

# INFORMATION TECHNOLOGY PLANNING QUESTIONNAIRE (ITPQ)

For the questions below, provide the requested documentation and the name, title, telephone number and e-mail address of the individual who will be most able to discuss and clarify the information presented.

If a particular section does not apply to your company, give a brief explanation of why it does not apply. All responses should be in the form of a separate summary memorandum, headed with the corresponding section label. Where possible, electronic responses are preferred.

## 1. Use of Information Technology

If the company does not process its business electronically, provide a narrative description explaining how the company's business is processed. The remainder of this section does not need to be completed.

If the company only processes business electronically on a stand-alone personal computer and does not use networking technology, provide a narrative description explaining how business is processed, including the type of application software being used. The remainder of this section does not need to be completed.

## 2. Information Technology Governance

- a. Provide the name, telephone number and e-mail address of the chief information officer (or equivalent).
- b. Provide specific detailed organizational charts for the company's IT department, and/or any affiliates providing IT services, that show its various functional divisions (i.e., operations, programming, support services, etc.). Show reporting relationships of the IT department within the organization.
- c. Provide an executive overview of your company's IT strategic plans, including plans for e-commerce.
- d. Provide an executive overview of your IT steering committee, or other group that establishes and directs IT policies and strategies, indicating the membership of the group and the frequency of their meetings.

## 3. Information Technology Infrastructure

- a. Provide the name, telephone number and e-mail address of the chief technology officer (or equivalent).
- b. Provide a listing of the locations of all data-processing centers used by your company, whether owned by the company or by a third-party administrator that processes data for the company.
- c. Provide a system-wide map or topography, showing all hardware platforms and network connections, indicating all internal and external access points. In addition, complete a separate Systems Summary Grid for each platform (see Attachment 1). A sample Systems Summary Grid is provided with this questionnaire (see Attachment 2).
- d. Provide a narrative explanation of the application-level interfaces (manual and automated) among the various programs/platforms (e.g., claims system feeds into the accounting system).
- e. Provide a list of any business or data-processing services provided by the company to any other entities, including affiliates, indicating the type of service provided and a summary of the terms of the agreements (e.g., named parties, effective date, period and services covered). Also indicate if a service level agreement (SLA) exists for each of these services.
- f. Provide a list of any business or data-processing services performed by any other entities on behalf of the company, such as a third-party administrator (TPA, MGA, GA, etc.) or an affiliate, indicating the type of service provided and a summary of the terms of the agreements (e.g., named parties, effective date, period, location and services covered). Also indicate if a SLA exists for each of these services.
- g. Describe any business the company is conducting through electronic channels, indicating the type and volume of business and the date when it was implemented. **Note:** E-commerce methods of transmission might include

voice recognition units (VRUs), the Internet, third-party extranets, and wireless and broadband communications media.

#### **4. Information Technology Audits, Reviews and Risk Assessments**

- a. Provide the name, telephone number and e-mail address for the partner of your company's independent external audit team and the internal audit director (or equivalent), if they exist.
- b. Provide a list of any IT audits/reviews performed within the past two years, including e-commerce areas. Include the dates, review subjects and who performed the audits/reviews (e.g., internal audit, external audit, SAS 70 Type II Reports, Sarbanes-Oxley, state insurance departments, governmental agencies, and/or any other contractor or affiliate that might have performed an audit/review).
- c. Arrange for a copy of the IT work included in the most recent audit workpapers to be provided from the company's external audit firm. The workpapers should be provided no later than the response date identified for the IT Planning Questionnaire.
- d. Please provide all current assessments of the company's IT risks, whether internally or externally conducted.

#### **5. Information Technology Security**

- a. Provide the name, telephone number and e-mail address for the chief security officer (or equivalent).
- b. Provide a copy of your IT security policy (or policies), including e-commerce.

If no formal written policy (or policies) exists, provide a detailed description of the security features in place and functioning at all levels, both physical and logical. Include a discussion of:

- Data confidentiality – Discuss how data elements are classified, who determines which individuals/roles have access to data elements, whether confidential data is encrypted, etc.
- System and network access controls – Discuss how access is controlled (network-level, server-level, application-level, or a combination), which directory services are used for network access, whether authentication servers are used, whether encryption is used across the network, etc.
- Network monitoring – Discuss any anti-virus/anti-malware software, intrusion detection systems and patch management systems used, including the strategy for keeping these products current. Also discuss any processes in place for periodic network/server vulnerability assessments and for allowing remote user access.

