

Draft Pending Adoption

Date: 3/31/21

Information Systems (EX1) Task Force
Virtual Meeting (*in lieu of meeting at the 2021 Spring National Meeting*)
March 24, 2021

The Information Systems (EX1) Task Force met March 24, 2021. The following Task Force members participated: Ricardo Lara, Chair, represented by David Noronha (CA); Kathleen A. Birrane, Vice Chair, represented by Paula Keen (MD); Lori K. Wing-Heier represented by Chris Murray (AK); Alan McClain represented by Letty Hardee (AR); Michael Conway represented by Peg Brown, Damion Hughes and Rolf Kaumann (CO); Trinidad Navarro represented by Tim Li (DE); Sharon P. Clark represented by Satish Akula (KY); Chlora Lindley-Myers, Cynthia Amann and Jo LeDuc (MO); Barbara D. Richardson represented by Nick Stosic (NV); Judith L. French represented by Tynesia Dorsey (OH); Glen Mulready represented by Andrew Schallhorn (OK); Doug Slape represented by Nancy Clark (TX); and Scott A. White represented by Vicki Ayers and Trish Todd (VA). Also participating were: Rebecca Smid (FL); Linda Scott (KS); Larry Wertel (NY); Scott Kast (PA); Joseph Javier (SC); Sharmila Chalasani and Molly Nollette (WA); and Tom Jefferson (WI).

1. Adopted its Nov. 20, 2020, Minutes

Ms. Keen made a motion, seconded by Mr. Li, to adopt the Task Force's Nov. 20, 2020, minutes (*see NAIC Proceedings – Fall 2020, Information Systems (EX1) Task Force*). The motion passed unanimously.

2. Received an Update on the 2021 SERFF Fiscal

Joy E. Morrison (NAIC) reported that the System for Electronic Rate and Form Filing (SERFF) Modernization team received 12 responses from the request for proposal (RFP) issued last fall. NAIC staff and the SERFF Modernization Oversight Group reviewed the responses, interviewed six vendors, and selected a final vendor. There are three goals of the RFP: 1) determining tools to be used; 2) validating that the tools can do what is needed with use cases; and 3) establishing a roadmap from pilot to production. The vendor selected will be announced after a contract is in place. A fiscal was released in March for public comment to fund the project, which is expected to begin in May.

3. Received an IT Operational Summary Report

Scott Morris (NAIC) highlighted several sections included in the Information Technology (IT) Operational Report received by the Task Force members. The report provides updates on technology initiatives at the NAIC, upcoming improvements, impacts to state technology, new offerings from the NAIC, and general updates on the activities of the NAIC technology team.

a. Product Highlights

The State Based Systems (SBS) team has completed transitions from the legacy system to the new platform for all states. All transitioned states are out of their warranty period, and work continues to decommission the legacy hardware and database. The SBS team is now focusing on new state implementations. Four states are currently licensed for SBS implementation, with three currently active: Vermont (August 2021), Connecticut (November 2021) and Massachusetts (February 2022). Hawaii is a future implementation.

Other key product highlights include:

- A multiphase project for SERFF Billing Enhancements concluded in January, positioning the NAIC and insurance companies to move from a billing model using prepaid blocks of filing transactions and invoices to a model supporting real-time payment of transaction fees at the time of filing submission. As existing prepaid transaction blocks are depleted, customers will automatically transition to payment via Automated Clearing House (ACH) Debit, and they will be assigned a fixed unit price according to a tiered structure long in place for SERFF. In 2021, each company will remain in the same tier as it did under the previous billing model.

Draft Pending Adoption

- The Life Insurance Policy Locator application was enhanced on Feb. 5 to make it even more consumer-friendly, prevent duplicate requests, and increase validation. As of Jan. 30, consumers have submitted more than 262,726 requests, which have led to more than 99,532 matches of policies with claims of more than \$1.29 billion.

b. Innovation and Technology

NAIC teams expand their leverage of Informatica PowerCenter, a data integration tool with automated source/target mapping capabilities. SBS eliminated 35 jobs by using Informatica PowerCenter to populate data marts used for various purposes in reducing operational support costs and technical debt.

The Tableau ecosystem at the NAIC continues to expand and improve. Currently, the PROD Tableau Server holds 167 workbooks and 259 data sources. The number of views of workbooks on the PROD server totaled 706,563 over the last six-month period.

The NAIC continues to work with two states to pilot the prototype solutions that use a Snowflake data warehouse as the access point to the financial and market conduct data currently accessed from the Oracle production database. A survey was sent to states in the fourth quarter of 2020 to gather information on the tools and technology used to access data, the tables accessed, and preferred migration time frames. Based on the information gathered, a migration road map was created.

c. Team Highlights

The NAIC leadership team and NAIC staff continue to learn about the Scaled Agile Framework (SAFe) and have earned numerous certifications. SAFe is the next step in the NAIC's movement towards being more agile in its process and value delivery. SAFe provides a framework to apply Lean-Agile practices using proven methodologies, and it can positively influence:

- Alignment in process.
- A shared predictable cadence across the organization.
- Decentralized decision-making among the teams.
- Organization around customer value instead of silos.
- Transparency and communication of prioritized work.

4. Received a Portfolio Update and Project Status Reports

Sherry Stevens (NAIC) reported on the project portfolio. As of March, the NAIC's technical project portfolio includes 22 active technical projects. Five projects have been completed since the last report.

Having no further business, the Information Systems (EX1) Task Force adjourned into regulator-to-regulator session, pursuant to paragraph 4 (internal or administrative matters of the NAIC or any NAIC member) of the NAIC Policy Statement on Open Meetings.

W:\National Meetings\Spring\2021\TF\InfoSys_Final Minutes\03-24InfoSysTFmin_Final.docx