licensing System and other systems to be replaced by the new Licensing System and remediate if needed. Test the infrastructure, which supports the mission critical applications. Review the test procedures and results of the applications remediated by BIS. Formalize contingency plans.
- Test and/or review the critical interfaces for confirmation of Year 2000 compliance with business partner.
- Create a formal agency-wide review and acceptance plan and obtain formal sign-off on Year 2000 contingency plans and remediations efforts.

Department of Public Safety

IV&V High Priority Recommendations:

- Review to ensure inventory is complete across all categories.
- For each application plus IT hardware, develop test plan (scripts, critical dates, acceptance criteria), risk management plans and a review and acceptance plan.
- Obtain the remaining documents and evaluate whether any testing needs to be done to verify vendor/supplier compliance.
- Complete a full Non-Information Technology inventory. Prepare remediation plans, test plans, risk management / contingency plans, and review and acceptance plans.
- Formalize the agency wide Review and Acceptance plan. Include an Executive Signoff process for Inventory lists, Risk Management / Contingency plans, Test plans and Acceptance plans.

Department of Transportation

IV&V High Priority Recommendations:

- Prepare a comprehensive list of all hardware/software components. Verify with BIS regarding the Year 2000 compliance of the mainframe hardware and software. Complete testing of Year 2000

compliance of the 2 pending applications.

- Complete a list for all supplier/vendors and categorize them according to criticality and work with key suppliers to validate Year 2000 compliance.
- Complete working with external agencies regarding External Information Exchange, for obtaining full Year 2000 compliance.
- A formal review and acceptance process needs to be created and implemented.



Maine Municipal Association

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YEAR 2000 PREPAREDNESS SURVEY

Preliminary Results

September 1999

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YEAR 2000 PREPAREDNESS SURVEY

Preliminary Results

September 1999

As of September 2, 1999, eight days before the survey deadline, one hundred and nineteen (119) surveys were returned for a preliminary response rate of 24%. The intent of the survey was to collect information on how municipalities are preparing to meet the needs of their residents should any Y2K-related problems occur.

Planning and Providing Services

While only 14% of the respondents stated that their municipalities have created formal, written contingency plans for addressing Y2K problems, when asked whether or not basic local services would be disrupted, overwhelming the answer was **no**. Of the seven municipal services listed (see figure 1), the participating municipalities stated that the operation of the town office and the schools were most at risk for disruptions in service because the administrative/school functions are electricity reliant.

When asked why the service would be disrupted, 82% responded that a loss of electricity would impact the delivery of services. Therefore if the utility providers deliver on their promise to provide electrical power, the municipal officials would be able to meet the needs of residents. Others commented that some services, such as SADs and the state police, were not under their "control". (See Appendix A for detailed comments.)

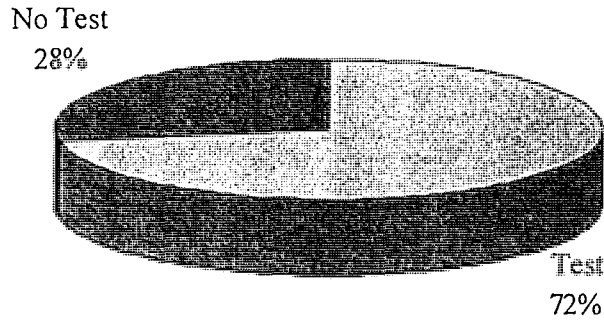
Figure 1
Continue Provision of Services

	Disruption in Service		No Disruption in Service		Not Applicable	
	#	%	#	%	#	%
Public Safety	6	5	89	79	18	16
Town Office Operations	23	20	91	79	1	1
Transportation	1	1	72	63	42	36
Traffic Lights	7	6	45	40	61	54
Water/Wastewater Treatment	8	7	57	50	50	43
Schools	23	21	56	51	30	28
Solid Waste Disposal	9	8	83	73	22	19

Dispatching Service Testing

Of the 43 respondents with dispatching services, 72% stated that they had tested the Y2K compliance of their dispatching service.

Figure 2
Testing of Dispatching System for Y2K Compliance



Shelters

Of the 118 responses, 74% stated that they had adequate shelters in their municipalities. Thirty-one respondents identified generators, resources (food, cots, showers, blankets, etc.) and space as needs for maintaining shelters in their municipalities. (See Appendix B for detailed comments.)

