



OFFICE OF THE COMMISSIONER OF INSURANCE

2009-11 IT STRATEGIC PLAN

July 2008

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Introduction

The Office of the Commissioner of Insurance (OCI) updated its Strategic Business Plan in the spring of 2008 and confirmed that the mission of OCI is to lead the way in informing and protecting the public, and responding to their insurance needs.

The OCI mission statement provides the context in which OCI goals and strategies are formulated, depicts the scope and direction for the agency, and provides the framework within which managerial decisions will be made regarding programs, proposed legislation, and administrative goals.

One of the goals established concerns the use of technology in carrying out OCI's mission. "OCI will use appropriate technology and architecture to provide effective tools for the regulation of insurance." To accomplish this goal we will:

- Encourage office-wide participation in technology planning and implementation such as through the Information Technology Strategic Planning Committee;
- Improve state regulation and service by appropriately using technology to facilitate the sharing of information with other regulatory authorities, the insurance industry, federal and state legislators, and consumers;
- Provide opportunities for staff to research and develop new approaches to optimize the use of technology, and provide necessary training;
- Develop and maintain an IT process architecture that encompasses best practices, including those related to application development, project management, privacy, and security;
- Establish and maintain a measurement repository to facilitate project planning, project monitoring and assessment of IT effectiveness in meeting business goals;
- Ensure that adequate controls are in place so as to safeguard the privacy of personally identifiable data;
- Initiate projects that are based on OCI initiatives, priorities, and resources and have been approved by OCI's Project Governance Board.

The acronyms IT and IS are used throughout this document. IT means "information technology" and refers to the use of computers, telecommunications, and local, national, and vendor databases to gather, review, and store information to assist meeting the responsibilities of OCI. IS means "information services" and refers to the specific work unit within OCI that programs and maintains the software and hardware at OCI.

In the spring of 2008, in preparation for this updated IT plan, the IT Strategic Planning Committee reviewed the 2006 plan and considered what had been accomplished, as well as the viability of remaining projects.

The group then considered the updated Business Plan and discussed potential new projects, considering the current regulatory and budgetary environment. Projects were defined in detail to allow for greater understanding of the breadth of each project.

The plan consists of eleven sections: an introduction, an executive overview, an IT vision, IT strategic issues, IT policy and principles, technology portfolio, application portfolio, IT and program area responsibilities, FY06-08 accomplishments, a list of strategic projects, and the project descriptions. The plan builds on past accomplishments and on many projects currently underway. It also seeks opportunities to partner with other state agencies or do projects on an enterprise basis.

The OCI IT Strategic Planning Committee is sponsored by and is advisory to OCI's Project Governance Board. This plan, once completed by the OCI IT Strategic Planning Committee, is presented to senior management on the Project Governance Board for its consideration and approval.

This is a dynamic plan. It is the intention of the committee to maintain flexibility and encourage a process for change. The plan will be formally reviewed at least once a year. The list of strategic projects and their priorities will be reviewed monthly by the committee. Changes will be incorporated and new directions published. OCI will review requests for IT resources relative to this planning process.

It is important to note that much, if not most, of this plan depends on securing funding via the biennial budget process. The plan as written is based on the need for specific IT improvements identified in the planning

process, and assumes full funding in order to implement those needed improvements. When the biennial budget process is concluded in the summer of 2009, adjustments will be made as necessary.

The IT Strategic Planning Committee is made up of the following members:

John Montgomery, Funds & Program Management, Acting Committee Chair
Jim Angus, Information Services Section, Network Manager
Matt Berigan, Public Information & Communications Section, Records and Forms Management Specialist
Diane Dambach, Bureau of Market Regulation, Accident & Health Insurance Section, Chief
Jackson Ellis, Information Services Section, Database Administrator
Sue Ezalarab, Bureau of Market Regulation, Director
Richard Hinkel, Bureau of Financial Analysis and Examinations, Section Chief
Mike Honeck, Bureau of Market Regulation, Health & Life Insurance Section, Chief
Kathy Keleher, Management Analysis & Planning Section, Project Management Program Director
Laura Landphier, Bureau of Market Regulation, Agent Licensing Section, Chief
Bob Luck, Legal Unit, Attorney
Randy Milquet, Bureau of Financial Analysis and Examinations, Insurance Financial Examiner – Advanced
Steve Nickell, Information Services Section, Applications Manager
Guenther Ruch, Insurance Administrator, Division of Regulation and Enforcement
Yvonne Sherry, Bureau of Financial Analysis and Examinations, Records Management Supervisor
Mary Sprague, State Life Insurance Fund (SLIF), Insurance Program Officer
Amit Trivedi, Information Services Section, IT Director
Theresa Wedekind, Injured Patients and Families Compensation Fund (IPFCF), Insurance Program Officer

Executive Overview

OCI continues to infuse 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 not on technology for technology's sake but on an overall understanding by agency staff that technology can be used to improve staff efficiency and effectiveness and therefore service to the public.

OCI's application infrastructure at present uses a combination of client/server and web technologies consisting of Delphi/J2EE/Oracle. Some of the systems have been in production for more than 10 years and are in need for major upgrades. Additionally, desk top infrastructure upgrades of operating systems and the office suite will require upgrades or re-writes to some of the mission critical applications. Furthermore OCI's applications will need to be modified to accommodate the changes in regulatory requirements. To address these issues OCI, needs to evaluate its application portfolio, investigate potential new technologies and develop and implement a migration action plan.

OCI's technology infrastructure will also be impacted due to the enterprise server consolidation project. OCI is working with the Division of Enterprise Technology (Department of Administration), as it prepares for server migration/consolidation. A benefit that OCI expects from this consolidation is to have a very robust disaster recovery infrastructure.

Return on investment will continue to be studied as OCI plans for its application and technology infrastructure changes to make sure that OCI is using base infrastructure and biennial budget appropriations in a cost-effective manner.

The strategies listed under each architecture below are the steps OCI will take over the next years to improve on technology, return on investment, and systems which make business partners more productive by streamlining processes and giving them control of the data needed in their job.

Technology architecture refers to hardware, software, systems, methods, and standards that an organization uses to develop and operate computer systems. It includes computer and telecommunications equipment, operating systems software, communications software, office support systems, methods for developing and maintaining systems, and the organization's technical standards.

- Review current versions of Windows operating systems and Microsoft office suite to determine how and when OCI should upgrade its current operating systems and office suite.
- Create and implement a plan for consolidating servers with DET. Initially some servers will be fully managed by DET and others will be managed by OCI.
- Develop and implement service delivery and service support processes based on the best practices identified in the Information Technology Infrastructure Library (ITIL) taking into account OCI business needs and objectives.

Application architecture refers to the automated processes or systems that an organization uses to support its programs and to provide service to its customers, employees, and the general public. The application architecture also includes the interrelationship among applications in terms of sharing data, access to applications, and the presentation of applications to users.

- Perform a software architecture evaluation that takes into account technology, staff skill set and OCI business goals.
- Perform analysis on legacy applications to develop a plan on when the applications need to be converted to a different technology.
- Complete the conversion of the IPFCF System. This will include access for companies and providers.
- Continue to use third-party applications such as SERFF and Sircon. The Sircon system is currently used for producer regulatory operations, insurance company licensing, invoicing, and rate filing and policy approval tracking.
- Continue to analyze and implement solutions to protect sensitive data that is accessible through internal and external developed applications.

Data architecture refers to the collection, organization, or design and management of data (numbers, text, graphics, images, voice, etc., from the business and information technology perspectives). It deals with developing a plan or "model" of how the data should be organized to support the business requirements and subsequent building and managing of data structures according to that plan. Data administration refers to the administration of the plans and "models" of the data architecture while data management refers to the overall management of the actual data (where and how data is collected, maintaining its accuracy, where and how it is updated, appropriate security and privacy controls). Both terms refer to IT and business area perspectives that include a growing awareness that program staff have the best knowledge of the data and their use.

- Review the current data architecture and propose solutions so as to simplify integration between OCI databases and databases maintained by OCI business partners.
- Continue to use Oracle as the database standard for OCI applications.
- Ensure that adequate data security measures are in place to protect personally identifiable information.

Security architecture refers to the software that protects the agency data including applications, e-mail, and web site. Security also refers to access to the building site, to the computer rooms, wiring closets, security cables for laptops, tables set up for application security.

- The DET WAMS security will be used when applicable to authenticate outside partners for data update and downloading of data.
- Continue the attention to security. Add features as needed to provide security to hardware, portable devices, networks, data, public information, the Internet site, and the Intranet site.

Organization architecture refers to the resources available for the implementation of information technology, the allocation of those resources from an organizational perspective, and how they are used in support of the organization's mission.

- Continue reviewing the office's IT organizational structure to maximize the value of the office's internal IT resources.
- Continue reviewing the merits of contracting for IT functions vs. securing in-house staff resources as new projects are considered.
- Review internal and external training offerings to ensure staff can fully utilize the computing power provided to them.
- Develop and implement a process that facilitates build vs. buy decisions.

Other Initiatives

Additionally, as part of the alignment of the five architectures along with the projects and business needs OCI will undertake the following initiatives:

- Develop an OCI business model
- Develop a model-based (Capability Maturity Model Integration) approach to process improvement for IT
- Continue further development of a Continuity Of Operation / Continuity Of Government plan
- Review OCI's application architecture
- Develop and implement a plan for record retention based on enterprise RDA recommendations

These initiatives have an impact on the overall performance of the IT section and affect multiple projects.

The IT Strategic Planning Committee continues to monitor this plan and will submit recommendations to the Project Governance Board for possible new approaches to address issues and problems affecting the successful implementation of OCI's IT Strategic Plan.

The plan places value on the identification of our IT needs regardless of funding availability. However, it is important to note that much, if not most, of this plan depends on securing funding via the biennial budget process. The plan, as written, assumes full funding of on-going IT needs and special projects. When the biennial budget process is concluded in the summer of 2009, adjustments will be made as necessary to match project priorities with available resources. Fewer resources will mean fewer projects can be completed.

