

INFORMATION SYSTEMS (EX1) TASK FORCE

Information Systems (EX1) Task Force Sept. 21, 2009, Minutes

Quarterly Status Reports for Approved IT Project Requests (Attachment One)

Information Systems (EX1) Task Force Aug. 19, 2009, Minutes (Attachment Two)

2010 Information Systems (EX1) Task Force Charges (Attachment Two-A)

Memorandum from Denise Matthews (NAIC) dated June 1, 2009, Regarding Information Systems Division Project Status Report (Attachment Two-B)

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Information Systems (EX1) Task Force
Washington, DC
September 21, 2009

The Information Systems (EX1) Task Force met in Washington, DC, Sept. 21, 2009. The following Task Force members participated: Sandy Praeger, Chair, represented by Neil Woerman (KS); Carol Cutter, Vice Chair, represented by Connie Ridinger (IN); Jay Bradford represented by Alice Jones (AR); Jim Ridling represented by Effie Brown and Larry Lauderdale (AL); Steve Poizner represented by Christie Borchin (CA); Karen Weldin Stewart represented by Carol Jones (DE); J.P. Schmidt represented by Gordon Ito (HI); Ralph S. Tyler, III (MD); Wayne Goodwin represented by Ray Martinez (NC); Roger A. Seigny represented by Barbara Richardson (NH); and Sean Dilweg represented by Amit Trivedi (WI).

1. Adopt Minutes from Aug. 19 Conference Call

The Task Force adopted minutes from its Aug. 19 conference call (Attachment Two). On this call, the Task Force reviewed proposed charges for 2010. Two changes were approved, including a change in the wording to clarify when it will be appropriate for the Task Force to sponsor a project and the addition of a new charge related to providing technology consultation to other regulatory committees, task forces and working groups, as requested. The proposed charges were adopted by the Task Force for presentation to the Internal Administration Subcommittee. The Task Force also conducted its biannual review of approved completed technology projects, including an update on any technology changes and current usage of the applications. A report on the status of the State Producer Licensing Reengineering (SPLR) project was provided by Ms. Borchin, chair of the Technical Consulting Working Group. Mr. Martinez made a motion to adopt the minutes and Ms. Borchin seconded the motion. The motion passed unanimously.

2. Update on Other Approved Projects in Process

The Task Force received quarterly updates for member-approved Information Technology project requests (Attachment One). The Task Force is tracking the following projects approved during the 2009 NAIC budget process, which are all on time and on budget:

- a. National Catastrophe Model System: Proof-of Concept Study to Build National Multi-Peril Model – This project completed \$47,192 under budget. The final report was completed Aug. 17 by the pilot-states study group.
- b. Identification of Invested Risk Attributes in the Integrated Securities Information System – Denise Matthews (NAIC) reported that the Securities Valuation Office will be completing business requirements for Phase II of the project in early October. The project is on schedule to complete in February 2010.
- c. Support of Existing Market Conduct Annual Statement (MCAS) Process for 2008 Filing Year, Including Collection, Aggregation, Limited Analysis and Reporting of National Ratios/Averages – The two 2009 industry databases are ready for testing, which will include compatibility testing with MS Vista and MS Access 2007. The collection database contains 29 states' data for P&C and life/annuity to be reviewed by the NAIC Market Regulation staff.
- d. Application Development and Testing Productivity Tools 2009 – Ms. Matthews reported that the LoadRunner PCs were installed in March, and the project to move all source code to Subversion (the new source code management tool) is progressing on schedule. She also said a final decision was made to move forward with the implementation of Quality Center, complemented with a free, open-source tool called JIRA for defect tracking.
- e. NAIC Enterprise Search – Google Search Appliance – It was reported the Google search engine was moved to production in July 2009.

