



State of Wisconsin / OFFICE OF THE COMMISSIONER OF INSURANCE

Scott Walker, Governor
Theodore K. Nickel, Commissioner

Wisconsin.gov

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April 1, 2014

Mike Huebsch, Secretary
Department of Administration
101 E. Wilson St., 10th Floor
Madison, WI 53707

Dear Secretary Huebsch:

I am pleased to submit the Office of the Commissioner of Insurance's Information Technology Plan for Fiscal Year 2015. The plan is based on our vision and on goals developed by OCI's executive team. We will keep you informed of any subsequent changes to the plan as the year progresses.

Should you have any questions about the plan, please contact Amit Trivedi, IT Director at 266-7392 or Louis Cornelius, Administrator, Funds and Program Management at 264-8113.

Sincerely,

A handwritten signature in black ink, appearing to read 'Theodore K. Nickel'.

Theodore K. Nickel
Commissioner

Office of the
Commissioner of Insurance

Information Technology Plan – FY15

Table of Contents

I. Top Five IT Goals.....2
II. Agency IT Budget.....3
III. Agency IT Employees3
IV. Agency Projects.....4
V. Potential Agency Projects9
VI. IT Infrastructure Projects or Expenditures.....10
VII. Issues11

I. Top Five IT Goals

Overview of Key Agency Business Drivers

OCI continues to aggressively leverage technology in order to provide better and more efficient service to its internal and external customers. The commitment to the use of technology is a key strategy in the agency's business plan. This commitment is based on an overall understanding by agency staff that technology can be used to improve staff efficiency and effectiveness and therefore service to the public and the insurance industry.

The mission of the Office of the Commissioner of Insurance is to lead the way in informing and protecting the public, and responding to their insurance needs.

Strategies to accomplish the goal are to:

- Improve/enhance OCI's legacy application portfolio to more efficiently and effectively respond to department needs.
- Continually review emerging technologies and conduct cost-benefit analyses for applications serving OCI, consumers, and the industry.
- Improve state regulation and service by implementing use of technology to facilitate the sharing of information with other regulatory authorities.
- Implement Business Intelligence that allows an OCI to gather, analyze and report key information to enable making effective, efficient and informed decisions for a more effective and efficient insurance regulation.
- Implement a Lean Initiative to engage staff and agency leaders in order to eliminate waste, save time and cost, and improve government services to efficiently serve consumers, industry, and agency staff.

Projects Completed in FY14

1. Premium Tax – Electronic Correspondence
2. Legal System
3. Rate Review – MAS Updates
4. Rate Review – BI Pilot
5. Windows 7 Operating System Upgrade
6. TeamMate Upgrade (Regulation & Enforcement)

II. Agency IT Budget

Information Technology Budget (includes general operations, federal grants, and projects from Segregated Funds): \$3,291,400.

III. Agency IT Employees

Description	# Staff
FTE	16.5
LTE	0
Contractors	10
Open Positions	1

IV. Agency Projects

None of the agency's projects are expected to cost \$1 million or more. The projects listed below are ones that OCI's IT section are working on.

1. Complaints – Insurance Company Access
2. Business Intelligence Initiative
3. Injured Patients and Families Compensation Fund
4. Rate Review