Vision

Future IT Environment Vision

The vision for IT at OCI was developed to project into the future an environment that would deliver needed services to OCI staff and outside parties. The vision for IT is to support and align projects with the OCI Business Plan and the needs of the business partners.

The specifics of OCI's future IT environment are directly linked to the agency's strategic business plan that provides the programmatic framework for all OCI work. Over the last 12 years, the IT environment at OCI has developed rapidly, but always with the focus on the needs of OCI's business partners (our external customers and our program administrators and employees). By practicing strict strategic alignment of IT resources with programmatic priorities, OCI has achieved a match between business partner needs and technical sophistication.

To create the envisioned IT environment, the IT Strategic Planning Committee identified six key aspects to be embodied in the OCI IT environment. Several of these aspects are already present and have been critical to the success of the office's current work. Others are evolving as the OCI environment changes to meet the needs of the programmatic business partners. The following points outline the six aspects that the IT Strategic Planning Committee believes to be critical.

1. Principles of staff involvement and a focus on business needs are used in IT strategic planning and staff training.

- OCI's IS Section has well-documented architectures using standards developed and agreed upon through the IT strategic planning process.
- OCI has a productive work force, well trained in IT specifically appropriate for them.
- Planning sessions are held regularly with business partners.
- OCI has an active and productive IT planning process which monitors and ensures that all IT planning conforms to the Strategic IT Plan.
- OCI staff understands the goals of the Strategic IT Plan.

2. OCI's IT organizational architecture facilitates responsiveness to business partner needs.

- The IT Strategic Planning Committee is comprised of business partners and IS staff.
- IT resources are available to support the business partner needs, including contracting, if appropriate.
- Designated primary and backup IS staff are assigned to support specific business activities.
- OCI's capability to develop Web applications will be expanded but centralized control over Web content and format is retained by having the agency's internal Web Committee set policies for what is published to the Web.
- IS staff are knowledgeable about the business activities they support.
- Business partners are knowledgeable about IT, as appropriate.
- OCI's IS Section communicates with its business partners facilitating responsive and smooth operations of the various processing systems.
- OCI's non-IS work force communicates with the IS Section ensuring that OCI's technology is properly leveraged for efficient and effective operations.
- IS staff responds in a timely way, and notifies business users when the IS work is completed.

3. OCI's business processes and new development in IT will continually be reviewed.

- Workflow is analyzed and results are included in every business system redesign.
- IT models will be reviewed for replication in other areas.
- Research and development of emerging technologies will be performed and reviewed to enhance the business process.
- OCI will examine ways that new technology can change how our regulatory work is performed and change what data are available.
- OCI will continue to consider the purchase of regulatory system software from third-party vendors.

- OCI will work with DET and other agencies to bring about enterprise solutions where common goals and data needs present themselves.
 - OCI will work with other state insurance departments through the NAIC or individually, where appropriate, to leverage and share expertise in areas of common interest.
- 4. Employees have access to all applications, data, and technology tools necessary to perform their job.**
- OCI has appropriate systems in place to allow staff to carry out their duties in the most effective way possible.
 - Data is complete, secure, accurate, and efficiently stored and retrieved.
 - Employees have the ability to customize applications, where appropriate, including parameterized reports.
 - Employees have appropriate hardware and software that is maintained, upgraded, and replaced on a scheduled cycle, as appropriate.
 - OCI employees are sufficiently trained to utilize IT tools to perform their jobs in an appropriate and effective manner.
- 5. OCI uses electronic communication as a business tool.**
- OCI strives to provide convenient and reliable access to electronic delivery of government services.
 - OCI has access to external databases.
 - Data is collected and edited electronically wherever feasible.
 - Legacy IT systems are adequately documented and access to data is provided consistent with OCI's Records Disposal Authorizations (RDAs) for each supported system.
 - Routine data exchange is performed automatically.
 - An electronic interface is used for regulatory purposes where appropriate.
 - Telecommunications are used for exchange of information generated by staff away from the office.
 - The Internet and other electronic means of communications are used to make information readily available to the public.
 - Customers communicate with OCI electronically to the extent desirable.
 - Telecommunications utilize state of the art technology as appropriate.
 - The Internet is an integral component of OCI's communication and data gathering plans.
- 6. OCI has a continuity plan in place and practices situation recovery.**
- OCI employees and its third-party vendors acknowledge they are required to preserve the confidentiality of personal or company data.
 - OCI and its third-party vendors have plans that address short-term and long-term interruption in operations.
 - OCI and its third-party vendors have plans that allow OCI staff to continue to perform their duties and responsibilities with as little interruption as possible.
 - OCI and its third-party vendors have backup procedures which includes off-site storage of applications data.
 - OCI has escrow agreements with third-party vendors to ensure access to code if the vendor were to cease operations.
 - OCI's IT continuity plan is fully integrated with the office's business continuity plan.

Strategic Issues

A number of strategic issues relating to the use of IT in the agency must be addressed. These include:

- 1. What is the optimal hardware for OCI?**
Hardware needs must be periodically analyzed to ensure adequacy with respect to analytical as well as field examination needs. Hardware must follow a standard for connectivity and openness and decisions should be based on life cycle costs. Using the biennial budget process, funds need to be secured to replace hardware as it becomes obsolete relative to current applications. It also includes payment of maintenance contracts in a timely manner.
- 2. Should OCI continue to consider contracting with third-party vendors for regulatory system software?**
OCI will explore actively partnering with third party vendors to meet OCI regulatory goals and evaluate commercial off-the-shelf (COTS) software products based on the recommendation identified in the DOA's Policies and Procedures for Information Technology Management document. Additionally, new state contracting requirements will need to be accommodated as they occur.
- 3. How should connectivity and integration be a part of OCI's Strategic IT Plan?**
Integration is part of the planned data and application work for all OCI units. The emerging issues needing development include expanding access to data and applications taking into account security and privacy related issues.
- 4. To what extent should internal and external demands for information be considered or influence the OCI Strategic IT Plan?**
Prior plans emphasized projects to address the office's internal demands for technology, data, and applications while recognizing the potential for external demands for OCI information. OCI should formalize the processes for soliciting stakeholders' input and impact analysis to better address the internal and external demands. OCI staff will continue to evaluate Internet and Intranet alternatives for all information-centered projects and identify regulatory issues along with resource and technological requirements to properly interact, monitor, and regulate insurance activity over the Internet.
- 5. How will Common Administrative Systems and Enterprise Applications impact OCI?**
OCI should be proactive in keeping abreast of changes in the marketplace and with external partners such as DOA, Sircon, NAIC, etc., and the Legislature. OCI should strive to influence such developments, where feasible, and analyze the impact of the changes and respond accordingly.
- 6. How will OCI manage change brought about by IT developments, including training, dissemination of information on changes, and operational impact?**
Staff needs to be included, as early as practicable, in the discussions and implementation of changes as a result of external factors such as evolving regulatory and Information Technology environments so that they can contribute to the change process and be aware of changes before they occur. All staff needs to know the reasons for change and how the change will affect them. As with other agencies, OCI is undergoing transition as the workforce ages and workforce or succession planning to transfer knowledge to newer staff becomes imperative. Based on the above issues, OCI should continually evaluate its IT organizational structure to maximize efficiency, effectiveness, value, and flexibility.
- 7. How will OCI utilize its contingent continuity plan?**
OCI needs to ensure that its COOP/COG plan is tested and updated periodically (at least once per year) or as necessary due to changes in the IT infrastructure and/or workforce-related changes to ensure continuity of business operations. OCI should ensure that all hardware, software, personnel, and procedures are in place, and that staff have been trained and are aware of the COOP/COG plan in case of a disaster.
- 8. How does OCI's IT organization ensure its effectiveness?**
OCI should develop and maintain IT-related processes and standards taking into account business

needs, new technologies and state mandates. Appropriate measurements of achieving the goals based on business objectives need to be identified, collected and reported to the appropriate parties on an ongoing basis. Additionally, training needs must be identified and a training plan developed for all IT staff.

9. **How will initiatives of the National Association of Insurance Commissioners (NAIC) impact OCI's IT environment?**

The NAIC is involved with many projects that seek to increase state regulatory agency efficiency and effectiveness. The NAIC is developing systems for its members that support national uniformity initiatives. Such projects typically involve adopting common data definitions, increased sharing of data among the states and streamlining regulatory procedures. As NAIC initiatives are developed and implemented, OCI will need to assess what changes are needed in current IT systems to accommodate the initiatives and to communicate these needs to the IT staff. OCI will also need to assess the impact these changes have on limited IT resources. It will be a challenge to ensure OCI's IS staff and IT environment stay abreast of the associated technology changes.

Information Technology Policy and Principles

The following policies/principles were developed to guide the use of information technology.

