

Agency Operations Plan 2015-17

Agency:

ND Insurance Department

Line of Business: (optional)

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Technology Strategy:

The North Dakota Insurance Department is a state regulatory agency headed by the Insurance Commissioner. The Department maintains offices on the fifth floor of the State Capitol, at 1701 South 12th Street, and 4023 North State Street – Suite 170 in Bismarck. One employee is based in Fargo and works out of her home. The job duties of this individual are the inspection of boilers for the eastern portion of the state. The Department has 49.5 FTE's. All fees and fines paid by companies or agents are deposited into the Insurance Regulatory Trust Fund, from which the money to operate the Department is appropriated by the Legislature.

The Department seeks out technology solutions to maintain and improve upon its mission of consumer protection through balanced regulation. Solutions related to paperless document management, electronic payments and electronic communication are important to the agency's ongoing commitment to efficient government operations.

The Department is comprised of seven major divisions as outlined below:

Technology Infrastructure:

The Department utilizes the services provided by ITD for all networking, telecommunications, email, file & print, EDMS, backup, anti-virus and security updates. We also use Oracle and SQL Server databases hosted on ITD servers. Our website is hosted by ITD with Odney as the development vendor.

The Department has a mixture of desktops and laptops. This hardware is replaced every three to four years. Six staff members also use state supplied mobile devices consisting of Droid and one iPad.

The Department is licensed to use MS Office 2010 and has a software assurance agreement.

Legal & Enforcement Division

The Legal & Enforcement Division provides advice and counsel to the Commissioner and other Department staff, investigates insurance fraud, conducts market conduct examinations, and pursues enforcement of actions against insurance agents and companies for violations of insurance law. The division drafts all legislation and administrative rules proposed by the Insurance Department.

IT Equipment: Windows 7 OS, 6 desktops , 1 laptop, 2 scanners, 1 printer, 2 mobile phones
Technology Tools: State Based Systems (SBS) off-site web based application, Internet-State Interface Technology Enhancement (I-SITE) off-site web based application, West Publishing website

Unsatisfied Judgment Fund

The Unsatisfied Judgment fund was created to protect residents of North Dakota against financial hardships associated with bodily injury caused by irresponsible, uninsured, judgment proof drivers. The fund is administered by the Legal & Enforcement Division.

Technology Tools: MS Access

Investigations

The investigations area of the legal division is responsible for conducting fraud investigations, agent investigations and company investigations with regards to suspected administrative and criminal violations. Investigators are licensed peace officers who work with all branches of law enforcement and prosecutors.

Technology Tools: SBS, Online Fraud Reporting System (OFRS), Westlaw's CLEAR, Criminal Justice Information System (CJIS/NCIC),

Product Filing Division

The Product Filing division policy analysts review policy forms to ensure that policy language complies with all the laws of this state, properly reflects the benefits provided by the policy, and is not deceptive

or misleading. For most types of insurance, analysts also evaluate the premium rates that companies request to assure premiums are not excessive, inadequate, or unfairly discriminatory.

IT Equipment: Windows 7 OS, 7 desktops, 1 printer

Technology Tools: State Electronic Rate Form Filing (SERFF) off-site web based application, SBS, Adobe Acrobat Pro, MS Access front end application to update two Oracle tables that contain Medicare Supplement premiums that feed into our Medicare Premium Comparison web sphere application.

Consumer Assistance Division

The Consumer Assistance Division assists with all types of questions and issues related to insurance. It investigates consumer inquiries in order to ensure the fair treatment of policyholders. Consumers call, email or walk-in seeking assistance.

IT Equipment: Windows 7 OS, 6 desktops, 2 printers, 1 scanner

Technology Tools: SBS

State Health Insurance Counseling (SHIC) Program

The SHIC program provides assistance to Medicare beneficiaries across the state in the selection of Medicare plans and issues related to those policies. It works through trained volunteers throughout the state.

Technology Tools: SBS, Medicare.gov

Prescription Connection Program

The Prescription Connection Program connects qualified people with discount drugs, direct from the manufacturer. This program was started on December 1, 2003.

Technology Tools: SBS

Examinations & Company Licensing Division

The Examinations and Company Licensing Division continually monitors the financial strength of insurance companies to help assure they have enough money to pay policyholder claims. It performs periodic financial audits of North Dakota based companies to assure they are financially sound and complying with state laws dealing with insurance company financial matters.