3. Other Project Updates

- a. Update on System for Electronic Rate and Form Filing

A written report on the status of the System for Electronic Rate and Form Filing (SERFF) was provided and presented by Julie Fritz (NAIC). She said 349,712 filings had been processed through SERFF in 2009 through the end of August, representing a slightly higher than the budgeted number of filings. SERFF v5.7 was released as planned in August 2009. The release included a search feature for General Instructions, additions to the Export Tool that will enhance state and company reporting abilities, Pipeline performance and format changes, and a new Reminders feature. Also released in v5.7 and currently being pilot-tested by a few states, is an enhancement that allows users to search for text within a portable document format (PDF) file. SERFF v5.8 is in testing and its features include the implementation of the IIPRC Statement of Intent into fielded data and the ability to update more of the filing fields after submission.

Ms. Fritz said the SERFF Implementation Team has been focusing on state satisfaction monitoring and general support. In addition, after the Summer National Meeting, two SERFF mandates went into effect and three states announced mandates. New Mexico's mandate went into effect June 19 and Oklahoma's mandate, which included electronic funds transfer (EFT), went into effect July 14. Georgia expanded its current mandate to include life/health business areas effective Oct. 1. Maine announced their SERFF mandate in late August to include all business areas and EFT. Maine's mandate is effective Sept. 12. Ohio announced that their mandate, which includes all business areas, is effective Dec. 31.

b. State Based Systems

A written report on the status of State Based Systems (SBS) was provided and presented by Ms. Fritz. Seventeen states are currently licensed. Available SBS services include Producer, Continuing Education, Company, Financial Exams, Consumer Services, Enforcement, Investigations, Market Conduct Exams, Revenue, Regulated Industries Services, SBS Connect/OLS, I-Site Integration and SERFF Integration. Recent activity includes Tennessee going live with SBS in November and North Dakota in December. Other implementation projects underway include Illinois, Nebraska and Puerto Rico.

c. Update on Security Framework Project/Technology Rollout Plan

A written report on the status of the Security Framework Project/Technology Rollout Plan was provided and presented by Ms. Matthews. She said the migration of existing applications to the Oracle Access Manager (OAM) security framework continues. Since the June 10 status report, the following applications were successfully migrated and released to production: ASSIST, GetAddress, Internet Filing (Oracle Application Server only), Online Fraud Reporting System (OFRS), Public Access, Financial Analysis Systems (FAS) back-end and Financial Data Repository (FDR) back-end. NAIC staff continues to work with the users of the NAIC Report Web Services (NRWS) and OFRS Web services to implement and test necessary changes to the new versions.

The Internet Filing, OPTins and SERFF applications have been migrated to the Oracle Application Server (OAS); however, staff continues to work through issues before these applications are migrated to OAM/Lightweight Directory Access Protocol (LDAP). In particular, they are addressing how to provide single sign-on for users with multiple user IDs.

Ms. Matthews also noted that subsequent releases to the new servers are scheduled through fourth quarter 2009; however, the last migrations to OAM/LDAP will likely complete in 2010. Currently, the applications are scheduled to complete as follows: 1) Q3 2009 – ClaimNet, InsData, PostTracker and MFORSE, which replaces several Insurance Data Products (IDP) applications; 2) Q4 2009 – Common Electronic Commerce Initiative (CECI), Product Requirements Locator (PRL) and PDF Order Application.

d. State Producer Licensing Reengineering (SPLR) Update

Ms. Borchin provided a report on the SPLR Project. She said that while excellent progress was made and the team was close to meeting the August release, issues arose that forced a decision to delay that release. Those issues included:

1. Changes were made to Producer Database (PDB) reports that improved the visual aspect, but negatively impacted customers who were using the Extensible Markup Language (XML) version to integrate with their applications in an automated way. Resolution of this issue could not be completed in time.
2. Testing could not be completed in time, partially due to problems with the testing environments related to a component of Oracle's application server causing environment problems related to deployments of code.
3. Load and performance testing: An issue was identified related to performance of the XML Common Gateway Interface (CGI) in production, which indicated a need to revise and enhance the load and performance testing methodology.