- 1. Development must use flexible systems concepts to ensure integration, connectivity and compatibility.**
- 2. Development shall address the needs of all internal and external customers.**
- 3. Architectures must reflect existing standards.**
 - Where state standards exist, OCI will comply.
 - Standards shall emphasize compatibility rather than specific products.
 - Standards will be reviewed on a rolling basis, at least once per biennium.
- 4. Employees shall have access to the technology, data and applications required to do their jobs as effectively as possible.**
- 5. Technologies are supported throughout their life cycle and**
 - Are treated as an asset that is planned for, budgeted and amortized over their life cycle,
 - Are vendor- and staff-supported, as appropriate,
 - Are adequately documented, and
 - With respect to hardware, are replaced on a life cycle schedule.
- 6. Architectures shall be appropriate, flexible and adaptable to change.**
- 7. Project planning shall conform to OCI's Project Governance Board (PGB) principles, policies and procedures.**
 - Cost/benefit analysis will be considered in deciding to proceed on any project.
 - Project planning shall involve the business partners and will include due consideration concerning the impact of the project development on their normal duties.
 - Project planning will include pilots or phased-in implementation, as appropriate.
 - The OCI Strategic IT Plan shall be consistent with the goals established by the OCI Strategic Business Plan.
 - Data integrity shall be effective and user friendly.
 - System security shall be adequate and in place.
 - Project planning will include a review of third-party vendors, where appropriate.
 - Project planning will include a review of internal development, where appropriate.
- 8. Planning must ensure optimum use of human resources.**
 - Training time for staff shall be included in all plans.
 - Training policies shall be put in place.
 - Project specifications shall include training.
 - Ergonomic considerations shall be incorporated.
 - Employees' IT training needs shall be evaluated yearly.
- 9. IS staff is responsive and responsible to the needs of OCI employees.**

Technology Portfolio

- The current technology consists of separate hardware platforms and their respective operating system software. The technology platforms are: Compaq/HP servers running Microsoft Windows 2000 or Microsoft Windows 2003 server operating systems and Oracle for the common databases.
- A Linux Server for the State Life Insurance Fund (SLIF) and its Flexible Insurance Marketing, Management and Administration System (FIMMAS).
- A Storage Area Network (SAN) for storage for the Oracle databases and image files from the imaging applications.
- A Compaq/HP server running Microsoft Windows 2000 server operating system for the Patients Compensation Fund (PCF) to run the Claims and Provider systems. Staff at Liberty Mutual connect to this system using a Virtual Private Network (VPN).
- Microsoft Office XP software suite, for all OCI staff, which is composed of the following packages: Word, Excel, Access, and Power Point.
- Outlook 2002 connected to a Microsoft Exchange 5.5 server for e-mail and scheduling functions. The Exchange server has connections to the State Enterprise Exchange server.
- Microsoft Internet Explorer as the office's web browser.
- A CISCO PIX firewall for protecting the OCI network from attacks originating from the Internet.
- Windows 2003 production and test application servers running Weblogic J2EE compliant software for Client/Server and Web applications.
- Windows 2003 server running Oracle 10g RDBMS.

Application Portfolio

Oracle/Delphi/JBuilder

- Premium Tax
- Service of Process
- Commissioner's Annual Report
- Company Exam Assessment
- Financial Data Definition
- Financial Data Entry
- Other Agency Legal Actions
- Staff & Applications Management System (SAMS)

Oracle/Delphi

- Complaint Tracking
- SLIF Document Management
- Producer Document Management
- Company Document Management
- Legal Tracking
- Reports

Oracle/JBuilder/Web

- Producer Lookup
- Company Lookup
- Registered Agent Lookup
- Rate and Policy Form Filings
- Legal Orders
- Company Billing Appointment Lists
- Premium Tax Voucher
- Rate and Policy Form Filing Document Management
- Web Report Module

Oracle/Grails/Web

- E-Payments (Company Billing and Exam Assessments)

Oracle/Sircon

- Company Licensing
- Policy Approval and Rate Tracking
- Producer Licensing (Agents, EBPA's, Corporations, etc.)
- Registered Agent
- Invoice
- Risk Purchasing Group

Oracle/Linux/Developer

- Provider System for PCF that is supported internally

Appx

- FIMMAS for SLIF that supports policy administration

MS Access, MS Excel and MS Word

- Exam Tracking Systems
- Financial Statement Check-in Scanning System
- Financial Systems
- Complaint Surveys
- Company Labels
- WiSMART Queries

IT and Program Area Responsibilities

The IT Strategic Planning Committee has defined and recommended a list of IT functions. The functions designated as *Centralized* are supervised by the IS Director. Business area supervisors will supervise the functions listed as *Distributed*, as appropriate. Some functions may be considered both centralized and distributed as indicated in the following table. The planning team recognizes that some parts of these functions can be performed at the business area. At the centralized level there may be some coordination/oversight or the business area may choose to have the centralized group perform the function for them.

An IT project planning process has been created. All business area IT projects are reviewed by the IT Strategic Planning Committee. The Project Governance Board then reviews and prioritizes all projects for IS Section work planning. This process is used to monitor how the resources are assigned and teams formed when projects overlap areas.

| Function | Centralized | Distributed |
|---|-------------|-------------|
| Acquisition | X | |
| Ad Hoc Training | | X |
| Applications Development | X | X |
| Applications Maintenance | X | X |
| Data Administration | X | |
| Database Administration | X | |
| Database Production | X | |
| Data Entry | | X |
| Disaster Recovery | X | X |
| Documentation | X | X |
| EDI Support | X | |
| External IT Liaison | X | X |
| Forms Design and Management | X | X |
| GIS Administration | X | |
| Hardware Maintenance | X | |
| Help Desk | X | |
| IT Management | X | X |
| IT Project Management | X | X |
| LAN Administration | X | |
| Standards and Enforcement | X | X |
| System Administration | X | |
| Technical Support | X | |
| Telecommunications Administrative Support | X | |
| Training | X | X |
| WEB development -- Internet | X | |
| WEB development -- Intranet | X | X |

2006-08 Accomplishments

Projects Completed:

- Implemented a “template wizard” project to make certain OCI letterhead changes and to make future changes easier by centralizing agency-wide Microsoft Office template development and access.
- Completed conversion of the Service of Process application (for recording that legal notifications have been satisfied) from a dBase application to an Oracle database application.
- Completed work on the SAMS (Staff & Applications Management System) Phase 1A enhancement, a repository of employee information used for personnel and training purposes.
- Completed work on the SAMS (Staff & Applications Management System) Phase 1B enhancement, which provides functionality to request access to applications, the local area network, and telephone services.
- Completed work on the Web Rates and Forms internal capture and indexing look-up features so documents can be accessed electronically, and worked to create an application program interface (API) for pulling documents and data from SERFF (system for electronic rate and forms filings).
- Completed development of an API for the Department of Workforce Development’s Child Support Delinquency Matching project to exchange information related to agent licensing actions and child support payments.
- Completed work to deactivate Employee Benefit Plan Administrators from within the Producer Licensing System and loaded them into the Company Licensing System.
- Completed review of the Sircon insurance regulation business management application feasibility study of utilizing more Sircon modules for other OCI business functions.
- Completed the Office 2003 upgrade.
- Implemented the State’s Enterprise E-mail Consolidation project, migrating all user mailboxes from OCI’s system to the Enterprise system.
- Completed work on an Electronic Funds application for company appointment billings.

Projects In Progress:

- Started work on the SAMS (Staff & Applications Management System) Phase 1C enhancement, a set of on demand reports used to view employee information.
- Continued work on a Web Report Module. This is a web based application that provides a standard way to select a report, enter parameters, and run a report.
- Developed a database to hold information on the agency’s IT general records series.
- Continued development of an Injured Patients and Families Compensation Fund business management application to replace the existing legacy system.
- Continued development of the Web Fillable Forms project to convert legacy web forms to more user-friendly, interactive forms that save data to a centralized database.
- Began the process of digitizing older Rate and Form documents that OCI maintains on microfilm to create a database to capture data identifying the documents so they can be viewed on-line.
- Continued updating the agency’s disaster recovery plan including specific pandemic planning efforts.
- Continued efforts to improve IT project management procedures including:
 - Developed new document templates and procedures.
 - Implemented weekly status reporting process for developers.
 - Assisted in defining the Project Governance Board structure, responsibilities, and procedures.

Enhancements and Ongoing Tasks:

- Completed work on the Premium Tax – Guaranty Fund Credit application to ensure companies are not receiving excess tax credits, and the Quarterly Deficiency Calculation function.
- Completed enhancements to the Sircon lockbox for the company billing conversion to utilize data in the Sircon database.
- Provided support for and maintenance of existing OCI systems:
 - OCI Enterprise - put out several new builds of the OCI Enterprise system to incorporate periodic improvements in applications such as Complaints and Legal.
 - Financial databases and applications.

- Performed system improvements or maintenance work for the Patients Compensation Fund business management application to improve reliability and stability of the application and facilitate the development of a replacement system.
- Developed a power-down checklist for use in emergency power situations.
- Completed efforts to streamline and improve the computer imaging and application deployment processes:
 - Completed design and development of new workstation image and application packages.
 - Completed design and implementation of a new process for deploying applications using application packages.
 - Completed design and implementation of a new structure of Organization Units in Active Directory.
- Completed deployment of new workstation and laptop images.
- Proactively addressed issues and implemented patches and programs to address Daylight Savings Time change from April 1 to March 11.
- Started storage area network implementation process.
- Completed the upgrade to the IPFCF development environment upgrade from JBuilder 2006 to JBuilder 2008.
- Implemented Subversion as the version control and file repository software for java based applications.
- Provided telecom systems administration, maintenance, and support for the agency:
 - Telephone hardware and network.
 - Cell phone hardware.
 - CallCenterAnywhere call center application.
 - Automated call distribution (ACD) system.
- Provided IT infrastructure administration and support services for the agency:
 - IT Help Desk services.
 - Email system software and hardware.
 - Hardware (servers, routers, switches, storage area network (SAN), racks, uninterruptible power supplies (UPS), etc.).
 - Operating systems and administration software.
 - Desktop and laptop computer and software administration, management, and support.
- Completed NAIC technology surveys including a survey on the status of the state's technology environments.