1) Project Name:			
Complaints – Insurance Company Access			
2) Project Type: <input checked="" type="checkbox"/> New FY14 <input type="checkbox"/> Ongoing			
3) Project Description:			
OCI will develop an application that allows for secure, electronic exchange of information between OCI and licensed insurers regarding complaints. Furthermore, the application will automatically add incoming correspondence to the complaint file, update the complaint system accordingly, and route complaints in accordance with the business requirements			
4) Project Schedule	Start: 3/2013	Completion: 6/2014	
5) Application Platform:	<input type="checkbox"/> Mainframe	<input type="checkbox"/> Windows Multi-Tier	<input type="checkbox"/> Client-Server
	<input checked="" type="checkbox"/> Web Internet	<input type="checkbox"/> Web Intranet	<input type="checkbox"/> Physical
	<input type="checkbox"/> Consolidated	<input type="checkbox"/> Co-located	<input type="checkbox"/> Virtual
6) Application Type:	<input checked="" type="checkbox"/> State Developed	<input type="checkbox"/> SaaS	<input type="checkbox"/> Transfer
	<input type="checkbox"/> COTS	<input type="checkbox"/> Vendor Managed/hosted	<input type="checkbox"/> Other (specify) _____
7) Technical Architecture Components:			
The application will be implemented with Apache, Tomcat, Java, and Oracle on a Windows platform. The existing internal complaints system will be enhanced to allow electronic correspondence. A new external system will be created for licensed insurance companies to use with WAMS accounts for authentication.			
8) Estimated Total Project Hours: 3,300		8a.) Estimated Total Project Cost: \$200, 000	
9) Related Projects and Dependencies:			
The project is dependent on a security administration project which will allow companies to authorize their employees to perform particular roles within the system.			
10) Is this a High-Profile Project? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes (If Yes, complete information below.)			
Executive Sponsor:		Division:	
Business Sponsor:		Division:	
Senior Project Manager:		IT Authority:	
Is Full Funding for Project Approved/Secured? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Funding Source for the Project: <input type="checkbox"/> GPR \$ _____ <input type="checkbox"/> PR \$ _____ <input type="checkbox"/> SEG \$ _____ <input type="checkbox"/> FED \$ _____			
11) Issues that may influence successful execution of the project:			
<ul style="list-style-type: none"> • Team members not available as needed due to workload issues • Agency priorities change • Technology incompatibilities 			

Office of the Commissioner of Insurance
Information Technology Plan – FY15

1) Project Name: Business Intelligence			
2) Project Type: <input checked="" type="checkbox"/> New FY15 <input type="checkbox"/> Ongoing			
3) Project Description: The project will enable OCI to create reports and dashboards at company, group and line of business levels in order to monitor trends and identify areas for further analysis. Examiners will make more efficient use of their time and will be better able to identify areas for further scrutiny.			
4) Project Schedule	Start: 1/2014	Completion: 12/2015	
5) Application Platform:	<input type="checkbox"/> Mainframe	<input type="checkbox"/> Windows Multi-Tier	<input type="checkbox"/> Client-Server
	<input checked="" type="checkbox"/> Web Internet	<input type="checkbox"/> Web Intranet	<input type="checkbox"/> Physical
	<input type="checkbox"/> Consolidated	<input type="checkbox"/> Co-located	<input type="checkbox"/> Virtual
6) Application Type:	<input checked="" type="checkbox"/> State Developed	<input type="checkbox"/> SaaS	<input type="checkbox"/> Transfer
	<input type="checkbox"/> COTS	<input type="checkbox"/> Vendor Managed/hosted	<input type="checkbox"/> Other (specify) _____
7) Technical Architecture Components: Utilize/extend DOA/DET enterprise investment in BI solution via OBIEE (CHANGE: per adam, business intelligence foundation suite: inc. OBIEE, Mobile, Scorecard/strategy management (OSS M), Essbase.			
8) Estimated Total Project Hours: TBD		8a.) Estimated Total Project Cost: TBD	
9) Related Projects and Dependencies: Successful implementation depends upon a complementary effort on the part of DOA/DET.			
10) Is this a High-Profile Project? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes (If Yes, complete information below.)			
Executive Sponsor:		Division:	
Business Sponsor:		Division:	
Senior Project Manager:		IT Authority:	
Is Full Funding for Project Approved/Secured? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Funding Source for the Project: <input type="checkbox"/> GPR \$ _____ <input type="checkbox"/> PR \$ _____ <input type="checkbox"/> SEG \$ _____ <input type="checkbox"/> FED \$ _____			
11) Issues that may influence successful execution of the project: <ul style="list-style-type: none"> Team members not available as needed due to workload issues Project may raise governance concerns which will require leadership intervention Continued commitment to OBIEE architecture by DOA/DET Agency priorities change Technology incompatibilities 			