This division oversees the licensing of approximately 1,400 insurance companies doing business in the state. Companies seeking to sell insurance in North Dakota must go through a pre-licensure review to screen out those companies that are either financially troubled or have a history of regulatory problems in other states.

IT Equipment: Windows 7 OS, 3 desktops, 3 laptops, 1 printer, 1 scanner

Technology Tools: SBS, I-SITE, Teammate, ACL –client auditing software, ILINX and FileNet, Liquid Office public access server, Company Online Renewal System (ORS) - SQL Server/.NET on-site web application

Agent Licensing Division

The Agent Licensing Division licenses approximately 58,000 individual and business entity producers doing business in the state. This division is assigned all duties necessary to carry out the issuing, renewal and termination of agent and business entity licensing, including license applications, renewals, agent appointments, continuing-education filing reports and course approval for continuing education courses.

IT Equipment: Windows 7 OS, 4 desktops, 1 printer, 1 scanner

Technology Tools: SBS, National Insurance Producer Registry (NIPR), Producer Database (PDB). These last two are also off-site web based applications.

Administration Division

The Administration Division is responsible for the accounting, budget, public relations, information technology needs and general office support for the department. This division oversees the Fire District payments and assists with the premium tax collection process. The Division also oversees the Department's day to day business operations, human resources and personnel management.

IT Equipment: Windows 7 OS, 8 desktops, 2 printers, 1 color printer, 1 scanner

Technology Tools: PeopleSoft, MS Access, SBS, Online Premium Tax (OPTins) off-site web based application, Premium Tax - PowerBuilder/Oracle on-site application, InfoMaker report writing tool, various Adobe products and website content manager (SmartAdmin), Twitter, Flickr and YouTube.

Special Funds Division

The Special Funds Division administers several state funds on behalf of the Insurance Department. These Funds include:

State Fire and Tornado Fund

The State Fire and Tornado Fund insurs buildings, outdoor, trailer and personal property belonging to state agencies and political subdivisions. The Fund provides low cost insurance on approximately 21,000 properties throughout the state with total values insured of approximately \$12 billion. The largest policyholders are state universities and the smallest are townships. The annual premium is approximately 4.7 million.

IT Equipment: Windows 7 OS, 2 desktops, 2 laptops, 1 printer, 1 color printer, 1 scanner

Technology Tools: Fire and Tornado Fund - PowerBuilder/Oracle on-site application, Marshall Swiff

Boeck (MSB) appraisal software, ILINX and FileNet

State Bonding Fund

The State Bonding Fund provides a blanket fidelity bond for state agencies and political subdivisions providing coverage in the event of an employee theft of property or money. There are a total of 2,989 entities that are bonded with a limit of liability totaling \$704,308,861.

Technology Tools: State Bonding Fund - PowerBuilder/Oracle on-site application

Petroleum Tank Release Compensation Fund

The federal government requires all owners of underground petroleum tanks prove their financial ability to clean up petroleum contamination resulting from a leak. This Fund was created to help pay for cleaning up spills.

Technology Tools: MS Access/SQL Server on-site application

Boiler Inspection Program

The Boiler Inspection Program provides mechanical inspection of boilers and pressure vessels and their components. Inspections are conducted on site and on a recurring basis to safeguard the lives of those exposed to vessels under pressure; to protect persons and property generally; and to place, by reasonable regulation, responsibility for compliance with the owner and users. The state currently has 10,056 active boilers. We will be submitting an RFP to purchase a new system. The current system will not run under Windows 7, therefore it is located on a standalone Windows XP PC that is not connected to the network. Backup is done manually to USB travel drives.

Technology Tools: Boiler Pressure Vessel (BPV) MS FoxPro, ILINX and FileNet

Planned Activities:

Meet the IT needs required by technological growth and changes, business processes and government regulation.

- 1) Replace approximately half of the department's computers and monitors.
- 2) The department is enrolled in the MS Office Software Assurance program.
- 3) Continue to utilize the FileNet system to provide faster means of filing and retrieving documents.
- 4) Submit an RFP to find a new application to replace our current Boiler Inspection application.
- 5) If ITD decides to purchase Adobe Experience Manager subscription, we want to replace some of our state paper forms utilizing this new technology.

Technologies being considered or investigated:

Using iPads or another version of a tablet to capture boiler inspection data out in the field.