List of Projects and Priorities

Maintenance Activities are allocated 30% of the available programming hours. **Enhancement Activities** are allocated 20% of available programming hours. **New Project Development** is allocated 50% of available programming hours. **IT** Project Type refers to Information Technology, **BP** refers to Business Process.

| | | | | |
|-----------------|-----------------|--------------|----------------|---------------|
| Active Projects | On-hold/Pending | Enhancements | Idea Statement | Business Case |
|-----------------|-----------------|--------------|----------------|---------------|

| Project Type | Project | Current Priority | Project Desc. | Business Case | Devel. Bus. Case |
|--------------|---|------------------|---------------|---------------|------------------|
| IT | IPFCF New Computer System | 1 | | X | |
| IT | SAMS – Phase 1 (includes Phase 1A, 1B, and 1C) | 2 | | | |
| IT | Electronic Receipting of Payments | 3 | | X | |
| IT | Above Average Complaint Application | 4 | | | |
| IT | Web - Electronic Complaint Filing <ul style="list-style-type: none"> • Consumer File On-line • Populate a complaint record and route to Complaints • Send correspondence to insurance entity electronically • Accept responses from insurance entity electronically • Correspond with Consumer and Representatives | 5 | | | |
| IT | Web – Fillable Forms | 6 | X | | |
| IT | Exam Tracking | 7 | X | | |
| IT | SAMS – Phase 2 | 8 | | | |
| IT | Financial Database Projects <ul style="list-style-type: none"> • Data Element Definition • Data Set Definition | 9 | X | | |
| IT | Sircon - OCI Enterprise (CMP & PRD) <ul style="list-style-type: none"> • Pull Producer data directly from Sircon • Pull Company data directly from Sircon • Modify OCI Enterprise to pull Prod. data from Sircon • Modify OCI Enterprise to pull Comp. data from Sircon | 10 | | | |
| IT | Premium Tax Enhancements <ul style="list-style-type: none"> • Integrating Electronic Premium Tax Filings • Integrating Electronic Financial Statement Data • Automating the Audit Process | 11 | X | | |
| IT | On-line Biennial Budget System | 12 | X | | |
| IT | Annual Statement Package for SLIF | 13 | X | | |
| IT | Scanning Annual Statements | 14 | X | | |
| IT | Contracts Database/Reporting | 15 | X | | |
| IT | Expenditure Projection and Monitoring System | 16 | X | | |
| IT | Production Statistics for Performance Data | 17 | X | | |
| IT | Spatial Data - Training and Prototyping | 18 | X | | |
| IT | SAMS – Phase 3 | 19 | | | |
| IT | Sircon - Imaging - New Architecture for CMP PDFs | 20 | | | |
| IT | Sircon - Imaging - New Architecture for PRD PDFs | 21 | | | |
| IT | Imaging - New Architecture for SLIF PDFs | 22 | | | |
| IT | Change the Architecture for Opening Word Documents in SOP, CPL, Ptax | 23 | | | |
| IT | Complaint File and Tracking System | 24 | | | |
| IT | Complaint Satisfaction Survey | 25 | | | |
| IT | Legal System | 26 | | | |
| IT | Reconversion of Rates/Forms Images | | | X | |
| BP | General Records Series for IT Records | | | X | |
| BP | IT COOP Plan | | | X | |
| BP | Confidential Information Audit | | | X | |
| BP | IT Process Improvement Road Map | | | X | |

Project Descriptions

| GENERAL INFORMATION | | | | | | |
|---|---|--|--|---|---|---|
| Project Name | Web – Fillable Forms | | | | | |
| Project Sponsor | Richard Hinkel | | | | | |
| DESCRIPTION | | | | | | |
| Project Type | <input checked="" type="checkbox"/> New application <input type="checkbox"/> Enhancement, modification, expansion or decommissioning of an existing application <input type="checkbox"/> Other | | | | | |
| Proposed Duration (critical time requirement driving need?) | Project Start Date (MM/YYYY) Project End Date (MM/YYYY) <input type="checkbox"/> To be determined | | | | | |
| Project Description | <p>Insurers doing business in Wisconsin are required to file forms to supplement the financial information provided in the National Association of Insurance Commissioners (NAIC) annual statement. Many of these forms are used to determine the insurer's compliance with Wisconsin statutes and regulations.</p> <p>There has been some interest expressed by insurers to be able to file the information electronically. Several items have been initiated:</p> <ul style="list-style-type: none"> A program written in perl has been placed on the website that converts form data to an e-mail after the form has been submitted. A parsing program has been purchased to strip the data from the e-mail to a text (csv) file. Databases have been developed to store the data <p>The IT project would 1) automate and streamline the flow of data from the internet to the resident database, 2) generate an e-mail response confirming the receipt of the data, 3) create standard and ad hoc reporting capabilities, and 4) create an interface from which the forms can be viewed and printed.</p> | | | | | |
| Project Benefits | | | | | | |
| Project Savings or Increased Revenue | There will be a reduction of data entry for examiners and/or program assistants. | | | | | |
| How does project relate to existing systems or projects (dependencies)? | | | | | | |
| What are your business drivers for the project? | | | | | | |
| Who'll use the project? | <input checked="" type="checkbox"/> Internal Agency Staff | <input checked="" type="checkbox"/> General Public | <input type="checkbox"/> Regulated Community | <input type="checkbox"/> Local Government | <input type="checkbox"/> Other State Agencies | <input type="checkbox"/> Other, please list |
| Likely Proposed Funding | <input type="checkbox"/> Base Budget <input type="checkbox"/> Budget Initiative <input type="checkbox"/> Federal Monies | | | <input type="checkbox"/> Master Lease <input type="checkbox"/> Other, please list <input type="checkbox"/> To be determined | | |

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| What risks are involved in doing the project? | |
| Will the project replace at-risk technology? | |
| How is project consistent with OCI's strategic business plan? | |
| Major project components or deliverables? | |
| What is the estimated life of the completed project? | |
| Will the project be of use to another state agency or NAIC? | |
| Who will perform the work on the project? | <input type="checkbox"/> Vendor <input type="checkbox"/> In-house programmers <input type="checkbox"/> To be determined |

| GENERAL INFORMATION | |
|---|--|
| Project Name | Exam Tracking System |
| Project Sponsor | Yvonne Sherry |
| DESCRIPTION | |
| Project Type | <input type="checkbox"/> New application <input type="checkbox"/> Enhancement, modification, expansion or decommissioning of an existing application <input type="checkbox"/> Other |
| Proposed Duration (critical time requirement driving need?) | Project Start Date (MM/YYYY) Project End Date (MM/YYYY) <input type="checkbox"/> To be determined |
| Project Description | Creation of a system to track both progress and history of an exam report from first draft through the review/edit process. This system would replace information currently being tracked in access and paper form. This system then would be able to provide reports as well as automatic tickler notification to keep the process moving. This would then keep our exam report process within the 18 month rule required by the NAIC. This is a requirement of the accreditation approval. |
| Project Benefits | Improves customer services to business and within state government. |
| Project Savings or Increased Revenue | Reduces duplication of effort. |
| How does project relate to existing systems or projects (dependencies)? | Project is consistent with agency and enterprise plans and standards. |
| What are your business drivers for the project? | |
| Who'll use the project? | <input checked="" type="checkbox"/> Internal Agency Staff <input type="checkbox"/> General Public <input checked="" type="checkbox"/> Regulated Community <input type="checkbox"/> Local Government <input type="checkbox"/> Other State Agencies <input type="checkbox"/> Other, please list |
| Likely Proposed Funding | <input checked="" type="checkbox"/> Base Budget <input type="checkbox"/> Budget Initiative <input type="checkbox"/> Federal Monies <input type="checkbox"/> Master Lease <input type="checkbox"/> Other, please list <input type="checkbox"/> To be determined |
| What risks are involved in doing the project? | |
| Will the project replace at-risk technology? | Yes. Existing technology is sunset. |
| How is project consistent with OCI's strategic business plan? | |

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| Major project components or deliverables? | |
| What is the estimated life of the completed project? | |
| Will the project be of use to another state agency or NAIC? | |
| Who will perform the work on the project? | <input type="checkbox"/> Vendor <input type="checkbox"/> In-house programmers <input type="checkbox"/> To be determined |

| GENERAL INFORMATION | | | | | | |
|---|---|--|---|---|---|---|
| Project Name | Financial Database Projects | | | | | |
| Project Sponsor | Randy Milquet | | | | | |
| DESCRIPTION | | | | | | |
| Project Type | <input type="checkbox"/> New application <input checked="" type="checkbox"/> Enhancement, modification, expansion or decommissioning of an existing application <input type="checkbox"/> Other | | | | | |
| Proposed Duration (critical time requirement driving need?) | Project Start Date (MM/YYYY) Project End Date (MM/YYYY) <input checked="" type="checkbox"/> To be determined | | | | | |
| Project Description | The Financial Database stores financial data from the National Association of Insurance Commissioners (NAIC) and insurance company filings. The database is the source of information for applications within agency, including the Commissioner's Report, Assessment Application, and Above Average Complaint List. Phase II would address security issues to notify owners of applications when data elements used in that application are changed, automating currently manual IT processes, allow for historical information to be pulled in the event data new elements are added, and allow for quarterly information to be included in the database, | | | | | |
| Project Benefits | Including the security issues would ensure the integrity of the data used in the applications. Allowing for quarterly data and historical data would facilitate use by other applications within the office, and automating currently manual processes would reduce IT staff time supporting the database. | | | | | |
| Project Savings or Increased Revenue | Currently, the Financial Bureau maintains a separate database to support financial analysis applications. Many of the data elements in the two data bases are the same. Enhancing the current Financial Database will allow the Financial Bureau to use the Financial Database instead of supporting two databases. Automating the manual processes will save IT time in annually supporting the load processes for the Financial Database. | | | | | |
| How does project relate to existing systems or projects (dependencies)? | In addition to downloading financial information from the NAIC, inputs from the annual statements include data elements from the electronic Financial Operating Statistics Form and the Town Mutual Analysis Process. | | | | | |
| What are your business drivers for the project? | Reducing IT intervention in the process, increasing data integrity by addressing data element security, and making the database more robust by allowing for history and quarterly information. | | | | | |
| Who'll use the project? | <input checked="" type="checkbox"/> Internal Agency Staff | <input checked="" type="checkbox"/> General Public | <input checked="" type="checkbox"/> Regulated Community | <input type="checkbox"/> Local Government | <input type="checkbox"/> Other State Agencies | <input type="checkbox"/> Other, please list |
| Likely Proposed Funding | <input checked="" type="checkbox"/> Base Budget <input type="checkbox"/> Budget Initiative <input type="checkbox"/> Federal Monies | | | <input type="checkbox"/> Master Lease <input type="checkbox"/> Other, please list <input type="checkbox"/> To be determined | | |
| What risks are involved in doing the project? | The NAIC ceases to provide financial data through Oracle tables. The complexity of automating manual processes could add time to the project. Limited IT resources may delay or defer the completion of the project. The risk of not doing the project is the integrity of the data and the opportunity cost related to manual processes and supporting two databases containing similar information. | | | | | |

