



State of Wisconsin / OFFICE OF THE COMMISSIONER OF INSURANCE

Scott Walker, Governor
Theodore K. Nickel, Commissioner
Wisconsin.gov

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June 3, 2015

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

Dear Secretary Neitzel:

I am pleased to submit the Office of the Commissioner of Insurance's Information Technology Plan for Fiscal Year 2016. 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, at 266-7392 or Cindy Gramann at 267-5294.

Sincerely,

Theodore K. Nickel
Commissioner

Office of the
Commissioner of Insurance

Information Technology Plan – FY16

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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 overall efficiency and effectiveness and therefore service to the public and the insurance industry.

OCI provides information and assistance to the public, including consumers, legislators, insurers, agents, state agencies, other states, the federal government, and other organizations. The use of technology will help to achieve the following agency goals:

- Ensure a strong insurance market through proactive policy and skillful enforcement
- Ensure continued efficient and effective regulation of insurance at the state level
- Enjoy a positive public image and be recognized as an expert and leader in the field of insurance regulation

Strategies to accomplish the goal are to:

- Continually review emerging technologies and conduct cost-benefit analyses for applications serving OCI, consumers, and the industry.
- Improve state regulation and service by implementing the use of technology to facilitate the sharing of information with other regulatory authorities.
- Develop a long-term roadmap to utilize technology effectively, reduce paper processing, and improve disaster recovery preparedness.
- Implement Business Intelligence that allows an OCI to gather, analyze and report key information to enable making informed decisions for a more effective and efficient insurance regulation.
- Implement a Lean Initiative based on the Governor's initiative, which will engage staff and agency leaders to focus on eliminating waste, saving time and cost, and improving government services to the benefit of both state residents and employers.

II. Agency IT Budget

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

IV. Agency Projects

None of the agency's projects are expected to cost \$1 million or more. The projects listed below are projects that OCI is working on, many of which include Lean components.

1. STAR
2. SBS Migration
3. Online Forms Solution
4. Scanning Solution
5. Financial Statements – Online Filing and Analysis System
6. Injured Patients and Families Compensation Fund
7. Rate Review
8. Business Intelligence Initiative

1) Project Name: STAR			
2) Project Type: <input type="checkbox"/> New FY16 <input checked="" type="checkbox"/> Ongoing			
3) Project Description:			
Changes to support the enterprise STAR initiative			
4) Project Schedule	Start: 1/2015	Expected Completion: 12/2015	
5) Application Platform:	<input type="checkbox"/> Mainframe	<input checked="" type="checkbox"/> Web	<input type="checkbox"/> Client-Server
	<input type="checkbox"/> Physical	<input type="checkbox"/> Virtual	
6) Application Type:	<input type="checkbox"/> In-house Developed	<input checked="" type="checkbox"/> COTS	<input type="checkbox"/> SaaS
	<input type="checkbox"/> Vendor Managed/hosted	<input type="checkbox"/> Other (specify)	
7) Technical Architecture Components:			
8) Estimated Total Project Hours:		8a.) Estimated Total Project Cost:	
9) Related Projects and Dependencies:			
10) Project Sponsorship and Funding (<i>please complete the information below</i>)			
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 the successful execution of the project:			

1) Project Name: SBS Migration			
2) Project Type: <input checked="" type="checkbox"/> New FY16 <input type="checkbox"/> Ongoing			
3) Project Description:			
Migrate from Sircon to National Association of Insurance Commissioner's (NAIC) State Based System (SBS) for Company Licensing and Agent Licensing services currently performed by our Sircon vendor.			
4) Project Schedule	Start: 2/2015	Expected Completion: 12/2015	
5) Application Platform:	<input type="checkbox"/> Mainframe	<input checked="" type="checkbox"/> Web	<input type="checkbox"/> Client-Server

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	<input type="checkbox"/> Physical	<input type="checkbox"/> Virtual	
6) Application Type:	<input type="checkbox"/> In-house Developed	<input type="checkbox"/> COTS	<input type="checkbox"/> SaaS
	<input checked="" type="checkbox"/> Vendor Managed/hosted	<input type="checkbox"/> Other (specify)	
7) Technical Architecture Components: Scheduled transfer of data from SBS Oracle to OCI Oracle and integration with OCI Java applications.			
8) Estimated Total Project Hours:		8a.) Estimated Total Project Cost:	
9) Related Projects and Dependencies:			
10) Project Sponsorship and Funding <i>(please complete the information below)</i>			
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 the successful execution of the project:			
<ul style="list-style-type: none"> • Workload issues due to impacted services • Agency priorities change 			