Processes for Securing Water, Providing Information and Citizen Involvement

When asked whether or not municipalities had created a process for ensuring that residents have access to drinking water, for keeping residents informed and for mobilizing citizen groups, 54%, 44% and 52% of the respondents, respectively, indicated that they did have a process.

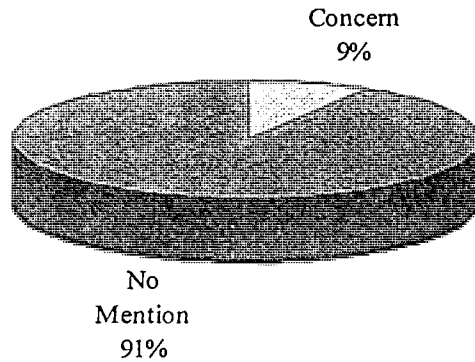
Figure 3
Process for Drinking Water, Information and Citizen Involvement

	Process		No Process	
	#	%	#	%
Access to Drinking Water	58	54	49	46
Keeping Residents Informed	51	44	64	56
Mobilizing Citizen Groups	59	52	55	48

Resident Concern

When asked whether residents had raised concerns about the Y2K preparedness of the municipality, 92% responded no.

Figure 4
Residents Raising Concerns Over Y2K Preparedness



Assistance with Compliance

Sixty-one (61%) of the respondents stated that had worked with other groups and governments to achieve Y2K compliance.

Respondents typically indicated that they had worked with multiple groups, the most prevalent being County EMA personnel, software vendors and utility providers. The data in Figure 5 is based on the total number of resources the 72 municipal respondents indicated they had been working with.

Figure 5
Assistance with Compliance

	#	%
Federal Government	11	4
State Government	23	9
Other Municipalities	21	8
County EMA	48	19
Utility Providers	34	14
Medial Service Providers	24	10
Vendors	41	16
Local Business	19	8
Community Groups	22	9
Other	8	3
TOTAL	251	100

Other groups mentioned included Red Cross, churches, food pantries, auditors, private consultants, water district, PERC and the Penobscot Regional Communications Center.

Educating Residents

When asked whether municipal officials were educating residents about potential Y2K issues and how to prepare for the outcomes, 51% stated they were involved in an education campaign. Resources most frequently cited included public meetings, publications and newspapers.

The data in Figure 6 is based on the total number of resources municipalities have used. For example 44 municipalities have used, in aggregate, the listed resources a total of 83 times.

Figure 6
Educating Resident on Y2K Issues

	#	%
Public Meetings/Forums	22	27
Publications	21	25
Newspaper Articles	20	24
Municipal-wide Mailings	8	10
Local Television/Radio	5	6
Web Site Notices	7	8
TOTAL	83	100