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| Will the project replace at-risk technology? | No |
| How is project consistent with OCI's strategic business plan? | Ensure a strong insurance market through proactive policy and skillful enforcement. Ensure continued efficient and effective regulation of insurance at the state level Use information technology in appropriate ways |
| Major project components or deliverables? | Financial Data Sets which would support the security and integrity of the data. Quarterly financial data would be available within the database. The database will support loading historical information when new data elements are added. |
| What is the estimated life of the completed project? | The estimated life of this completed project would be at least 10 years, subject to new technologies allowing for other means to accumulate and use financial data available at the NAIC. |
| Will the project be of use to another state agency or NAIC? | This project is currently specific to the needs of the agency. Evolution of this process could be of value to other state agencies which may need insurance company financial data. |
| Who will perform the work on the project? | <input type="checkbox"/> Vendor <input checked="" type="checkbox"/> In-house programmers <input type="checkbox"/> To be determined |

| General Information | |
|---|--|
| Project Name | Premium Tax Enhancements |
| Project Sponsor | Fred Thornton |
| DESCRIPTION | |
| Project Type | <input type="checkbox"/> New application <input checked="" type="checkbox"/> Enhancement, modification, expansion or decommissioning of an existing application <input type="checkbox"/> Other |
| Proposed Duration (critical time requirement driving need?) | Project Start Date (MM/YYYY) Project End Date (MM/YYYY) <input type="checkbox"/> To be determined |
| Project Description | <p>The Bureau of Financial Analysis and Examinations collects, processes, and audits premium taxes, fire dues and fees of all licensed insurers. A system is currently in place to track this information and is on an in-house developed application. There are five enhancements, which did not get included in the original design of the application. These five enhancements are a method to maintain state specific tax information, integrating electronic premium tax filings, integrating electronic financial statement data, automating the audit process, and automating the accounting for credits for payments made to the Wisconsin Security Fund.</p> <p>1) State Specific Tax Information -- In order to audit the premium tax forms, examiners are required to know and understand the premium tax rules for the states companies are domiciled in. These rules are not standard across each state and need to be reviewed and updated annually. These rules should be available by state within the premium tax system. It would be the responsibility of the bureau to maintain these rules.</p> <p>2) Integrating Electronic Premium Tax Filings -- OCI is considering ways to get companies to electronically file Wisconsin specific forms, of which the premium tax form is one. Electronically filed forms would have to be viewed by the examiners to perform their audit. Viewing these electronic forms should be available within the premium tax system.</p> <p>3) Integrating Electronic Financial Statement Data -- Examiners use limited financial information from financial statements filed by the companies to verify information filed in the premium tax form. Financial statements will only be available electronically in the future. The limited financial information could be integrated into the premium tax system. The financial statement information is available to OCI from a database at the National Association of Insurance Commissioners and could be included in OCI's Financial Database.</p> <p>4) Automating the Audit Process -- Auditing of the premium tax forms is a manual process, which in many cases follows specific business rules. Although there are many variations in the calculations needed to be performed, it may be possible to identify states in which business rules could be applied and the process could be automated.</p> <p>5) Automating the Accounting for Credits for Payments Made to the WSF -- The audit of premium tax includes the tracking of tax credits allowed for payments companies make to the Wisconsin Security Fund. Due to Wisconsin retaliatory and reciprocal tax statutes, the credits allowed can vary significantly dependent upon domicile, company, line of business, etc. In the past the tracking was done on manual worksheets and is now done on Excel spreadsheets. The completion of these have been haphazard at times, and therefore the integration of this process into an automated auditing process would add significant value, especially when the Security Fund refunds assessments for which credits have been taken. Having a database of credits take would make it less likely that opportunities to recapture credits would be missed.</p> |

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| Project Benefits | These enhancements integrate and make available to examiners all of the information they would need to process tax returns in one place and increasing the standardization of the process. Making more information available electronically will limit the amount of paper, which would have to be processed. Automating the audit process would reduce the number of returns that would have to be audited. The automation of Security Fund credits may enhance revenue in the event of Security Fund refunds. | | | | | |
| Project Savings or Increased Revenue | These enhancements would speed up the premium tax processing and allow the examiners to spend more time on their primary duties, performing financial examinations and analysis. | | | | | |
| How does project relate to existing systems or projects (dependencies)? | | | | | | |
| What are your business drivers for the project? | To enhance the premium tax system to include tax rules for states, integrate electronic premium tax returns (when the office gets to that point), integrate financial data needed to audit the forms, consider whether automated auditing of the forms would be possible. | | | | | |
| Who'll use the project? | <input type="checkbox"/> Internal Agency Staff | <input type="checkbox"/> General Public | <input type="checkbox"/> Regulated Community | <input type="checkbox"/> Local Government | <input type="checkbox"/> Other State Agencies | <input type="checkbox"/> Other, please list |
| Likely Proposed Funding | <input type="checkbox"/> Base Budget <input type="checkbox"/> Budget Initiative <input type="checkbox"/> Federal Monies | | | <input type="checkbox"/> Master Lease <input type="checkbox"/> Other, please list <input type="checkbox"/> To be determined | | |
| What risks are involved in doing the project? | | | | | | |
| Will the project replace at-risk technology? | | | | | | |
| How is project consistent with OCI's strategic business plan? | | | | | | |
| Major project components or deliverables? | | | | | | |
| What is the estimated life of the completed project? | | | | | | |
| Will the project be of use to another state agency or NAIC? | | | | | | |
| Who will perform the work on the project? | <input type="checkbox"/> Vendor <input type="checkbox"/> To be determined | | | <input type="checkbox"/> In-house programmers | | |

| GENERAL INFORMATION | | | | | | |
|---|---|---|--|---|--|---|
| Project Name | On-Line Biennial Budget System | | | | | |
| Project Sponsor | Tim Mero | | | | | |
| DESCRIPTION | | | | | | |
| Project Type | <input checked="" type="checkbox"/> New application <input type="checkbox"/> Enhancement, modification, expansion or decommissioning of an existing application <input type="checkbox"/> Other | | | | | |
| Proposed Duration (critical time requirement driving need?) | Project Start Date (MM/YYYY) Project End Date (MM/YYYY) 03/2008 <input type="checkbox"/> To be determined | | | | | |
| Project Description | <p>OCI submits its biennial budget to the Department of Administration on September 15th of every even numbered year. The current budget is completed using a series of Word documents and Excel spreadsheets. Due to this combination of word processing documents and spreadsheets, the 272 page biennial budget is hard to convert into a format easily placed on the Internet.</p> <p>There are many manual calculations and linking of spreadsheets that must be done to develop the budget document. The budget document is submitted in hard copy version to DOA. The staff at DOA then have to key the information into their budgeting system.</p> <p>This project would automate the budgeting process. The various budget forms (e.g. B-2, B-3, B-7, B-8, B-10, etc.) would be automated and linked to provide totals where appropriate. The budget document will not only be able to be printed out, but will also be able to be submitted electronically to DOA and loaded onto the Internet.</p> | | | | | |
| Project Benefits | Project benefits include reduced staff time and increased accuracy and efficiency. The budget will also be loadable to the Internet so that members of the public can view the information. | | | | | |
| Project Savings or Increased Revenue | There will be substantial savings to staff time. Also savings in printing costs will occur since the budget can be loaded to the Internet. | | | | | |
| How does project relate to existing systems or projects (dependencies)? | This system will need to interface with DOA's budgeting system and will need to interface with any budgeting system that will be implemented as part of the IBIS project. | | | | | |
| What are your business drivers for the project? | One of OCI's goals is to use information technology in appropriate ways. This is an excellent opportunity to accomplish this. Automating the biennial budgeting process will reduce staff time and increase accuracy. Manual calculations will be eliminated. OCI will be able to electronically transmit budget data to the DOA budget system as well as to the Internet. | | | | | |
| Who'll use the project? | <input checked="" type="checkbox"/> Internal Agency Staff | <input type="checkbox"/> General Public | <input type="checkbox"/> Regulated Community | <input type="checkbox"/> Local Government | <input checked="" type="checkbox"/> Other State Agencies | <input type="checkbox"/> Other, please list |
| Likely Proposed Funding | <input checked="" type="checkbox"/> Base Budget <input type="checkbox"/> Budget Initiative <input type="checkbox"/> Federal Monies | | | <input type="checkbox"/> Master Lease <input type="checkbox"/> Other, please list <input type="checkbox"/> To be determined | | |

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| What risks are involved in doing the project? | The main risk involved with this project is that it is possible that the DOA budget system that this system must integrate with may change during the development of this system. |
| Will the project replace at-risk technology? | The project will automate a current process that is done through a series of Word documents and Excel spreadsheets. |
| How is project consistent with OCI's strategic business plan? | One of OCI's goals is to use information technology in appropriate ways. This is an excellent opportunity to accomplish this. Automating the biennial budgeting process will reduce staff time and increase accuracy. Manual calculations will be eliminated. OCI will be able to electronically transmit budget data to the DOA budget system as well as to the Internet. |
| Major project components or deliverables? | Automated Forms Budget Document Creation Electronic Submission capability |
| What is the estimated life of the completed project? | 15 years |
| Will the project be of use to another state agency or NAIC? | The project will also be useful for DOA because OCI will be able to transmit biennial budget information to them electronically. Currently, the budget document is submitted in hard copy version to DOA. The staff at DOA then have to key the information into their budgeting system. |
| Who will perform the work on the project? | <input type="checkbox"/> Vendor <input checked="" type="checkbox"/> In-house programmers <input type="checkbox"/> To be determined |

