State Auditor's Office

AGENCY INFORMATION TECHNOLOGY PLAN

2018

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General Instructions

This report is due by close of business **April 30, 2018**. Please upload your final report and all applicable documents to your individual agency folder in the biennial reporting SharePoint site: https://ent-sp1.mt.gov/sites/bienrpt/_layouts/15/start.aspx#/Agency%20Information/.

If you are attached to another agency, your individual folder is located within the overarching agency folder. All attached-to-agencies information should be reported within the overarching agency plan.

The Department of Administration (DOA) State Information Technology Services Division (SITSD) shall prepare a biennial report on information technology based on agency information technology plans and performance reports (2-17-521, MCA).

Each state agency is required to develop and maintain an agency information technology plan (2-17-523, MCA).

Format and content requirements are found in 2-17-524, MCA.

Review and approval requirements are found in 2-17-527, MCA.

SITSD will adhere to the exemptions as defined in 2-17-516, MCA and 2-17-546, MCA.

Answer each section below (add lines and tables as needed).

Mission, Goals, and Objectives

Mission	The Montana Commissioner of Securities and Insurance (CSI), also known as the Montana State Auditor, is the state government regulator of Montana's insurance and securities industries and advocate for the citizens of Montana. The Office of the Montana State Auditor, Commissioner of Securities and Insurance (CSI) is a criminal justice agency that protects Montana's consumers by ensuring fairness, transparency and access for Montanans in two of Montana's largest industries — securities and insurance. CSI Information Technology department actively pursues to deliver the best proven technology and innovative solutions available to meet the business objectives of the agency and the State of Montana. Develop custom interfaces, provide stable infrastructure, and leverage emerging technologies to advance the business objectives of CSI and the State of Montana.

		State Strategic Plan Goal/Objective Reference	Agency Goal/Objective Reference
Goal One	Leverage our reliable, secure, and efficient information technology	Goal 1	Provide IT infrastructure that meets the needs of the Agency.
Objective One	Maintain and enhance the IT infrastructure to support the operations of the Agency	Goal 1 Objective 1.1	Utilize a long-range plan for IT including funding for lifecycle replacement of hardware and systems
Objective Two	Maximize staff potential to foster innovation and excellence.	Goal 1 Objective 1.2	Assure up to date training for IT staff
Objective Three	Provide a secure computing environment that ensures data privacy, integrity and mitigates cyber-security threats	Goal 1 Objective 1.1	Develop an information security framework based on accepted best practices and standards

|		State Strategic Plan Goal/Objective Reference	Agency Goal/Objective Reference
Goal Two	Ensure excellent service to enable the effective use of technology, resources, and systems by the Agency	Goal 6 Objective 6.1	Enable business continuity by delivering networking and server technologies which provide redundancy, reliability and flexibility.
Objective One	Work with departments to provide training on enterprise technologies.	Goal 1 Objective 1.2	Upgrade hardware and software to take advantage of newly released features and capabilities.
Objective Two	Ensure a strong IT workforce capable of achieving the information technology goals of the Agency		Provide technical development opportunities for IT employees and

			flexibility in scheduling for training opportunities.
Objective Three	Enhance communications	Goal 3 Objective 3.3	Keep Agency informed of emerging information technology solutions and best practices.

		State Strategic Plan Goal/Objective Reference	Agency Goal/Objective Reference
Goal Three	Support, upgrade, and enhance current business processes, tools, and systems	Goal 3 Objective 3.1	Provide ongoing support for existing business processes and systems.
Objective One	Streamline workflow and automate business processes to improve business efficiency and reduce the use of paper.	Goal 4 Objective 4.6	Enhance access to information via use of imaging, scanning and electronic records management.
Objective Two	Establish a review process to annually review each COOP plan with the business process owner for needed updates and changes	Goal 4 Objective 4.3	Developed and presented table-top disaster training for each bureau within the agency. Set expectations for roles in simulated emergency situations using current Business Continuity Plans
Objective Three	Update and review Living Disaster Recovery Planning System	Goal 4 Objective 4.3	Conduct periodic testing and evaluation of the effectiveness of information security policies, procedures, practices, and security controls.