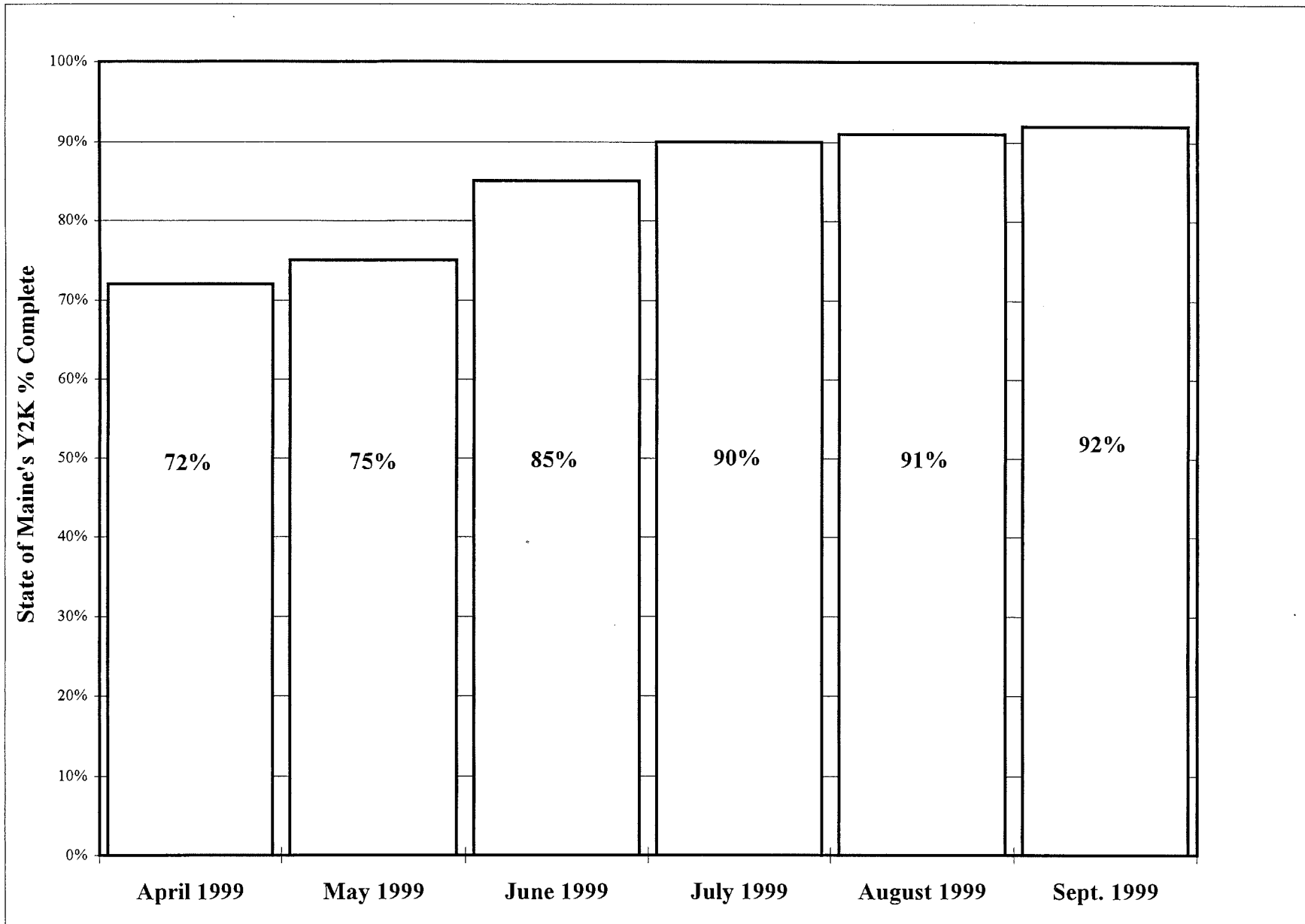
Needs for Y2K Preparedness

When asked what services municipalities needed to prepare for Y2K issues, the responses predominately focused on the need for generators and shelter provisions (food, cots, blankets, etc.). All comments are listed below.

