May 5, 2017

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 2018. 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 Kate Ludlum, Division Administrator, Funds and Program Management at 264-6232

Sincerely,

[Signature]

Theodore K. Nickel
Commissioner
# Table of Contents

I. Top Five IT Goals.................................................................................................................... 2  
II. Agency Projects ...................................................................................................................... 3  
III. Potential Agency Projects ..................................................................................................... 8  
IV. IT Infrastructure Projects or Expenditures .............................................................................. 8  
V. Active Directory Migration ....................................................................................................... 8  
VI. Cybersecurity ......................................................................................................................... 8  
VII. Agency Portfolio Assessment ............................................................................................... 8  
VIII. Additional Issues and Activities............................................................................................ 8
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 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. OCI Optimization Projects
5. Application Modernization
6. Injured Patients and Families Compensation Fund
7. Rate Review

| 1) Project Name: Security Initiative |
| 2) Project Type: □ New FY18 □ 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 security assurance, multifactor authentication, and protecting PII data. |
| 4) Project Schedule |
| Start: 1/2018 |
| Expected Completion: ongoing |
| 5) Application Platform: |
| □ Mainframe □ Web □ Client-Server |
| □ Physical □ Virtual |
| 6) Application Type: |
| □ In-house Developed □ COTS □ SaaS |
| □ Vendor Managed/hosted □ Other (specify) |
| 8) Estimated Total Project Hours: 1,080 |
| 8a.) Estimated Total Project Cost: $246,000 |
| 9) Related Projects and Dependencies: DET resource availability |
| 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? □ Yes □ No |
| Funding Source for the Project: □ GPR $_______ □ PR $_______ □ SEG $_______ |
| □ FED $_______ |
| 11) Issues that may influence the successful execution of the project: |
| DET and OCI resource availability. |

1) Project Name: Business Intelligence/Analytics |
2) Project Type: □ New FY18 □ Ongoing |
3) Project Description: |
The project will enable OCI to develop analytical models that can be used by business partners.
to monitor trends, identify areas for further analysis, and utilize existing sources of information in a more effective and efficient manner. In addition, it will help identify and catalogue data sources and create a structure/process for the overall management of the availability, usability, integrity, and security of the agency's data.

OCI would also like to take a larger role to lead the effort to create an enterprise data discovery and analytics platform with collaboration from DET and other agencies.

4) Project Schedule
   Start: 1/2017
   Expected Completion: ongoing

5) Application Platform:
   - [ ] Mainframe
   - [x] Web
   - [ ] Client-Server
   - [ ] Physical
   - [ ] Virtual

6) Application Type:
   - [ ] In-house Developed
   - [ ] COTS
   - [ ] SaaS
   - [ ] Vendor Managed/hosted
   - [ ] Other (specify)

7) Technical Architecture Components:
   Utilize/extend DOA/DET enterprise investment in BI solution via Tableau.

8) Estimated Total Project Hours: 3300
   8a.) Estimated Total Project Cost: $205,000

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 (please complete the information below)

<table>
<thead>
<tr>
<th>Executive Sponsor:</th>
<th>Division:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Sponsor:</td>
<td>Division:</td>
</tr>
<tr>
<td>Senior Project Manager:</td>
<td>IT Authority:</td>
</tr>
<tr>
<td>Is Full Funding for Project Approved/Secured?</td>
<td>[ ] Yes [ ] No</td>
</tr>
<tr>
<td>Funding Source for the Project:</td>
<td></td>
</tr>
<tr>
<td>GPR $_______</td>
<td>PR $_______</td>
</tr>
<tr>
<td>FED $_______</td>
<td></td>
</tr>
</tbody>
</table>

11) Issues that may influence the successful execution of the project:
   - 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

1) Project Name: **E-government – electronic forms/Document imaging**
2) Project Type: [ ] New FY18 [x] New
3) Project Description:
   Study the feasibility of On-base as document and forms solutions.