1) Project Name: Online Forms Solution			
2) Project Type: <input checked="" type="checkbox"/> New FY16 <input type="checkbox"/> Ongoing			
3) Project Description: Implement an online form solution to allow easy creation of forms to collect data with minimal technical involvement. This effort would help create efficiency while reducing scanning and paper processing. The solution would also replace unsupported legacy technology currently used for electronic forms.			
4) Project Schedule	Start: 1/2015	Expected Completion: 12/2015	
5) Application Platform:	<input type="checkbox"/> Mainframe	<input checked="" type="checkbox"/> Web	<input type="checkbox"/> Client-Server
	<input type="checkbox"/> Physical	<input type="checkbox"/> Virtual	
6) Application Type:	<input type="checkbox"/> In-house Developed	<input checked="" type="checkbox"/> COTS	<input type="checkbox"/> SaaS
	<input type="checkbox"/> Vendor Managed/hosted	<input type="checkbox"/> Other (specify)	
7) Technical Architecture Components:			
8) Estimated Total Project Hours:		8a.) Estimated Total Project Cost:	
9) Related Projects and Dependencies:			
10) Project Sponsorship and Funding <i>(please complete the information below)</i>			
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 the 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 • Ability to find cost-effective solutions for our agency 			

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1) Project Name: Scanning Solution			
2) Project Type: <input checked="" type="checkbox"/> New FY16 <input type="checkbox"/> Ongoing			
3) Project Description: Implement a scanning solution which includes OCR, ICR, indexing, and mobile capture. The solution would replace unsupported legacy technology currently used for scanning and indexing.			
4) Project Schedule	Start: 1/2015	Expected Completion: 12/2015	
5) Application Platform:	<input type="checkbox"/> Mainframe	<input type="checkbox"/> Web	<input type="checkbox"/> Client-Server
	<input type="checkbox"/> Physical	<input type="checkbox"/> Virtual	
6) Application Type:	<input type="checkbox"/> In-house Developed	<input checked="" type="checkbox"/> COTS	<input type="checkbox"/> SaaS
	<input type="checkbox"/> Vendor Managed/hosted	<input type="checkbox"/> Other (specify)	
7) Technical Architecture Components:			
8) Estimated Total Project Hours:		8a.) Estimated Total Project Cost:	
9) Related Projects and Dependencies:			
10) Project Sponsorship and Funding <i>(please complete the information below)</i>			
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 • Ability to find cost-effective solutions for our agency 			

1) Project Name: Financial Statements – Online Filing and Analysis System			
2) Project Type: <input checked="" type="checkbox"/> New FY16 <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 annual and quarterly financial statements. Furthermore, the OCI system will provide financial analysts with the ability to better track and perform the required analysis. This will replace an existing paper-intensive process and legacy technology while creating efficiency and better preparedness for disaster recovery.			
4) Project Schedule	Start: 9/2015	Expected Completion: 6/2016	
5) Application Platform:	<input type="checkbox"/> Mainframe	<input checked="" type="checkbox"/> Web	<input type="checkbox"/> Client-Server
	<input type="checkbox"/> Physical	<input checked="" type="checkbox"/> Virtual	
6) Application Type:	<input checked="" type="checkbox"/> In-house Developed	<input type="checkbox"/> COTS	<input type="checkbox"/> SaaS
	<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.			
8) Estimated Total Project Hours:		8a.) Estimated Total Project Cost:	
9) Related Projects and Dependencies: This project is dependent on an agency-wide project for system security, digital asset management			

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system and reporting tools.	
10) Project Sponsorship and Funding <i>(please complete the information below)</i>	
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 	