| GENERAL INFORMATION | | | | | | |
|---|--|---|--|---|---|---|
| Project Name | Annual Statement Package for SLIF | | | | | |
| Project Sponsor | Mary L. Sprague | | | | | |
| DESCRIPTION | | | | | | |
| Project Type | <input checked="" type="checkbox"/> New application <input type="checkbox"/> Enhancement, modification, expansion or decommissioning of an existing application <input type="checkbox"/> Other | | | | | |
| Proposed Duration (critical time requirement driving need?) | Project Start Date (MM/YYYY) Project End Date (MM/YYYY) <input checked="" type="checkbox"/> To be determined (LATE IN THE BIENNIUM) | | | | | |
| Project Description | Purchase an annual statement package that uses the Investment Portfolio (Sungard) and the accounting system (Sungard) that will integrate the two systems to produce the cross checks and develop the diskette for processing with the NAIC and the OCI financial examination bureau. The last current year end 2005 was looked over by two examiners and there was a figure used to balance the summary of operations and cash flow. The suggestion on the part of the examiners was to purchase a software that would identify all discrepancies and balance the statement. | | | | | |
| Project Benefits | Ability to produce the numbers for the annual statement in-house and balance with the integration of our accounting system. There will still be printing costs and system maintenance, but the ease in producing the statement without my hard copy calculations would also make it easier for someone else to produce the statement in my absence. | | | | | |
| Project Savings or Increased Revenue | It would reduce the \$5,000 we pay a vendor to run the cross checks and produce the hard copy. | | | | | |
| How does project relate to existing systems or projects (dependencies)? | It would integrate with the accounting system we are trying to bring up currently and would integrate with the bond system we have had for a number of years. | | | | | |
| What are your business drivers for the project? | The ability to reconcile the statement to our accounting system. This is always done with the Legislative Audit Bureau at three year intervals. Our numbers would be more correct than the manual calculations I am currently doing. | | | | | |
| Who'll use the project? | <input checked="" type="checkbox"/> Internal Agency Staff | <input type="checkbox"/> General Public | <input type="checkbox"/> Regulated Community | <input type="checkbox"/> Local Government | <input type="checkbox"/> Other State Agencies | <input type="checkbox"/> Other, please list |
| Likely Proposed Funding | <input type="checkbox"/> Base Budget <input checked="" type="checkbox"/> Budget Initiative <input type="checkbox"/> Federal Monies | | | <input type="checkbox"/> Master Lease <input type="checkbox"/> Other, please list <input type="checkbox"/> To be determined | | |
| What risks are involved in doing the project? | Not having the time to implement the software. | | | | | |
| Will the project replace at-risk technology? | No | | | | | |

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| How is project consistent with OCI's strategic business plan? | The financial reporting should become more timely and accurate. |
| Major project components or deliverables? | New software would produce new reports and the annual statement and diskette filings. |
| What is the estimated life of the completed project? completed? Project | The software would be modified annually by the vendor to reflect changes to the NAIC annual statement format. |
| Will the project be of use to another state agency or NAIC? | The software would be compatible with the filing requirements of the NAIC |
| Who will perform the work on the project? | <input checked="" type="checkbox"/> Vendor <input checked="" type="checkbox"/> In-house programmers <input type="checkbox"/> To be determined |

| GENERAL INFORMATION | |
|---|---|
| Project Name | Scanning Annual Statements |
| Project Sponsor | Yvonne Sherry |
| DESCRIPTION | |
| Project Type | <input checked="" type="checkbox"/> New application <input type="checkbox"/> Enhancement, modification, expansion or decommissioning of an existing application <input type="checkbox"/> Other |
| Proposed Duration (critical time requirement driving need?) | Project Start Date (MM/YYYY) Project End Date (MM/YYYY) <input type="checkbox"/> To be determined |
| Project Description | The Scanning System is used to check in the required filings for licensed insurance companies. This Access system will be addressed in part, with the conversion to Sircon for States. The scanning system is updated from Cosmos now and should be updated from Sircon. We will also need to upgrade the scanning hardware used to scan the bar codes. |
| Project Benefits | |
| Project Savings or Increased Revenue | |
| How does project relate to existing systems or projects (dependencies)? | |
| What are your business drivers for the project? | |
| Who'll use the project? | <input checked="" type="checkbox"/> Internal Agency Staff <input type="checkbox"/> General Public <input type="checkbox"/> Regulated Community <input type="checkbox"/> Local Government <input type="checkbox"/> Other State Agencies <input type="checkbox"/> Other, please list |
| Likely Proposed Funding | <input type="checkbox"/> Base Budget <input type="checkbox"/> Budget Initiative <input type="checkbox"/> Federal Monies <input type="checkbox"/> Master Lease <input type="checkbox"/> Other, please list <input type="checkbox"/> To be determined |
| What risks are involved in doing the project? | |
| Will the project replace at-risk technology? | The Access database software should be replaced by going to the Oracle database. |
| How is project consistent with OCI's strategic business plan? | The project would replace obsolete technology and help OCI get its major regulatory systems on one major platform. |
| Major project components or deliverables? | |
| What is the estimated life of | |

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|---|--|
| the completed project? | |
| Will the project be of use to another state agency or NAIC? | |
| Who will perform the work on the project? | <input type="checkbox"/> Vendor <input type="checkbox"/> In-house programmers <input type="checkbox"/> To be determined |

| GENERAL INFORMATION | |
|---|---|
| Project Name | Contracts Database/Reporting |
| Project Sponsor | Jacque Gernetzke |
| DESCRIPTION | |
| Project Type | <input type="checkbox"/> New application <input type="checkbox"/> Enhancement, modification, expansion or decommissioning of an existing application <input checked="" type="checkbox"/> Other |
| Proposed Duration (critical time requirement driving need?) | Project Start Date (MM/YYYY) Project End Date (MM/YYYY) <input checked="" type="checkbox"/> To be determined |
| Project Description | <p>Creation of a system is desired to track both progress and history of contracts for services resulting from either the request-for-proposal process or sole source waivers. The system would replace information currently tracked both in electronic spreadsheet and paper form, thereby providing centralized data collection, enhanced query/reporting capabilities and, ideally, automatic tickler notification features as well.</p> <p>Data fields would include: Contract number, contract name, responsible program staff, responsible purchasing staff, union notification letter date, justification memo to commissioner date, request for proposal drafted, contract sample drafted, vendor list developed, request for purchasing authority checklist completed, included on quarterly procurement plan submitted to DOA, request-for-proposal (RFP) issue date, legal notice dates, names of proposing vendors, evaluation team meeting dates, letter of intent to award date, protest date, appeal date, contract signed date, purchase order encumber date, affirmative action (AA) plan submitted, AA plan reviewed, AA plan accepted, contract start date, contract first renewal date, contract second renewal date, contract third renewal date, contract fourth renewal date, estimated annual value of contract, vendor name, actual amount spent each fiscal year per contract.</p> |
| Project Benefits | Use of the database would increase administrative efficiencies by tracking all phases of RFP and contract development and renewal in a unified system. Historical records would also be more easily accessed via this system. |
| Project Savings or Increased Revenue | OCI currently has annual contracting at over \$9 million. The management of these highly technical and specialized contracts is vital to the ongoing functions of the agency. |
| How does project relate to existing systems or projects (dependencies)? | |
| What are your business drivers for the project? | <p>The mission of this application would be to facilitate tracking contracts in progress. The automatic tickler feature would help to assure that expiring contracts are not allowed to lapse unintentionally. By providing historical look-up and query features, contract spend information would be centrally and readily available.</p> <p>The contract would also support the Governor's business goals by having accurate data readily available.</p> <p>The project would also improve customer service within State government by having the central database of agency contracting information. Readily accessible data would include actual contract costs of administering programs, segregated fund info, agent licensing testing, etc., financial examination's actuarial services and Cosmos.</p> |

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|---|---|---|--|--|---|---|
| Who'll use the project? | <input checked="" type="checkbox"/> Internal Agency Staff | <input type="checkbox"/> General Public | <input type="checkbox"/> Regulated Community | <input type="checkbox"/> Local Government | <input type="checkbox"/> Other State Agencies | <input type="checkbox"/> Other, please list |
| Likely Proposed Funding | <input type="checkbox"/> Base Budget <input type="checkbox"/> Budget Initiative <input type="checkbox"/> Federal Monies | | | <input type="checkbox"/> Master Lease <input type="checkbox"/> Other, please list <input checked="" type="checkbox"/> To be determined | | |
| What risks are involved in doing the project? | <p>Infrastructure: Upgrade/Maintenance (Low Risk)</p> <p>Application: Maintenance/Minor Enhancements (Lower Risk)</p> <p>Business complexity: It would not require major changes to our business processes</p> <p>Technical complexity: It is a low complexity</p> <p>Platforms/OS/Key Interfaces: Interface with Wismart for encumbrance/spending info would be desirable, but necessary.</p> <p>Other risks: To the best of my understanding this is a database application that is simple, low risk, low dependency.</p> | | | | | |
| Will the project replace at-risk technology? | No | | | | | |
| How is project consistent with OCI's strategic business plan? | Use of the database would increase administrative efficiencies by tracking all phases of RFP and contract development and renewal in a unified system. Historical records would also be more easily accessed via this system (as per Project Benefits). | | | | | |
| Major project components or deliverables? | | | | | | |
| What is the estimated life of the completed project? | | | | | | |
| Will the project be of use to another state agency or NAIC? | We are unaware of how other agencies monitor contracting processes and encumbrance/spend data, and have not approached other agencies regarding. | | | | | |
| Who will perform the work on the project? | <input type="checkbox"/> Vendor <input type="checkbox"/> To be determined | | | <input checked="" type="checkbox"/> In-house programmers | | |

| GENERAL INFORMATION | |
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| Project Name | Expenditure Projection System |
| Project Sponsor | Tim Mero |
| DESCRIPTION | |
| Project Type | <input checked="" type="checkbox"/> New application <input type="checkbox"/> Enhancement, modification, expansion or decommissioning of an existing application <input type="checkbox"/> Other |
| Proposed Duration (critical time requirement driving need?) | Project Start Date (MM/YYYY) Project End Date (MM/YYYY) 06/2009 <input type="checkbox"/> To be determined |
| Project Description | This project would create an easy to read, easy to use system that will allow managers and supervisors to review their budget at any given point in time. It would include information on budget, expenditures, encumbrances, and projections of future expenditures based on criteria submitted by the user. Would provide the user with the ability to do "what if?" analysis. |
| Project Benefits | Project benefits include easily accessible budgetary information for use in making management decisions. Expenditure projections are currently being done manually. This project would automate the process and save staff time. |
| Project Savings or Increased Revenue | Savings in staff time will occur because the process will no longer be done manually. Additional savings will occur because managers and supervisors will be better able to monitor their budgets. |
| How does project relate to existing systems or projects (dependencies)? | This system will need to interface with DOA's accounting system and will need to interface with any new accounting system that will be implemented as part of the IBIS project. |
| What are your business drivers for the project? | One of OCI's goals is to use information technology in appropriate ways. This is an excellent opportunity to accomplish this. Easily accessible budgetary information will then be available for use in making management decisions. |
| Who'll use the project? | <input checked="" type="checkbox"/> Internal Agency Staff <input type="checkbox"/> General Public <input type="checkbox"/> Regulated Community <input type="checkbox"/> Local Government <input type="checkbox"/> Other State Agencies <input type="checkbox"/> Other, please list |
| Likely Proposed Funding | <input checked="" type="checkbox"/> Base Budget <input type="checkbox"/> Budget Initiative <input type="checkbox"/> Federal Monies <input type="checkbox"/> Master Lease <input type="checkbox"/> Other, please list <input type="checkbox"/> To be determined |
| What risks are involved in doing the project? | The main risk involved with this project is that it is possible that the DOA accounting system that this system must integrate with may change during the development of this system. |
| Will the project replace at-risk technology? | The project will automate a current process that is done through a series of Excel spreadsheets. |
| How is project consistent with OCI's strategic business plan? | One of OCI's goals is to use information technology in appropriate ways. This is an excellent opportunity to accomplish this. Easily accessible budgetary information will then be available for use in making management decisions. |