4) Project Schedule
   Start: 7/2017
   Expected Completion: 12/2017

5) Application Platform:
   - [ ] Mainframe
   - [x] Web
   - [ ] Client-Server
   - [ ] Physical
   - [ ] Virtual

6) Application Type:
   - [ ] In-house Developed
   - [x] COTS
   - [ ] SaaS
   - [ ] Vendor Managed/hosted
   - [ ] Other (specify)

7) Technical Architecture Components: On-base

8) Estimated Total Project Hours: 400
   8a.) Estimated Total Project Cost: $20,000

9) Related Projects and Dependencies:
### 10) Project Sponsorship and Funding (please complete the information below)

<table>
<thead>
<tr>
<th>Executive Sponsor:</th>
<th>Division:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Sponsor:</td>
<td>Division:</td>
</tr>
<tr>
<td>Senior Project Manager:</td>
<td>IT Authority:</td>
</tr>
</tbody>
</table>

Is Full Funding for Project Approved/Secured? [ ] Yes [ ] No

Funding Source for the Project: [ ] GPR $________ [ ] PR $________ [ ] SEG $________ [ ] FED $________

### 11) Issues that may influence the successful execution of the project:
- Team members not available as needed due to workload issues
- Agency priorities change

---

### 1) Project Name: **Infrastructure Optimization**

2) Project Type: [ ] New FY18 [ ] Ongoing

3) Project Description:

Partner with DET to migrate OCI infrastructure services to DET enterprise service offerings. This includes migrating network and firewall management, SharePoint services, and file services to DET service offerings.

4) Project Schedule

Start: 3/2016
Expected Completion: 9/2017

5) Application Platform:

- [ ] Mainframe
- [ ] Web
- [X] Client-Server
- [ ] Physical
- [X] Virtual

6) Application Type:

- [ ] In-house Developed
- [X] COTS
- [ ] SaaS
- [ ] Vendor Managed/hosted
- [ ] Other (specify)

7) Technical Architecture Components:

8) Estimated Total Project Hours: 776

8a.) Estimated Total Project Cost: $41,000

9) Related Projects and Dependencies:

The projects are dependent on the completion of the AD consolidation project (with the exception of the Network and Firewall Management project).

10) Project Sponsorship and Funding (please complete the information below)

<table>
<thead>
<tr>
<th>Executive Sponsor:</th>
<th>Division:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Sponsor:</td>
<td>Division:</td>
</tr>
<tr>
<td>Senior Project Manager:</td>
<td>IT Authority:</td>
</tr>
</tbody>
</table>

Is Full Funding for Project Approved/Secured? [ ] Yes [ ] No

Funding Source for the Project: [ ] GPR $________ [ ] PR $________ [ ] SEG $________ [ ] FED $________

11) Issues that may influence successful execution of the project:
- OCI or DET team member availability and potential resource contentions.
- Changing agency or enterprise priority changes.
- Dependencies on completion of related projects including Active Directory consolidation.
- Emerging technology that alter the strategic direction of the enterprise.

---

### 1) Project Name: **Application Modernization**

2) Project Type: [ ] New FY18 [ ] Ongoing

3) Project Description:

The Application Modernization Project is focused on replacing legacy applications and systems with
newer technology to improve efficiency, functionality and security. Updating the Exam Tracking system is one of the first priorities. The Exam Tracking System is an exam scheduling system used by both financial and market regulation areas to allow staff to schedule and coordinate exams, track associated documentation, and communicate electronically with companies. The project includes performing an evaluation to determine whether to build applications in house or purchase and customize a COTS solutions.

<table>
<thead>
<tr>
<th>4) Project Schedule</th>
<th>Start: 5/2016</th>
<th>Expected Completion: TBD</th>
</tr>
</thead>
<tbody>
<tr>
<td>5) Application Platform:</td>
<td>[ ] Mainframe</td>
<td>[X] Web</td>
</tr>
<tr>
<td></td>
<td>[ ] Physical</td>
<td>[ ] Virtual</td>
</tr>
<tr>
<td>6) Application Type:</td>
<td>[X] In-house Developed</td>
<td>[X] COTS</td>
</tr>
<tr>
<td></td>
<td>[ ] Vendor Managed/hosted</td>
<td>[ ] Other (specify)</td>
</tr>
</tbody>
</table>

7) Technical Architecture Components:

Java, Tomcat, Apache, Oracle

8) Estimated Total Project Hours: 3,400  
8a.) Estimated Total Project Cost: $238,000

9) Related Projects and Dependencies:

10) Project Sponsorship and Funding (please complete the information below)

<table>
<thead>
<tr>
<th>Executive Sponsor:</th>
<th>Division:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Sponsor:</td>
<td>Division:</td>
</tr>
<tr>
<td>Senior Project Manager:</td>
<td>IT Authority:</td>
</tr>
<tr>
<td>Is Full Funding for Project Approved/Secured?</td>
<td>[ ] Yes</td>
</tr>
<tr>
<td>Funding Source for the Project:</td>
<td>GPR $________</td>
</tr>
</tbody>
</table>

11) Issues that may influence the successful execution of the project:
- Workload issues due to impacted services
- Agency priorities change

1) Project Name: **Injured Patients & Families Compensation Fund (IPFCF)**

2) Project Type:  [ ] New FY18  [X] 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:
Claims systems- gathering use cases and mock/mcuing user interfaces

Legacy system is in an older technology (grails) and business team needs many enhancements. Since the legacy technology is not supported, hence the system is being re-written.