Office of the Commissioner of Insurance
Information Technology Plan – FY15

1) Project Name:			
Injured Patients & Families Compensation Fund (IPFCF) Enhanced Provider Access and Financial Modules			
2) Project Type: <input type="checkbox"/> New FY14 <input checked="" type="checkbox"/> Ongoing			
3) Project Description:			
<p>Enhance the current functionality of the IPFCF Web application according to the user requests. Enable public access to IPFCF data for transparency and efficiency.</p> <p>The new public access portal will allow doctors, hospitals, service corporation, nursing home and other healthcare providers to access their certification information and financial status.</p> <p>Detailed plan:</p> <p>Enhanced provider access: target completion by July 2013 (Completed)</p> <ul style="list-style-type: none"> - Employer linking/delinking - Change of address - Collection of billing parameters (corporation surveys and ambulatory surgery centers, etc.) <p>Document management: target completion by June 2014</p> <ul style="list-style-type: none"> - Document storage/retrieval - Authoring/template generation - Scanning/including electronic exemption filing and electronic signature <p>Financial rewrite: target completion by December 2015</p> <ul style="list-style-type: none"> - Redesign financial detail - Refine invoice design - Refine accounting reports - Improved audit trail to allow the user to monitor the system more effectively. <p>Ad hoc reporting: This request originally appeared with Phase 1; however, it has been delayed based upon agency's desire to identify uniform reporting software.</p> <p>Cert Filing: target completion by July 2015</p> <ul style="list-style-type: none"> - Implement new Lean-process for cert filing <p>Carrier Access: target completion by July 2015</p> <ul style="list-style-type: none"> - Redesign financial detail - Refine invoice design - Refine accounting reports <p>Improved audit trail to allow the user to monitor the system more effectively.</p>			
4) Project Schedule	Start: 7/01/2013	Completion: 12/30/2015	
5) Application Platform:	<input type="checkbox"/> Mainframe	<input type="checkbox"/> Windows Multi-Tier	<input type="checkbox"/> Client-Server
	<input checked="" type="checkbox"/> Web Internet	<input type="checkbox"/> Web Intranet	<input type="checkbox"/> Physical
	<input type="checkbox"/> Consolidated	<input type="checkbox"/> Co-located	<input type="checkbox"/> Virtual
6) Application Type:	<input checked="" type="checkbox"/> State Developed	<input type="checkbox"/> SaaS	<input type="checkbox"/> Transfer
	<input type="checkbox"/> COTS	<input type="checkbox"/> Vendor Managed/hosted	<input type="checkbox"/> Other (specify)
7) Technical Architecture Components:			
<ul style="list-style-type: none"> - Public access web application for hospitals, doctors, nurses and general public. - Electronic billing for subscribed healthcare providers to replace the traditional paper billing. - Financial information archiving and restore module. - OCI security administration integration. - OCI digital asset management system integration. 			

Office of the Commissioner of Insurance
Information Technology Plan – FY15

<ul style="list-style-type: none"> - Ad hoc reporting module. - Insurance carrier access web application for insurance companies. - Financial system redesign to migrate from Grails to Spring technology stack. - Certificate filling process implementation. - Workflow management system, or business process management software. 	
8) Estimated Total Project Hours: 14,008	8a.) Estimated Total Project Cost: \$931,200
9) Related Projects and Dependencies: This project is dependent on an agency-wide project for system security, digital asset management system and reporting tools.	
10) Is this a High-Profile Project? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes (If Yes, complete information below.)	
Executive Sponsor:	Division:
Business Sponsor:	Division:
Senior Project Manager:	IT Authority:
Is Full Funding for Project Approved/Secured? <input type="checkbox"/> Yes <input type="checkbox"/> No	
Funding Source for the Project: <input type="checkbox"/> GPR \$_____ <input type="checkbox"/> PR \$_____ <input type="checkbox"/> SEG \$_____	
<input type="checkbox"/> FED \$_____	
11) Issues that may influence successful execution of the project:	
<ul style="list-style-type: none"> - The public access web application depends on the OCI security technical sub project for conducting user administration. The success of OCI security technical sub project is crucial to the public access web application of IPFCF. - The OCI reporting tool technical sub project is still in the research phase. The chosen reporting tool from the technical sub project may impact the reporting capability of the IPFCF project. 	