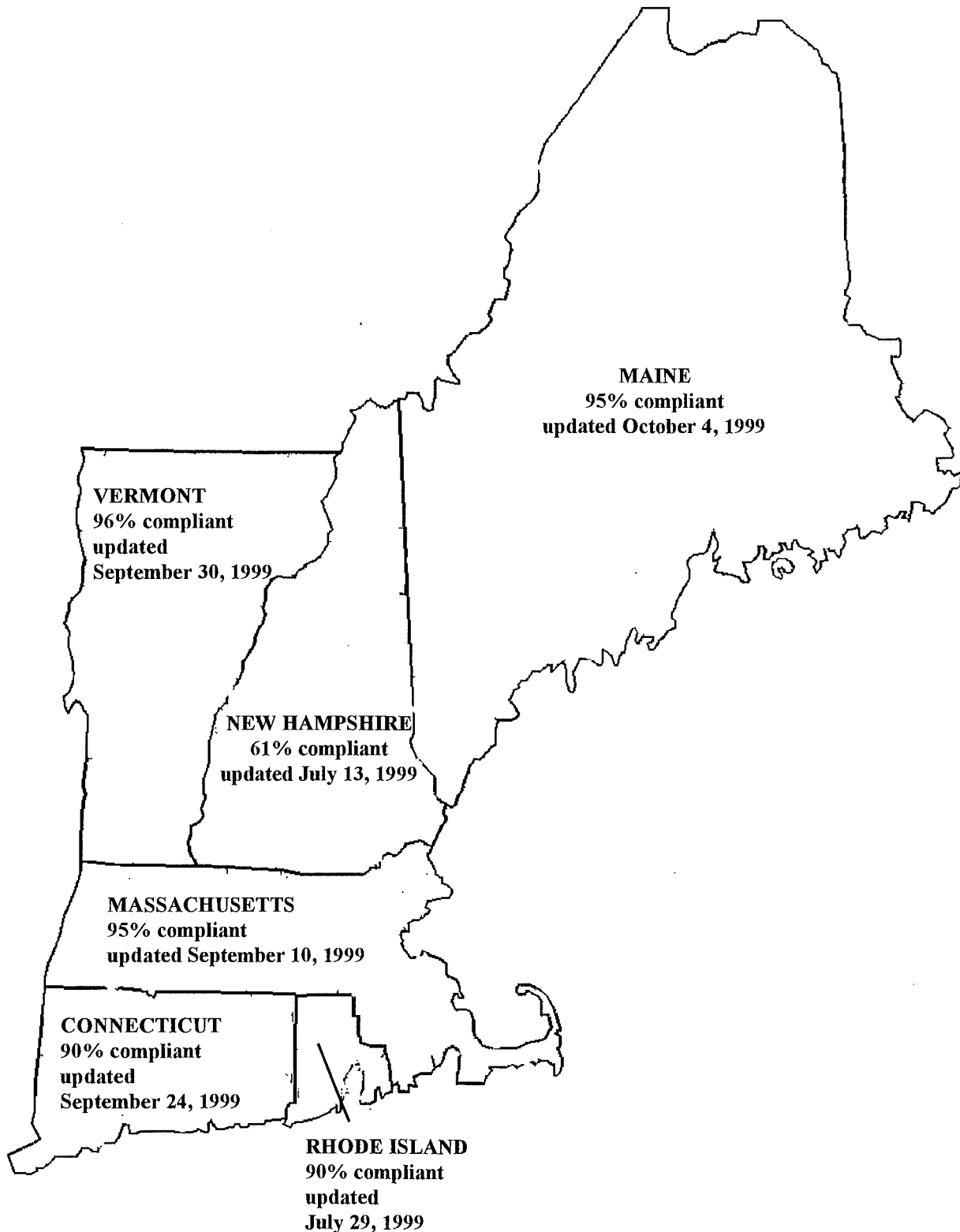
- Funds to mail a brochure.
- Our largest concern is the supply of electricity.
- Generators and probably food.
- None, people will have electric power.
- We remain concerned about fuel oil supply. We have had minimal participation from local suppliers in our community planning and are unsure of their ability to meet emergency demands or demand created by public concern.
- Neighbors will take care of each other. This is the benefit of small town living.
- Food storage.
- Funding!
- We are a small community, mostly middle age and older. We look after and help each other all the time. We are a very caring community and I'm sure we can keep going after midnight Dec. 31, 1999.
- If there is a problem, local government won't be able to solve it. We do not produce electricity, water or operate food storage. Citizens do not expect local government to solve Y2K problems.
- A main electrical connector for generators to the K-5 school shelter.
- Some question of adequate food delivery system should shelters need to be provided for any number of people.
- Resources to finish compliance preparation.

- Cots, blankets and food.
- Community involvement is lacking!
- Shared information between towns, state and county.
- This community does not rely on any computers to maintain operations. Everything is OK for us in Y2K. No further communication to this municipality is necessary. Write us off.
- As long as the electricity stays on, only minor inconveniences would be expected. Focus on electrical power to towns and state.
- Communication with the public.
- Shelter for power failures or large groups.
- We are ready.
- Electric generators.
- Most seem to be available.
- Common sense. If Y2K problems do occur, people need to know enough to keep their heads and not panic. This is what I see as the biggest possible problem causing a run on the banks or a large “dumping” of stocks which could throw the whole financial system into a tailspin.
- Electric generators for well systems, lights and heating.
- This issue has been vastly overstated, at least for a small, rural community without traffic lights or elevators, computer-controlled or otherwise.
- Goods and services are available, funding is the shortfall.
- We are a small town that provides a volunteer fire department, waste disposal, and snow removal on town roads. We do not have computers, but rely on outside sources in the area of banking, assessing, utilities, electricity and insurance. We feel adequately covered for Y2K.
- We survived power outages during the ice storm. We are an island with wells, septic, generators, etc. Although we cannot predict every situation we do believe that our community can weather the worst of them.
- We lack certainty that electricity will continue to flow. As long as the power system operates, our citizens will be fine.