Link to Agency Goals and Objectives	https://ent-sp1.mt.gov/sites/bienrpt/Agency%20Information/State%20Auditor%20-%20Office%20of%20Securities%20and%20Insurance/2018/SAO_2018_Goals.pdf
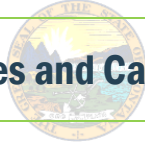
Resources and Capabilities

Information Technology Resources

CSI current infrastructure is comprised of a clustered virtual environment that services the entire agency's data needs. This environment was designed with environmental and agency growth concerns in mind. CSI's current backup environment includes redundancy which is hosted in the State of Montana Data Center. This allows for onsite backup with offsite redundancy which allows for a broader scope of disaster recovery options. CSI's infrastructure has been engineered to meet the growing needs of the agency staff, while still maintaining costs at a lower threshold.

Each IT position at the Agency is responsible for supporting the agency users with day-to-day operations while also focusing on supporting CSI systems in their respective specialized concentrations.

Information Technology	Number of FTE	Primary Function
Information System Manager	1	Focus is on actively coordinating the overall direction of IT department within the agency, carries out supervisory responsibilities, coordinate, and implements short and long-range technology strategic plans, manages IT related projects and coordinates overall direction of the IT department within the Agency. Assures integrity of agency data and confidential information through information security and data access management.
Senior Database Administrator	1	Develop application and enterprise software solutions, provide solution and designs. Support the performance, integrity and security of the production environment by maintaining per defined and documented maintenance plans and business needs.
Network Security Administrator	1	Administer and maintain agency network architecture and environment to ensure accurate, efficient processing and storage of CSI data; Enforces technical securities and procedures on the network as required to ensure the confidentiality, integrity, and accessibility of CSI technical resources are available 24X7.
Information Systems Specialist	1	Provides general technical assistance in support of applications, hardware, software, and network connectivity

Information Technology Capabilities

Summary of Systems:

Name	Description	Purpose
Insure Montana	Will be used for tax credits until fiscal year end 2020	Application
Oracle for SAO	Oracle database for production apps	Application
Splunk	Log Correlation and Event Monitoring	Application
Barracuda	Backup	Application
Abacus Law	Internally hosted database app	Application
Quick Books (SAO)	Accounting app used for Securities and Insure Montana research only	Application
SAO Production Database (Oracle)		Application
SAO Production Web Application (Oracle) (SVC.MT.GOV/CSI/Apps)	Surplus lines production application	Application
Image Now	Document imaging	Application
VMWare ESXI v5.0	Virtualized machine management	Application
KeePass	Open source password manager	Application

Summary of Hardware:

Total Number of Appliances	5

Total Number of Physical Servers	6

Virtualized Servers:

Total Number of Virtualized Servers	3

Storage: SANs and NASs.

Total Usable Storage Space	22 TB

Devices:

| Device Type	Quantity	Estimated Replacement Value
Desktops	82	$82,000.00
Laptops	19	$30,000.00
Mobile Devices (tablets, phones, etc.)	14	$11,000.00
Printers	18	$18,000.00
Leased Printers	5	$ 8460.00
Security Cameras	34	$35,000.00
Cameras	8	$3,000.00
Scanners	11	$9,000.00

Projects

CSI does not foresee any major IT initiatives in the agency's future. However, this could change if federal lawmakers, agencies and/or associations make changes which affect our Montana regulatory IT environment.

CSI Legacy System Replacement		
Agency Wide		
Project / Program purpose and objectives	This project is to replace a legacy system that supports both the Securities and Insurance divisions. The replacement system will be maintained on updated backend infrastructure and developed in industry standard application methods. Scope of the project has increased significantly since its origin.	
IT Goal and Objective Reference	The replacement system is being developed and documented to allow for future enhancements and integration for additional systems critical to CSI. Replacing the legacy system has provided a reliable platform for CSI staff to perform day-to-day operations critical to CSI's success.	
Estimated start date	4/1/2014	
Estimated delivery date	8/1/2018	
Estimated cost		
HB 10 Request	No	
Funding source one	2013 Legislative Appropriations	$57,643.00
Funding source two	Agency Budget	$53820.00
Funding source three	Funding Source	
Annual costs upon completion		
Status of the project as of March 31, 2018. Indicate % completed and status of funds expended.	75% completed as of March 31, 2018.	

Contact Information
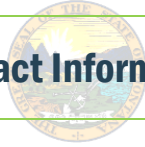
Agency Director / Administrator

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Direct questions to:
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