Office of the Commissioner of Insurance
Information Technology Plan – FY15

1) Project Name: <b style="text-align: center;">Rate Review			
2) Project Type: <input type="checkbox"/> New FY14 <input checked="" type="checkbox"/> Ongoing			
3) Project Description:			
<p>Develop functionality that enables OCI staff to use the Market Analysis System (MAS) to effectively track (1) product-level information, (2) detailed rate filing information, and (3) completion of rate filing review steps.</p> <p>Develop functionality in the MAS that will enable OCI staff to review data submitted in the annual Health Insurer Market Survey, accept or reject the data submitted, communicate with carriers regarding submissions, and persist submitted data.</p> <p>Develop a secure online interface that enables insurance companies to (1) submit annual market survey data to be stored in the MAS, and (2) add products to and edit the attributes of existing products in their product inventory.</p> <p>Develop functionality that will enable OCI staff to import to the MAS specified data elements from the NAIC financial database.</p> <p>Develop standardized reports and ad-hoc reporting functionality.</p> <p>Develop a secure online interface that enables insurance companies to submit data elements associated with rate change filings to OCI electronically.</p> <p>Develop a system to notify consumers by email subscription of rate filings made by designated insurance companies.</p> <p>Develop functionality that will enable companies to upload a data file in lieu of manual completion and submission of the Health Insurer Market Survey data and the Rate Filing data.</p>			
4) Project Schedule	Start: 01/2013	Completion: 10/2015	
5) Application Platform:	<input type="checkbox"/> Mainframe	<input type="checkbox"/> Windows Multi-Tier	<input type="checkbox"/> Client-Server
	<input checked="" type="checkbox"/> Web Internet	<input type="checkbox"/> Web Intranet	<input type="checkbox"/> Physical
	<input type="checkbox"/> Consolidated	<input type="checkbox"/> Co-located	<input type="checkbox"/> Virtual
6) Application Type:	<input checked="" type="checkbox"/> State Developed	<input type="checkbox"/> SaaS	<input type="checkbox"/> Transfer
	<input type="checkbox"/> COTS	<input type="checkbox"/> Vendor Managed/hosted	<input type="checkbox"/> Other (specify) _____
7) Technical Architecture Components:			
The application will be developed using Java and web technologies and will run on Tomcat and Apache, using Oracle as a database.			
8) Estimated Total Project Hours: TBD		8a.) Estimated Total Project Cost: TBD	
9) Related Projects and Dependencies:			
Security infrastructure and reporting tool in place.			
10) Is this a High-Profile Project? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes (If Yes, complete information below.)			
Executive Sponsor:		Division:	
Business Sponsor:		Division:	
Senior Project Manager:		IT Authority:	
Is Full Funding for Project Approved/Secured? <input type="checkbox"/> Yes <input type="checkbox"/> No			
Funding Source for the Project: <input type="checkbox"/> GPR \$ _____ <input type="checkbox"/> PR \$ _____ <input type="checkbox"/> SEG \$ _____			
<input type="checkbox"/> FED \$ _____			
11) Issues that may influence successful execution of the project:			
<ul style="list-style-type: none"> • The project is dependent on the business partner participation and availability. • Lack of resources and or resources with the necessary skillsets. 			

V. Potential Agency Projects

None of the agency's potential projects are expected to cost \$1 million or more. The projects listed below are ones that OCI's Information Services Section may initiate in FY15.

- Local Government Property Insurance Fund – develop a rate engine and study feasibility of Business Intelligence.

VI. IT Infrastructure Projects or Expenditures

None.

VII. Issues

Competing priorities and staffing.

OCI is involved in other initiatives that may impact successfully executing the IT plan in a timely manner. These initiatives are results of:

- changing regulatory climate for insurance – both at the federal and state level may create more demands on IT applications or require new applications
- business continuity planning project for the state's COOP/COG efforts