State of Maine's Y2K Status/Applications that are Compliant



**NASIRE* Survey of New England States
Percentage Mission Critical Systems Y2K Compliant**



*The National Association of State Resource Executives Quick Survey on Year 2000 Remediation in the States is a database that focuses on "mission critical" systems. NASIRE defines as "mission critical" "systems that the state has identified as priorities for prompt remediation. Such systems could encompass public safety, public health and financial and personal aspects of government services."

STATE OF MAINE
DEPARTMENT OF DEFENSE, VETERANS AND EMERGENCY MANAGEMENT
COUNTY DIRECTORS ROSTER

ANDROSCOGGIN

Peter Van Gagnon, Director
Androscoggin Unified EMA
2 College Street
Lewiston, Maine 04240-7101

Control Center: Central Fire Station
45 Oak Street
Tel: 784-0147
Fax: 784-0149
E-mail: plepcema@ime.net

Res: 27 Strawberry Lane
Minot, Maine 04259
Tel: 966-2921

AROOSTOOK

Vernon Ouellette, Director
RR 01, Box 8527
Limestone, Maine 04750

Control Center: Building 5302, Tast Road
Limestone, Maine
Tel: 328-4480
Fax: 328-4205
E-mail: akema@ainop.com

Res: 21 Lynne Street
Van Buren, Maine 04785
Tel: 868-5415

CUMBERLAND

George Flaherty, Director
22 High Street
Windham, Maine 04062

Control Center: South Windham (Bunker)
Tel: 892-6785
Fax: 892-8617
Pager: 870-6858 (G. Flaherty)
Pager: 870-7256 (A. Brett)
Cellular: 671-6039 (G. Flaherty)
E-mail: countyema@aol.com

Res: 61 Dole Drive
Portland, Maine 04103
Tel: 797-8288

FRANKLIN

Clyde C. Barker, Director
38 Main Street
Farmington, Maine 04938

Control Center: Farmington, Maine
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Res: RR 2, Box 1650
Strong, Maine 04983
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HANCOCK

Deale B. Salisbury, Director
County Courthouse
60 State Street
Ellsworth, Maine 04605

Control Center: Ellsworth, Maine
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Res: 34 West Main Street
Ellsworth, Maine 04605
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125 State Street
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Cellular: 441-1364
Pager: 471-7923 (V. Cerasuolo)
Pager: 471-7924 (T. Patenaude)
Pager: 471-7925 (J. Nickerson)

Res: 13 Newland Avenue
Augusta, Maine 04330
Tel: 623-4054 or 623-3054

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Tel: 549-7374

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Res: Star Route
Norway, Maine 04268
Tel: 743-2798

PENOBSCOT

G. Stephen Watson, Director
97 Hammond Street
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Roads & Mapping Dept.: 942-8535
Fax: 942-8941
Pager: 264-7007 (Steve Watson)
Pager: 264-7008 (Barbara Cox)
Mobile Phone: 944-6345 (Steve Watson)
Mobile Phone: 944-0922 (Barbara Cox)
E-mail: penema@mint.net

Res: 15 Kelly Drive
Carmel, Maine 04419
Tel: 848-3093

PISCATAQUIS

Robert Wilson, Director
51 East Main Street
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564-2161 (Commissioners Office)
Fax: 564-3022 (Commissioners Office)
Pager: 750-4641 (Teresa)
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Res: P.O. Box 234
Monson, Maine 04464-0243
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Tel: 338-3190

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Paul Thompson, Director
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E-mail: pthomp@juno.com

Res: P.O. Box 198
Machias, Maine 04654
Tel: 726-5290

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STATE OF MAINE
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 Cellular: 671-6039 (G. Flaherty)
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Fax: 324-4997
E-mail: ycema@waveinter.com

