



**State of Wisconsin / OFFICE OF THE COMMISSIONER OF INSURANCE**

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

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March 29, 2016

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

Dear Secretary Neitzel:

I am pleased to submit the Information Technology Plan for Fiscal Year 2017 for the Office of the Commissioner of Insurance. The plan is based on our vision and 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 Kate Ludlum, at 264-6232, or Cindy Gramann at 267-5294.

Sincerely,

Theodore K. Nickel  
Commissioner

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Office of the  
Commissioner of Insurance

Information Technology Plan – FY17

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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.
- Expand e-government services by collecting more data via electronic forms and implementing digital signatures resulting in reduced paper processing and improved disaster recovery preparedness.
- Enable better decision-making through the use of analytics and business intelligence leading to more effective and efficient insurance regulation.
- Develop and implement a security roadmap based on partnership with DET, taking proactive measures to reduce risk and respond appropriately to threats encountered.

## II. Agency Projects

None of the agency's projects are expected to cost \$1 million or more, but we have listed our projects planned during FY2017 below.

1. Security Initiative
2. Business Intelligence Initiative
3. E-government – electronic forms, digital signatures, and document imaging
4. Financial and Market Regulation Exam Tracking
5. Injured Patients and Families Compensation Fund
6. Rate Review
7. Website Redesign (WIN)
8. Financial Statements – Online Filing and Analysis System

1) Project Name: <b>Security Initiative</b>			
2) Project Type: <input checked="" type="checkbox"/> New FY17 <input type="checkbox"/> Ongoing			
3) Project Description:  Develop a security strategy and roadmap, partnering with DET to utilize its services. Includes web content filtering, network vulnerability scanning, continuous software assurance, protecting PII data, and web application vulnerability testing.			
4) Project Schedule	Start: 1/2016	Expected Completion: ongoing	
5) Application Platform:	<input type="checkbox"/> Mainframe	<input checked="" type="checkbox"/> Web	<input type="checkbox"/> Client-Server
	<input checked="" type="checkbox"/> Physical	<input checked="" type="checkbox"/> Virtual	
6) Application Type:	<input type="checkbox"/> In-house Developed	<input type="checkbox"/> COTS	<input checked="" type="checkbox"/> SaaS
	<input type="checkbox"/> Vendor Managed/hosted	<input checked="" type="checkbox"/> Other (specify)	
7) Technical Architecture Components: Z-scalar, Nessus, SWAMP			
8) Estimated Total Project Hours:		8a.) Estimated Total Project Cost:	
9) Related Projects and Dependencies: DET resource availability			
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:  DET and OCI resource availability			

1) Project Name: <b>Business Intelligence</b>			
2) Project Type: <input type="checkbox"/> New FY17 <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			

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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.			
OCI also will be participating with DET and other agencies to define an enterprise data discovery and analytics platform.			
4) Project Schedule	Start: 1/2014	Expected Completion: ongoing	
5) Application Platform:	<input type="checkbox"/> Mainframe	<input checked="" type="checkbox"/> Web	<input type="checkbox"/> Client-Server
	<input checked="" type="checkbox"/> Physical	<input checked="" 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. Evaluate tools for ETL and data governance.			
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 as well as participation from other agencies.			
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"> <li>• Team members not available as needed due to workload issues</li> <li>• The project may raise governance concerns which will require leadership intervention</li> <li>• Continued commitment to Tableau software by DOA/DET</li> <li>• Agency priorities change</li> <li>• Technology incompatibilities</li> </ul>			

1) Project Name: <b>E-government – electronic forms, digital signatures, and document imaging</b>			
2) Project Type: <input type="checkbox"/> New FY17 <input checked="" type="checkbox"/> Ongoing			
3) Project Description:			
Replace existing paper forms and aging online forms with a new online form solution, PerfectForms, 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. Implement digital signatures where required with AlphaTrust Pronto to streamline processing and reduce overhead. Replace aging InputAccel scanning solution with scanning features through existing Ricoh copiers.			
4) Project Schedule	Start: 6/2015	Expected Completion: 12/2017	
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 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: PerfectForms, AlphaTrust Pronto, Ricoh copiers			

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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"> <li>• Team members not available as needed due to workload issues</li> <li>• Agency priorities change</li> </ul>	

1) Project Name: <b>Financial and Market Regulation Exam Tracking</b>			
2) Project Type: <input checked="" type="checkbox"/> New FY17 <input type="checkbox"/> Ongoing			
3) Project Description:			
Create an exam scheduling system for both financial and market regulation areas to allow staff to schedule and coordinate exams, track associated documentation, and communicate electronically with companies.			
4) Project Schedule	Start: 5/2016	Expected Completion: 11/2016	
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:			
Java, Tomcat, Apache, Oracle			
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"> <li>• Workload issues due to impacted services</li> <li>• Agency priorities change</li> </ul>			

1) Project Name: <b>Injured Patients &amp; Families Compensation Fund (IPFCF)</b>	
2) Project Type: <input type="checkbox"/> New FY17 <input checked="" type="checkbox"/> Ongoing	
3) Project Description:	
Enhance the current functionality of the IPFCF Web application according to the user requests. Enable public access to IPFCF data for transparency and efficiency.	
Detailed plan:	



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	Managed/hosted	
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 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"> <li>The project is dependent on the business partner participation and availability.</li> <li>Lack of resources and or resources with the necessary skillsets.</li> </ul>		

12) Project Name: <b>Website Redesign (WIN)</b>			
13) Project Type: <input checked="" type="checkbox"/> New FY17 <input type="checkbox"/> Ongoing			
14) Project Description:  Redesign OCI Website with WIN using SharePoint 2013 CMS.			
15) Project Schedule	Start: 1/2016	Expected Completion: 8/2016	
16) Application Platform:	<input type="checkbox"/> Mainframe	<input checked="" type="checkbox"/> Web	<input type="checkbox"/> Client-Server
	<input type="checkbox"/> Physical	<input type="checkbox"/> Virtual	
17) Application Type:	<input type="checkbox"/> In-house Developed	<input type="checkbox"/> COTS	<input checked="" type="checkbox"/> SaaS
	<input checked="" type="checkbox"/> Vendor Managed/hosted	<input type="checkbox"/> Other (specify)	
18) Technical Architecture Components:  SharePoint 2013 CMS hosted at DET			
19) Estimated Total Project Hours:		8a.) Estimated Total Project Cost:	
20) Related Projects and Dependencies:			
21) 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 \$ _____			
22) Issues that may influence the successful execution of the project:			
<ul style="list-style-type: none"> <li>Workload issues due to impacted services</li> <li>Agency priorities change</li> <li>WIN resource availability</li> </ul>			

1) Project Name: <b>Financial Statements – Online Filing and Analysis System</b>	
2) Project Type: <input checked="" type="checkbox"/> New FY17 <input type="checkbox"/> Ongoing	
3) Project Description:	



### **III. Potential Agency Projects**

There are no additional projects to list at this point.

#### **IV. IT Infrastructure Projects or Expenditures**

OCI does not currently have any planned infrastructure projects with anticipated expenditures over \$100,000 which have not already been described in the above sections.

#### **V. Office 365**

OCI is very interested in upgrading to Office 365 and plans to work with DET on the upgrade in July 2017.

#### **VI. VOIP**

OCI plans to transition to VOIP when we move to the Tommy G. Thompson Commerce building in the winter of 2018-2019.

#### **VII.**

*Response removed for Web publishing purposes.*

#### **VIII. Agency IT Portfolio Assessment**

OCI is waiting on further direction from DOA to complete the agency IT portfolio assessment.

#### **IX. Issues**

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

- A 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