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| Major project components or deliverables? | Ability to download data from the DOA accounting system Automated Forms Ability to add one-time adjustments Electronic Report presentation |
| What is the estimated life of the completed project? | 15 years |
| Will the project be of use to another state agency or NAIC? | The project will also be mainly useful for agency managers who need to be able to accurately forecast their expenditures |
| Who will perform the work on the project? | <input type="checkbox"/> Vendor <input checked="" type="checkbox"/> In-house programmers <input type="checkbox"/> To be determined |

| GENERAL INFORMATION | |
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| Project Name | Production Statistics for Performance Data |
| Project Sponsor | Matthew Berigan |
| DESCRIPTION | |
| Project Type | <input type="checkbox"/> New application <input type="checkbox"/> Enhancement, modification, expansion or decommissioning of an existing application <input checked="" type="checkbox"/> Other |
| Proposed Duration (critical time requirement driving need?) | Project Start Date (MM/YYYY) Project End Date (MM/YYYY) <input checked="" type="checkbox"/> To be determined |
| Project Description | <p>Production performance statistics are the measuring tool against which agency critical indicators are measured. Current disperse methods for collecting that data are diverse. Statistics are not only used in providing clear indications of how well the agency is meeting its mission but also provide an objective view for all program areas in viewing activities, the ebb and flow, for all other program areas. Some statistics are reviewed on a weekly basis. Other statistics are viewed annually or when necessary.</p> <p>As a regulatory agency, OCI has long been concerned with performance. OCI uses performance based budgeting and assesses the outputs and outcomes of the services provided to make sure that it is using its resources appropriately and efficiently.</p> |
| Project Benefits | <p>A common repository for performance data assures that 1) data is current and collected as required, 2) reporting of performance data is easier and can be assembled as needed when needed, 3) workflow process models can be easily viewed to identify exceptions to normal or expected standards. The ability to view performance statistics as needed allows not only the flexibility in developing staff schedules to meet the peaks and valleys of regular business cycles but additionally allows staff from various program areas to have a clearer understanding of the overall business efforts ongoing in areas where they are not directly involved. This improves overall awareness of agency efforts to meet the goals of the mission statement.</p> |
| Project Savings or Increased Revenue | <p>The most immediate savings are for those that must currently assemble data from disperse sources to compile reports and restructure the supplied data into appropriately formatted reports. The data can and should be made viewable in the format in which it will be reported. Additionally, if designed with data entry in mind, entry of data can be made from desktop browser-based entry screens and not require additional knowledge of other desktop tools nor require additional time to locate and open files where data is stored. Links to procedures will be established directly from the data entry screens. The data will be stored centrally and securely backed up.</p> |
| How does project relate to existing systems or projects (dependencies)? | <p>Annual reports include agency (and industry) performance data. Daily (weekly, monthly) management decisions are (can, and should) made based upon actual situations of a variety of factors. Without a definitive view of these factors in summary fashion improper input is available for achieve best business decisions.</p> |
| What are your business drivers for the project? | <ul style="list-style-type: none"> • Improvement of customer service delivery effectiveness • Standardizing collection of performance data methodology • Identification of highlights and lowlights of work flow processes • Proceduralization of data collection • Protection of collected data in agency data warehouse |

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| Who'll use the project? | <input checked="" type="checkbox"/> Internal Agency Staff | <input type="checkbox"/> General Public | <input type="checkbox"/> Regulated Community | <input type="checkbox"/> Local Government | <input checked="" type="checkbox"/> Other State Agencies | <input checked="" type="checkbox"/> Other, Reports via Annual Report |
| Likely Proposed Funding | <input type="checkbox"/> Base Budget <input type="checkbox"/> Budget Initiative <input type="checkbox"/> Federal Monies | | | <input type="checkbox"/> Master Lease <input type="checkbox"/> Other, please list <input checked="" type="checkbox"/> To be determined | | |
| What risks are involved in doing the project? | The largest risk is that the agency prefers not to be performance based in how it responds to our environment in either stasis or under change and that a unified strategy for collecting/reporting of performance data is considered low-priority. | | | | | |
| Will the project replace at-risk technology? | The project does not replace at-risk technology but does better co-exist in a workforce subject to greater staff turnover. | | | | | |
| How is project consistent with OCI's strategic business plan? | The most critical aspect of the consolidation of performance data is to assist the agency in best determining different ways to improve our efficiencies such that we are better prepared to meet the public's needs and to recognize areas where our performance is above standard to better replicate those good practices in areas where our performance is identifiably in need of improvement. | | | | | |
| Major project components or deliverables? | <ul style="list-style-type: none"> • Identify critical data elements/topics that are workflow process indicators or industry health indicators – a dictionary • Create prototype views of the performance data to determine how best to represent the data so that executive management can assess the effectiveness of the presentations – ways to view data • Verify that critical performance data is secured in the agency enterprise database or equally secure environment – a data warehouse • Identify needed tools for mining the data and representing it in as automated a process as feasible for internal (or external) web publishing – standardization on tools used in the agency • Take all previous steps to develop a complete project plan if executive management determines the need is appropriate – a final plan • Complete a design and begin construction of an integrated/automated reporting system – a product where appropriate inputs can be made and outputs are readily viewable and useable | | | | | |
| What is the estimated life of the completed project? | Performance data is always needs yet programs change (or don't change) over time. This system would parallel our changing environment. | | | | | |
| Will the project be of use to another state agency or NAIC? | It would be very useful to determine whether other states are driven by their actual performance as determined by collected data to integrate best practices that might already exist. | | | | | |
| Who will perform the work on the project? | <input type="checkbox"/> Vendor <input checked="" type="checkbox"/> To be determined | | | <input type="checkbox"/> In-house programmers | | |

| GENERAL INFORMATION | | | | | | |
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| Project Name | Training and Prototyping In Spatial Data for Improved Reporting of Agency Performance Data | | | | | |
| Project Sponsor | Matthew Berigan | | | | | |
| DESCRIPTION | | | | | | |
| Project Type | <input type="checkbox"/> New application <input type="checkbox"/> Enhancement, modification, expansion or decommissioning of an existing application <input checked="" type="checkbox"/> Other | | | | | |
| Proposed Duration (critical time requirement driving need?) | Project Start Date (MM/YYYY) 06/01/2006 Project End Date (MM/YYYY) 12/31/2006 <input type="checkbox"/> To be determined | | | | | |
| Project Description | Obtain training in the use of processes and tools used in building spatial representations of performance data. Map creation will be outsourced to designated enterprise centers of excellence. Agency knowledge for preparing for better use of spatial representation will be used for topics similar to the following: <ul style="list-style-type: none"> • WI legislative district reporting of consumer complaints • Annual statistics of OCI.WI.GOV publications delivery • Annual statistics of Web site visitors • Identification of areas requiring specialized outreach (e.g. Hispanic communities and information access to Spanish materials) The final outcome is a plan for the use of spatial data addressed to the agency executive staff with a request for a formal project to fund any purchases of software or IS projects required. | | | | | |
| Project Benefits | Modernization of reporting methods used by the agency to meet the increased interest in the viewing and representation of data as maps or overlaid on maps or as more graphical versus tabular. Increases the audience's ability to understand agency goals and accomplishments and therefore improve or change processes or recognize best practices. | | | | | |
| Project Savings or Increased Revenue | My desire is that the agency will more efficiently direct outreach efforts based upon the identification of efficacy of delivered services or holes in that provisioning of service. Identify places we are delivering well and also not so well to identify effective practices or take appropriate actions to change. | | | | | |
| How does project relate to existing systems or projects (dependencies)? | Some of the critical data about the insurance industry is available from this agency. Other data should be identified to assist in determining not only the health of the industry but also our efficiency in serving it and its customers. | | | | | |
| What are your business drivers for the project? | <ul style="list-style-type: none"> • Leverage geodata to respond to the public's insurance needs • Measure efficiency of outreach efforts • Educate the public of actions occurring in their market • Demonstrate the health of Wisconsin's Insurance industry | | | | | |
| Who'll use the project? | <input checked="" type="checkbox"/> Internal Agency Staff | <input type="checkbox"/> General Public | <input type="checkbox"/> Regulated Community | <input type="checkbox"/> Local Government | <input checked="" type="checkbox"/> Other State Agencies | <input checked="" type="checkbox"/> Other, Reports via Annual Report |
| Likely Proposed Funding | <input type="checkbox"/> Base Budget <input type="checkbox"/> Budget Initiative <input type="checkbox"/> Federal Monies | | | <input type="checkbox"/> Master Lease <input type="checkbox"/> Other, please list <input checked="" type="checkbox"/> To be determined | | |