MAINE PUBLIC UTILITY Y2K CONTACTS

ORGANIZATION	PUBLIC CONTACT
ALL PUBLIC UTILITIES	
Public Utilities Commission	PUC Consumer Assistance Division 1-800-452-4699 maine.puc@state.me.us http://janus.state.me.us/mpuc/Year2000.htm
ELECTRIC POWER	
Bangor Hydro-Electric	Mike Williams 945-5621 mwilliams@bhe.com http://www.bhe.com/
Central Maine Power	Consumer Response Line 1-800-750-4000 http://www.cmpco.com/
Eastern Maine Elec Co-op	Charlie McAlpin 1-800-454-7555
Fox Islands Elec Co-op	Ron Lord 863-4900
Houlton Water Co. / Elec	John Clark 532-2259
Isle au Haut Elec Power	Pat Tully 335-2991
Kennebunk Light & Power	Sharon Staz 985-3311
Madison Elec Works	Martin Berry 696-4401
Maine Public Service	Michael Eaton 768-5811
Matinicus Plt Elec Co	Clayton Philbrook 366-3970
Monhegan Plt Power Dist	Kathleen Boegel 594-5546
Swans Island Elec Co-op	Lorraine Stockbridge 526-4336
Van Buren Light & Power	Skip Dumais 868-3321
LOCAL TELEPHONE	
Bell Atlantic – Maine	Customer Service Representative 1-800-585-4466 (residence custs.) 1-800-941-9900 (business custs.) http://www.bellatlantic.com/year2000/
Bryant Pond Tel Oxford Tel Oxford West Tel	Customer Service Representative 336-9911
China Tel	Customer Service Representative 445-9911
Cobbosseecontee Tel	Customer Service Representative 724-9911

MAINE PUBLIC UTILITY Y2K CONTACTS

ORGANIZATION	PUBLIC CONTACT
Community Service Tel	Customer Service Representative 377-9911
Hampden Tel	Customer Service Representative 862-9911
Hartland & St. Albans Tel	Customer Service Representative 1-800-938-9911
Lincolntonville Tel	Customer Service Representative 763-9911
Maine Tel Standish Tel	Customer Service Representative 1-800-642-9901
Mid-Maine Telecom	Customer Service Representative 1-877-643-6246
Northland Tel Sidney Tel	Customer Service Representative 1-800-400-5568
Pine Tree Tel	Customer Service Representative 657-9911
Saco River Tel & Tel	Customer Service Representative 929-9911
Somerset Tel	Customer Service Representative 635-9750
The Island Tel	Customer Service Representative 1-800-274-9902
Tidewater Telecom	Customer Service Representative 563-9911
Union River Tel	Customer Service Representative 584-9911
Unitel, Inc.	Customer Service Representative 948-3900
Warren Tel	Customer Service Representative 273-9911
West Penobscot Tel & Tel	Customer Service Representative 1-800-278-9911
NATURAL GAS	
Bangor Gas	Jim Tyler 941-9595
CMP Natural Gas	Tim Kelley 729-0420
Northern Utilities	Ken Krech 1-800-248-8360, 0
DRINKING WATER	
Bangor Water Dist	Wayne Rogalski 947-4516
Consumers Maine Water	(see following list, or call the number on your utility bill)
Lewiston Water Dist	Rick Burnham 782-8275 x232
Portland Water Dist	Ronald Miller 774-5961