Enhancements:
- Provide the Insurer with the ability to fix certificate filings that end up in error
- Provide the Insurer and OCI staff with the ability to communicate online to fix certificates.
- Streamline the billing statements and financial transactions.

4) Project Schedule | Start: 7/01/2016 | Expected Completion: ongoing |
<table>
<thead>
<tr>
<th></th>
<th></th>
<th></th>
</tr>
</thead>
<tbody>
<tr>
<td>5) Application Platform:</td>
<td>[ ] Mainframe</td>
<td>[X] Web</td>
</tr>
<tr>
<td></td>
<td>[ ] Physical</td>
<td>[ ] Virtual</td>
</tr>
<tr>
<td>6) Application Type:</td>
<td>[X] In-house Developed</td>
<td>[ ] COTS</td>
</tr>
<tr>
<td></td>
<td>[ ] Vendor Managed/hosted</td>
<td>[ ] Other (specify)</td>
</tr>
</tbody>
</table>

7) Technical Architecture Components:
The application is implemented with Apache, Tomcat, Java, Grails, and Oracle on a Windows platform.

8) Estimated Total Project Hours: 4,080  8a.) Estimated Total Project Cost: $266,000

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 *(please complete the information below)*

<table>
<thead>
<tr>
<th>Executive Sponsor:</th>
<th>Division:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Sponsor:</td>
<td>Division:</td>
</tr>
<tr>
<td>Senior Project Manager:</td>
<td>IT Authority:</td>
</tr>
</tbody>
</table>

Is Full Funding for Project Approved/Secured?  □ Yes  □ No
Funding Source for the Project:  □ GPR $________  □ PR $________  □ SEG $________  □ 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: □ NewFY18  □ Ongoing
3) Project Description:

Enhance the Market Analysis System (MAS) and Health Insurer Web Application (HIWA) in response to changes in yearly federal reporting requirements being introduced.

4) Project Schedule

| Start: 01/2013 | Expected Completion: 10/2017 |

5) Application Platform:

- □ Mainframe  □ Web  □ Client-Server
- □ Physical  □ Virtual

6) Application Type:

- □ In-house Developed
- □ COTS  □ SaaS
- □ Vendor Managed/hosted  □ 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:2000  8a.) Estimated Total Project Cost:$93,600

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 *(please complete the information below)*

<table>
<thead>
<tr>
<th>Executive Sponsor:</th>
<th>Division:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Business Sponsor:</td>
<td>Division:</td>
</tr>
<tr>
<td>Senior Project Manager:</td>
<td>IT Authority:</td>
</tr>
</tbody>
</table>

Is Full Funding for Project Approved/Secured?  □ Yes  □ No
Funding Source for the Project:  □ GPR $________  □ PR $________  □ SEG $________  □ FED $________

11) Issues that may influence successful execution of the project:
- The project is dependent on the business partner participation and availability.
- Lack of resources and or resources with the necessary skillsets.
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 that have not already been described in the above sections.

V. Active Directory Migration

OCI has been working with DET during FY2017 to migrate Active Directory Services to the Accounts domain. The expected completion date of the project is June 2017.

VI. Cybersecurity

OCI is in the process of developing a security strategy and roadmap to improve its overall cybersecurity posture. One of our first priorities is to have a security assessment performed to better understand the agency’s maturity in cybersecurity practices and to help focus future efforts to address critical security risks. OCI will continue to partner with DET to leverage enterprise services and look for opportunities to better protect our data and other critical assets. The agency roadmap will include security related items including the implementation of network vulnerability scanning, continuous software assurance, multi-factor authentication, protecting PII data, and continued efforts to harden security for web applications.

VII. Agency Portfolio Assessment

OCI is in the process of reviewing its application portfolio. A number of legacy applications have already been identified for modernization.

VIII. Additional Issues and Activities

OCI is involved in other initiatives and projects 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.
- OCI plans to move to VOIP when we move to the Tommy G. Thompson Commerce building in the winter of 2018-2019.