#### **6. System Development/Change Management**

- a. Provide the name, telephone number and e-mail address for the system architect/chief software engineer (or equivalent).
- b. Provide an executive overview of the company's system development life cycle (SDLC) and change-management methodologies and indicate whether the company uses internal personnel and/or external vendors to develop and/or change its systems or programs. Include discussion of the process used when purchasing application solutions.
- c. Provide the name, vendor, version number and platform for all change management/system development software, if utilized.

#### **7. Business Continuity**

- a. Provide the name, telephone number and e-mail address of the individual responsible for maintaining, updating and testing the company's business continuity and disaster recovery plans.
- b. Provide a copy of your IT business continuity and disaster recovery plans, including information on any contracts for alternate sites (i.e., named parties, site location, type of site, effective date and period covered). Also, provide evidence of the last test results for the plans and management's resolutions of any test discrepancies.

- c. Provide a description of your company's data and systems backup strategy, including your records retention policy.
- d. Provide a copy of the most current business impact analysis.

**8. Financially Significant Systems**

- a. If the company uses multiple platforms/systems to process financial transactions — including premium, claim, reinsurance and investment transactions — include a reconciliation of amounts processed on each separate system to total dollar amount processed during the prior year. Indicate whether the company anticipates any change in processing volumes during the current year. *Note: The Technology Summary tool provided on StateNet may be used to accomplish this purpose.*
- b. Identify and discuss other significant critical management reporting/operational systems, such as data warehouses, sales and marketing systems, communication systems, management dashboards and any other management information systems.

## Part One – Information Technology Planning Questionnaire (ITPQ)

### Attachment 1

### Systems Summary Grid

*For each primary hardware platform, list the application software products used in each of the insurance business cycles.*

Hardware Platform (manufacturer/model)						
Operating System*						
Access Control Software**						
Program Management Software						
Database Management Software						
Hardware Location						
Business User Location(s)						
Individual Responsible						
Process/Application	Product Name and Version	Software Source: Developed Internally Purchased – Not Modified Purchased – Customized Outsourced/Service Center	Developer/Vendor	Application Support: Internal/External (Provider Name)	Date of Initial Implementation	Date of Last Significant Update
Policy Management (including premium-transaction processing and policy record management)						
Claim Management (including claim-transaction processing and record management, and reserving)						
Financial Reporting (general ledger and accounting)						
Investment and Fund Management (including investment-transaction processing and record management)						
Reinsurance Management						
Producer Management (including commissions-transaction processing and agent record management)						
Data Warehouse / Data Mart						

**NOTE: Make as many copies as necessary to represent every primary hardware platform being used. These might include mainframe, minicomputer and/or network server systems. Additional financially significant applications should be inserted as needed.**

\* e.g., z/OS, z/VM, Clearpath, OS/400, i5/OS, Windows Server 20XX, Open Enterprise Server, Linux, Unix, AIX, Open Solaris, etc.

\*\*e.g., RACF, Top Secret, ACF2, BSafe, Active Directory, eDirectory, Solaris.

### Systems Summary Grid — Sample

*For each primary hardware platform, list the application software products used in each of the insurance business cycles.*

Hardware Platform (manufacturer/model)	IBM AS/400 Model 840					
Operating System	OS/400 v4r3					
Access Control Software	OS/400 and Client Access/400					
Program Management Software	Job Scheduler for AS/400					
Database Management Software	DB2 Universal Database for AS/400					
Hardware Location	Company's home office					
Business User Location(s)	Company's home office					
Individual Responsible	John Smith, VP - Underwriting					
Process/Application	Product Name and Version	Software Source: Developed Internally Purchased – Not modified Purchased – Customized Outsourced/Service Center	Developer/Vendor	Application Support: Internal / External (Provider Name)	Date of Initial Implementation	Date of Last Significant Update
Policy Management (including premium-transaction processing and policy record management)	PMS v6r2	Developed internally	By company, using Cobol, C++	Internal	09/1987	10/1999
Claim Management (including claim-transaction processing and record management, and reserving)	Not on this platform					
Financial Reporting (general ledger and accounting)	Not on this platform					
Investment and Fund Management (including investment-transaction processing and record management)	Not on this platform					
Reinsurance Management	Not on this platform					
Producer Management (including commissions-transaction processing and agent record management)	PMS v6r2	Developed internally		Internal	09/1987	10/1999
Data Warehouse / Data Mart	Oracle Database	Developed internally		Internal	09/1987	10/1999

**NOTE: This page is for informational purposes only — it does not have to be returned.**