MAINE PUBLIC UTILITY Y2K CONTACTS

<u>Community Water System</u>	<u>Contact</u>	<u>Telephone #</u>
Alfred Water Company, Inc.	Jack W. Scott	207-324-3823
Allen Water Company	Hugh Drisko	207-825-3351
Andover Water District	Peter Scotti	207-392-1036
Anson Water District	Arthur G. Morse	207-635-2211
Ashland Water & Sewer District	Frank Martin	207-435-2801
Auburn Water District	Normand R. Lamie	207-784-6469
Augusta Water District	Scott Minor	207-622-3701
Baileyville Utilities District	Gardner Rolfe	207-427-3328
Bangor Water District	Wayne Rogalski	207-947-4516
Bar Harbor Water Company	Albert Vollmer, Jr.	207-288-3555
Bath Water District	Seth Garrison	207-443-2391
Belfast Water District	Harry T. Smith	207-338-1200
Berwick Water Department	Barbara Martin	207-698-1101
Bethel Water District	Lucien Roberge	207-824-2342
Biddeford & Saco Water Co	Clifford (Jerry) Mansfield	207-282-1543
Bingham Water District	Doris Vermette	207-672-3621
Boothbay Harbor Water System	Laurie Smith	207-633-4723
Bowdoinham Water District	Art McLean	207-666-3159
Brewer Water District	Gerry Carstensen	207-989-4214
Bridgton Water District	Ralph Wentworth	207-647-2881
Brownville Water Department	James Catlin	207-965-8639 or 207-965-2561
Brunswick Topsham Water Dist.	Norman J. Cyr	207-729-9956
Buckfield Water Dept.	Joan Pope	207-336-9911
Calais Water Department	Ray Beaulieu	207-454-2760
Canton Water District	Robert A. Demers	207-597-2201
Caribou Waterworks Div. C.U.D.	Alan Hitchcock	207-496-0911
Castine Water Department	George D. Leavitt	207-326-8540
Clinton Water District	Ronald R. Boivin	207-426-8039
Consumers Maine - Greenville	Ronald S. Jones	207-695-2912
Consumers Maine - Bucksport	Jeff Robinson	207-469-0021
Consumers Maine - Freeport Div.	Ronald Seaman	207-865-0831
Consumers Maine - Hartland	Raymond Nunn	207-474-3521
Consumers Maine - Kezar Falls	Herbert Frost	207-625-2331
Consumers Maine - Millinocket	David Beaulieu	207-723-6278
Consumers Maine - Oakland	Gaylon Greenleaf	207-465-2565
Consumers Maine - Skowhegan	Don Nunn	207-474-3521
Consumers Maine - Rockland	George Peters	207-236-8428
Corinna Water District	Gary Dorman	207-278-4183
Cornish Water District	Phil Kilburn	207-625-8642
Danforth Water District	Greg Mailman	207-448-7097
Deer Isle Consumer Owned Wtr.Util.	Dud Hendrick	207-348-6615
Dexter Utility District	Randy Webber	207-924-7367
Dixfield Water & Sewer Dept.	James W. Kidder	207-562-4654
Dover & Foxcroft Water District	Stephen P. Cochran	207-564-2310
Dresden Mills Water District	(Selectmen)	207-737-4335
Eagle Lake Water & Sewer Dist.	Gerald Raymond	207-444-5441
East Boothbay Water District	Frederick J. McIntyre	207-633-4920
East Millinocket Water Dept.	Frank Stratton	207-746-3376

MAINE PUBLIC UTILITY Y2K CONTACTS

East Pittston Water District	Lawrence C. Cushing II	207-685-9967
East Vassalboro Water System	Jeffrey Sugden	207-968-2637
Ellsworth Water Department	Larry Wilson	207-667-8632
Eustis Water Department	Sandra S. Scribner	207-246-4401
Exeter Water District	Bob Wetzler	207-379-2191
Farmington Falls Water Co.	Jim Lisius	207-778-0853
Farmington Vill. Corp. Wtr. Dept.	Thomas Holt	207-778-4777
Fort Fairfield Utilities District	Rodney L. Deschaine	207-472-1391
Fort Kent Utility Dist.-Water Dept.	Don Guimond	207-834-3003
Franklin Water Department	John Welch Jr.	207-565-3663
Friendship Water Department	John Fancy, Inc.	207-785-3610
Fryeburg Water Company	John Hastings (Tues. & Fri.)	207-935-2010
Gardiner Water District	Thomas Hayden	207-582-5500
Grand Isle Water System	Bob Dunbar	207-895-3420
Gray Water District	James W. Foster	207-657-3500
Great Salt Bay Sanitary District	Mary E. Bowers	207-563-5105
Guilford & Sangerville Water Dist.	Lance Pulkinen	207-876-3066
Hallowell Water District	Dennis Kinney	207-623-9151
Hampden Water District	Cam Torrey	207-862-3490
Harrison Water District	William Winslow	207-583-2204
Hebron Water Company	Lewis W. Williams	207-966-2312
Highland Water Company	Walter Lawrence	207-693-3721
Houlton Water Company	John Clark	207-532-2259
Howland Water Dept.	Glena Armour	207-732-4112
Island Falls Water Department	Cecil Given	207-463-2124
Jackman Utility District	Roland Seavey	207-668-7686
Jay Village Water District	Richard Jackson	207-897-4673
Kennebec Water District	Jeff LaCasse	207-872-2763
Kennebunk K'Port & Wells Wtr.	David Sweet	207-985-3385
Kingfield Water District	Alan Stewart	207-265-4628
Kittery Water Dist.	Michael S. Rogers	207-439-1128
Lewiston Water & Sewer Dept.	Rick Burnham	207-782-8275 x232
Limerick Water Dept.	Glenwood Day	207-793-2294
Limestone Water & Sewer Dist.	Gary Fitzsimmons	207-325-4788
Lincoln Water District	Ronald R. Gray	207-794-2921
Lisbon Water Department	Larry Plourde	207-353-3020
Livermore Falls Water District	Doug Burdo	207-897-3445
Long Pond Water District	James Guyton	207-422-3499
Lubec Water & Electric District	Joe O'Brien	207-733-5526
Machias Water Company	Gary Griffin	207-255-3011
Madawaska Water District	Donald Chasse	207-728-3859
Madison Water District	Richard W. Peavey	207-696-4221
Mars Hill & Blaine Water District	Jeff Saucier	207-425-2620
Mechanic Falls Water Dept.	Paul E. Hackett	207-345-5351
Mexico Water District	Anne M. Young	207-364-2061
Milbridge Water District	David Parsons	207-546-2919
Milo Water District	Kevin Black	207-943-2501
Monhegan Water Company	Willard Boyton	207-594-2932
Monson Utilities District	Brian Turner	207-997-3641
Morrill Village Water Dist	Gary Sheldon	207-672-4094