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| What risks are involved in doing the project? | The largest risk is that we are unwilling to look at information for which we are masters, in a way that people not inclined to understand tabular data might find informative. It could be a wasted investment. |
| Will the project replace at-risk technology? | No, but it should help to fortify the need to warehouse performance data in a common repository to improve access, backup, and recovery of that data. |
| How is project consistent with OCI's strategic business plan? | This project lines up with our desire to lead the way in informing and protecting the public, not only for that which is of the industry (healthy business and honest practices), but for how our agency operates in information collection and dissemination. |
| Major project components or deliverables? | <ul style="list-style-type: none"> • Attend basic Environmental Systems Research Institute (ESRI) courses • Attend available Spatial Analysis courses at UW • Procure consumer mapping software for simple in-house analysis |
| What is the estimated life of the completed project? | As this is essentially the introduction of a tool new to OCI there is no actual completion except for the critical use and reuse of periodic spatial data views (e.g. in the Annual report) |
| Will the project be of use to another state agency or NAIC? | Spatial data analysis is already heavily utilized by the insurance industry as a means to identify and act upon industry/consumer trends. |
| Who will perform the work on the project? | <input type="checkbox"/> Vendor <input type="checkbox"/> In-house programmers <input checked="" type="checkbox"/> To be determined |

| GENERAL INFORMATION | |
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| Project Name | Re-engineer Property Inventory System |
| Project Sponsor | John Montgomery |
| DESCRIPTION | |
| Project Type | <input checked="" type="checkbox"/> New application <input type="checkbox"/> Enhancement, modification, expansion or decommissioning of an existing application <input type="checkbox"/> Other |
| Proposed Duration (critical time requirement driving need?) | Project Start Date (MM/YYYY) 01/2008 Project End Date (MM/YYYY) 06/2008 <input type="checkbox"/> To be determined |
| Project Description | <p>Limited current OCI inventory information is maintained to satisfy various reporting requirements including GAAP financial reporting, inventory control, risk management, and IT replacement schedules on equipment valued at \$5,000 or more (or a conglomeration of items). A new system is needed to be comprehensive, enable access by multiple users, and generate a range of reports to satisfy external and internal reporting needs. Ideally all equipment above a certain dollar threshold, e.g., \$100 unit cost, would be included in the system to ensure a full accounting of all property items owned by OCI for insurance, inventory control purposes, and budget replacement schedules. The system would be utilized primarily by Administrative Services but would cover property in all units and be maintained by them, providing information on the age, location, user, maintenance contracts and repair records of each piece of equipment. Reporting capability would cover property by value, age, nearness to replacement, user, etc.</p> |
| Project Benefits | <p>The agency lacks a system that contains a listing of all of its property. An obvious benefit of a system would be to document the property the agency owns in the event of having to replace it, should it be destroyed in a disaster. An inventory system would also provide an important security feature to prevent theft, be useful for budget planning, and could be used in the various reports we are asked to provide external parties such as DOA and the LAB.</p> |
| Project Savings or Increased Revenue | <p>The project should reduce the cost of performing some business functions because once operational, the system should be relatively easy to maintain and reduce the need to fulfill ad hoc information requests. The agency will be able to make decisions on the need to replace equipment – replacing equipment only when it's useful life is met or it's repair record indicates is cost effective.</p> |
| How does project relate to existing systems or projects (dependencies)? | <p>Most agencies that have such systems have developed their own unique systems. It would be preferable to have one common system developed for all of state government that would be required to be used in all agencies, providing both statewide information and info for individual agency needs as well. An enterprise system would be easier to maintain, preclude the need for individual agencies to develop their own and ensure that any system used is the common system. However, the state does not seem to be going in this direction, and the proposed IBIS/ERP project does not contain a risk management/inventory module.</p> |
| What are your business drivers for the project? | <p>The only business driver for the project is the benefit to the agency of being able to identify and track all of its property in one location. There is no major event on the horizon which is driving the project. It should also be noted that the system developed will only be fully useable after all equipment in current inventory systems is contained in the new system, and all equipment not currently inventoried has been inventoried and tagged.</p> |

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| Who'll use the project? | <input checked="" type="checkbox"/> Internal Agency Staff | <input type="checkbox"/> General Public | <input type="checkbox"/> Regulated Community | <input type="checkbox"/> Local Government | <input checked="" type="checkbox"/> Other State Agencies | <input type="checkbox"/> Other, please list |
| Likely Proposed Funding | <input checked="" type="checkbox"/> Base Budget <input type="checkbox"/> Budget Initiative <input type="checkbox"/> Federal Monies | | | <input type="checkbox"/> Master Lease <input type="checkbox"/> Other, please list <input type="checkbox"/> To be determined | | |
| What risks are involved in doing the project? | The primary risk is that once the system is developed, it must be maintained because it must be kept up to date or it loses its value. Only through an education process and the assignment of specific inventory responsibilities in the PDs of selected positions will this risk be overcome. | | | | | |
| Will the project replace at-risk technology? | In part, yes. There is no comprehensive system per se that OCI uses for this purpose at present, but for reporting purposes we currently use an Access database to track our computer equipment, and this would presumably be replaced.. | | | | | |
| How is project consistent with OCI's strategic business plan? | OCI's Business Plan includes the goals of ensuring efficient and effective regulation and using technology in appropriate ways. Having inventory info widely available and maintained in just one computer application is consistent with those goals. | | | | | |
| Major project components or deliverables? | Major deliverables would include: 1) a screen containing all fields that would need to be tracked in a system; 2) an index of equipment labeled with a unique property number; 3) development of a database containing all data elements from the various fields, and 4) a reporting capability so users could do queries on the data fields. | | | | | |
| What is the estimated life of the completed project? | At least 10 years if done correctly. | | | | | |
| Will the project be of use to another state agency or NAIC? | In reviewing the project, either we may be able to utilize a system already in use at another agency or have our system, once developed, be used by another agency. Alternatively, since it is expected that a system could be purchased or developed by in-house programmers, OCI may decide that it is more cost effective to purchase an inventory software system than use scarce staff resources for this project. | | | | | |
| Who will perform the work on the project? | <input type="checkbox"/> Vendor <input checked="" type="checkbox"/> To be determined | | | <input type="checkbox"/> In-house programmers | | |

| GENERAL INFORMATION | | | | | | |
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| Project Name | Med Sup & LTC Reporting Requirements | | | | | |
| Project Sponsor | Diane Dambach | | | | | |
| DESCRIPTION | | | | | | |
| Project Type | <input checked="" type="checkbox"/> New application <input type="checkbox"/> Enhancement, modification, expansion or decommissioning of an existing application <input type="checkbox"/> Other | | | | | |
| Proposed Duration (critical time requirement driving need?) | Project Start Date (MM/YYYY) Project End Date (MM/YYYY) <input checked="" type="checkbox"/> To be determined | | | | | |
| Project Description | Institute electronic filing of reports required by Wisconsin insurance law and the NAIC for Medicare supplement and long term care policies. These reports include: LTC Claim Denial Reporting Form, LTC Lapse & Replacement Reporting Form, LTC Rescissions Reporting Form, LTC Suitability Reporting Form, Reporting of Multiple Med Sup Policies (All of which are NAIC forms); and the LTC Benefit Appeal Summary and Med Sup Benefit Appeal Summary. | | | | | |
| Project Benefits | Currently companies mail the paper annual reports and Market Reg maintains a listing of the examiners assigned to receive the reports. These reports have not always been delivered to the assigned examiner in a timely manner for a number of reasons. Electronic filing would save staff time for Services Staff, who are often new or contracted employees, and for the Market Reg complaint's staff, responsible for sorting the OCI and Bureau mail, getting the reports to the correct Bureau and the assigned examiner. Electronic filing of the Med Sup & LTC reports will facilitate the filing, diarying and storage of these reports that are required to be filed by statute and NAIC model regulation. Electronic filings will also facilitate the creation of more timely summary reports regarding this data, and will contribute to market analysis function of Bureau. It also benefits insurance companies. | | | | | |
| Project Savings or Increased Revenue | Savings will result from fewer staff hours spent opening mail and distributing the reports to the assigned examiners. Savings will result from examiners spending fewer hours trying to track down the forms and/or asking companies to resend. Savings from fewer hours spent on the repetitious task of imputing reported data into spreadsheets. | | | | | |
| How does project relate to existing systems or projects (dependencies)? | The project is part of the continuum of market analysis relating to senior issues. It assists in tracking the marketing activities of companies and insurance agents relating to Medicare supplement and long term care insurance products. This would be similar to the fillable forms project. | | | | | |
| What are your business drivers for the project? | The OCI spends significant resources in protecting Wisconsin's senior population. The market place for senior products has become more complex and confusing. This project facilitates the reporting and tracking of insurer activities relating to Medicare supplement and long term care insurance policies in a more timely and efficient manner. | | | | | |
| Who'll use the project? | <input checked="" type="checkbox"/> Internal Agency Staff | <input type="checkbox"/> General Public | <input type="checkbox"/> Regulated Community | <input type="checkbox"/> Local Government | <input type="checkbox"/> Other State Agencies | <input type="checkbox"/> Other, please list |
| Likely Proposed Funding | <input checked="" type="checkbox"/> Base Budget <input type="checkbox"/> Budget Initiative <input type="checkbox"/> Federal Monies | | <input type="checkbox"/> Master Lease <input type="checkbox"/> Other, please list <input type="checkbox"/> To be determined | | | |
| What risks are involved in doing the project? | None | | | | | |
| Will the project replace at-risk | N/A | | | | | |

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| technology? | |
| How is project consistent with OCI's strategic business plan? | It is consistent with OCI's goal of continuing to aggressively infuse technology in order to provide better and more efficient service to its internal and external customers. This project will improve staff efficiency and effectiveness and therefore service to the public. |
| Major project components or deliverables? | New procedure. |
| What is the estimated life of the completed project? | Ongoing. Reports are required by Wisconsin Statute and NAIC model regulation. |
| Will the project be of use to another state agency or NAIC? | No |
| Who will perform the work on the project? | <input type="checkbox"/> Vendor <input checked="" type="checkbox"/> In-house programmers <input type="checkbox"/> To be determined |