1) Project Name: Injured Patients & Families Compensation Fund (IPFCF)	
2) Project Type: <input type="checkbox"/> New FY16 <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>Financial Core Rewrite: target completion by August 2015</p> <ul style="list-style-type: none"> • Implement new Lean process for cert filing • Financial assessment • Redesign financial detail • Noncompliance • Billing • Refine invoice design • Refine accounting reports • Electronic signatures • Improved audit trail to allow the user to monitor the system more effectively <p>Financial rewrite: target completion by January 2016</p> <ul style="list-style-type: none"> • Financial retroactive • Payments • Manual adjustments • Improved audit trail to allow the user to monitor the system more effectively. (This one is ongoing throughout the application) <p>Ad hoc reporting: This request originally appeared with Phase 1; however, it has been delayed based upon the agency's desire to identify uniform reporting software.</p> <p>Carrier Access: target completion by July 2016</p>	
4) Project Schedule	Start: 7/01/2013 Expected Completion: 12/30/2016
5) Application Platform:	<input type="checkbox"/> Mainframe <input checked="" type="checkbox"/> Web <input type="checkbox"/> Client-Server
	<input type="checkbox"/> Physical <input checked="" type="checkbox"/> Virtual
6) Application Type:	<input checked="" type="checkbox"/> In-house Developed <input type="checkbox"/> COTS <input type="checkbox"/> SaaS
	<input type="checkbox"/> Vendor Managed/hosted <input type="checkbox"/> Other (specify)
7) Technical Architecture Components: The application is implemented with Apache, Tomcat, Java, Grails, and Oracle on a Windows platform.	
8) Estimated Total Project Hours:	8a.) Estimated Total Project Cost:
9) Related Projects and Dependencies:	

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This project is dependent on an agency-wide project for system security, digital asset management system and reporting tools.

10) Project Sponsorship and Funding *(please complete the 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:

- Team members not available as needed due to workload issues
- Agency priorities change
- Technology incompatibilities

1) Project Name: **Rate Review**

2) Project Type: New FY16 Ongoing

3) Project Description:

Develop a secure online interface that enables insurance companies to (1) submit annual Health Insurer Market Survey data to be stored in the Market Analysis System (MAS), and (2) maintain health insurance plans by accessing their plan inventory and allow them to report the status of their plans.

Develop functionality in the MAS that will enable OCI staff to review the data submitted in the annual Health Insurer Market Survey, accept or reject the data submitted, communicate with carriers regarding submissions, and persist submitted data.

Develop standardized reports and ad-hoc reporting functionality.

Develop a secure online interface that enables insurance companies to submit data elements associated with rate change filings to OCI electronically replacing Excel data templates as the format.

Develop a system to notify consumers by email subscription of rate filings made by designated insurance companies.

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.

Enhance MAS in response to changes in yearly federal reporting requirements being introduced and as the rate review team uses the MAS with continuous improvement processes to enhance the value and functionality of the MAS.

4) Project Schedule	Start: 01/2013	Expected Completion: 10/2016	
5) Application Platform:	<input type="checkbox"/> Mainframe	<input checked="" type="checkbox"/> Web	<input type="checkbox"/> Client-Server
	<input type="checkbox"/> Physical	<input checked="" type="checkbox"/> Virtual	
6) Application Type:	<input checked="" type="checkbox"/> In-house Developed	<input type="checkbox"/> COTS	<input type="checkbox"/> SaaS
	<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.

8) Estimated Total Project Hours: _____ 8a.) Estimated Total Project Cost: _____

9) Related Projects and Dependencies:

This project is dependent on an agency-wide project for system security, digital asset management

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system and reporting tools.	
10) Project Sponsorship and Funding (please complete the 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. 	

1) Project Name: Business Intelligence			
2) Project Type: <input type="checkbox"/> New FY16 <input checked="" 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	Expected Completion: 12/2016	
5) Application Platform:	<input type="checkbox"/> Mainframe	<input checked="" type="checkbox"/> Web	<input type="checkbox"/> Client-Server
	<input type="checkbox"/> Physical	<input type="checkbox"/> Virtual	
6) Application Type:	<input type="checkbox"/> In-house Developed	<input type="checkbox"/> COTS	<input type="checkbox"/> SaaS
	<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 Tableau			
8) Estimated Total Project Hours:		8a.) Estimated Total Project Cost:	
9) Related Projects and Dependencies:			
Successful implementation depends upon a complementary effort on the part of DOA/DET.			
10) Project Sponsorship and Funding (please complete the 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 the successful execution of the project:			
<ul style="list-style-type: none"> • Team members not available as needed due to workload issues • The project may raise governance concerns which will require leadership intervention • Continued commitment to Tableau software by DOA/DET • Agency priorities change • Technology incompatibilities 			

V. Potential Agency Projects

There are no additional projects to list at this point.

VI. IT Infrastructure Projects or Expenditures

Planned Infrastructure projects include upgrading physical servers to virtual servers in DET's environment and DET consolidation.

VII. Issues

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