MAINE PUBLIC UTILITY Y2K CONTACTS

Moscow Water District	Leola Rollins	207-342-5601
Mt. Blue Standard Water Dist.	Anna Teele	207-639-5306
Mt. Desert Water District	Pat Perry	207-276-3733
New Portland Water District	Wanda Calder	207-628-4632
New Sharon Water District	Forrest R. Bonney	207-778-4167
Newport Water District	Thomas Todd	207-368-4314
Norridgewock Water District	L. Ellery Brown	207-634-2660
North Berwick Water District	Bruce Hackett	207-676-3707
North Haven Water Department	Rexford Crockett	207-867-2215
Northport Village Corp. Wtr. Dept.	Beverly Crofoot	207-338-4661
Norway Water District	David E. MacDonald	207-743-2414
Old Town Water District	Weston Haskell	207-827-2145
Orono-Veazie Water District	Dennis Cross	207-866-4449
Oxford Water District	David MacDonald	207-743-2414
Paris Utility District	W. John Barlow	207-743-6251
Passamaquoddy Water District	Brian Ames	207-853-2924
Patten Water Department	Rhonda Harvey	207-528-2215
Pittsfield Water Works	D. Dwight Dogherty	207-487-5203
Plymouth Water District	Chuck Sprague	207-487-3232
Port Clyde Water District	William Bryant	207-372-6278
Portland Water District	Ronald Miller	207-774-5961
Presque Isle Water District	Stephen Freeman	207-762-5061
Quantabacook Water District	Robert Hammond	207-483-2876
Rangeley Water District	Vernon Bean	207-864-3739
Richmond Utilities District	Bruce Gardner	207-737-4721
Rumford Water District	Benoit F. Bradley	207-364-2891
Sabattus Sanitary District-Water Div.	Paul Morin	207-375-8008
Sandy Point Water Company	Carl Davis	207-567-4164
Sanford Water District	Dennis T. Knowles	207-324-2312
Searsport Water District	Herb Kronholm	207-548-2910
Small Point Water Company	Marian Ashe	207-443-2366
Solon Water District	Michael Foster	207-643-2473
South Berwick Water Dist.	Michael R. Nadeau	207-384-2257
South Freeport Water District	Ron Seaman	207-865-0831
Southport Water System	Aaron Blaney	207-633-2229
Southwest Harbor Water Dept.	Allen B. Willey	207-244-3948
St. Francis Water District	Eldina Jandreau	207-398-3269
Starks Water District	Cathy Cole	207-696-4253
Stonington Water Company	Roger Stone	207-367-2351
Strong Water District	Mark Richards	207-684-4051
Van Buren Water District	Skip Dumais	207-868-2285
Vinalhaven Water District	Kenneth W. Webster	207-863-4662
Waldoboro Water Company	George Peters	207-236-8428
Washburn Water Department	Matthew Palmer	207-455-8485
Waterboro Water District	John Vacari	207-283-4509
West Paris Water District	Richard Bradeen	207-674-2174
Wilton Water Dept.	Russ Mathers	207-645-2001
Winter Harbor Water District	Shirley Chase	207-963-7703
Winterport Water District	Viola Thibodeau	207-223-5305
Winthrop Utilities District	Daniel R. Wells	207-377-2712

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Wiscasset Water District
Yarmouth Water District
York Water District

Ross Varney
Robert MacKinnon
David C. Michniewicz

207-882-6402
207-846-6402
207-363-2265