Ms. Borchin said that missing that date created something of a "domino effect," causing a number of complexities to come into play that extended implementation dates associated with the new schedule beyond what might be expected, given how close the team was to deploying. She explained that this was primarily due to NIPR having put a number of things on hold to allow them to work on the August release exclusively — and that work must now be integrated into the schedule, along with the SPLR releases. In addition, she said this creates conflicts with the testing team, in that it causes delays, load and performance testing must be completed, and the need for customers to be satisfied with testing prior to the cutover. The new schedule will include everything anticipated for the August release and the Gateway implementation, with the cutover to the new database occurring in the first quarter of 2010, as well as a Common Architecture release. Ms. Borchin said the Technical Consulting Working Group continues to meet with NAIC staff to oversee this project.

Having no further business, the Information Systems (EX1) Task Force adjourned.



Information Systems (EX1) Task Force
Approved IT Project Request - Quarterly Status Report
Project Name: National Catastrophe Model System: Proof of Concept Study to Build a National Multi-Peril Model

PROJECT PLAN STATISTICS	As Approved by EX 1	Actual Status for Project as of 9/1/09	Estimate at Project Completion
Project Budget	\$200,000	\$152,808	\$152,808
Project Start	1/1/2009	1/1/2009	1/1/2009
Project Finish	7/31/2009	8/17/2009	8/17/2009
Total Project Hours	250	140	140
PROJECT COMMENTS			
Technology Related			
Business Related Having a Technology Impact			
Business Alignment*			
Describe any Risks, Concerns or Other Issues currently impacting the project			
The National Catastrophe Model System Proof of Concept Study was completed by the pilot-states study group on 8/17/2009. The group's final report will now be considered by EX1. It is not expected that any additional funds or hours will be spent on the project.			
SIGNATURES		Name	Title
Report Completed By:	Aaron Brandenburg	Economist	9/1/2009
Report Completed By:			

* Categories include: Consumer Protection, Market Regulation, Speed-to-Market for Insurance Products, Producer Licensing, Insurance Company Licensing, Solvency Regulation, or Change In Insurance Company Control



Information Systems (EX1) Task Force
Approved IT Project Request - Quarterly Status Report
Project Name: Identification of Invested Risk Attributes in the Integrated Securities Information System

PROJECT PLAN STATISTICS	As Approved by EX I	Actual Status for Project as of 9/1/09	Estimate at Project Completion
Project Budget	\$132,600	\$70,500	\$121,275
Project Start - Phase I	3/1/2009	3/10/2009	3/10/2009
Project Start - Phase II	July 2009	7/31/2009	7/31/2009
Project Finish - Phase I	September 2009	9/27/2009	9/27/2009
Project Finish - Phase II	February 2010	2/27/2010	2/27/2010
Total Project Hours	1,872	1,047	1,872
PROJECT COMMENTS			
Technology Related			
With the assistance of the contracted senior-level consultant, the NAIC completed development for Phase I in August where the NAIC has since conducted user and QA testing with no major problems having been detected. The NAIC is on target to release Phase I content into production by 9/25/2009. As of August, the consultant has also begun working on Phase II, which will also be tested and implemented by NAIC staff in February 2010, as indicated in the fiscal.			
Business Related Having a Technology Impact			
The SVO has disseminated business requirements to the senior-level consultant to begin development for Phase II. While previously it was hoped these could be finalized during the summer, it is now apparent that Phase II will contain far more content than originally anticipated, thus it has taken more time to create and finalize those business requirements. The SVO now expects to finalize the business requirement stage sometime in September. Phase II is still on target for the February 2010 release date, as indicated in the fiscal.			
Business Alignment*			
Solvency Regulation			
Describe any Risks, Concerns or Other Issues currently impacting the project			
SIGNATURES			
Report Completed By:	Name	Title	Date
	Doma Powers	Senior Manager II	9/3/2009
Report Completed By:	Rodney Cornish	Business Systems Analyst	9/3/2009

* Categories include: Consumer Protection, Market Regulation, Speed-to-Market for Insurance Products, Producer Licensing, Insurance Company Licensing, Solvency Regulation, or Change In Insurance Company Control



Information Systems (EX1) Task Force
Approved IT Project Request - Quarterly Status Report
Project Name: Support of Existing Market Conduct Annual Statement (MCAS) Process for 2008 Filing year

PROJECT PLAN STATISTICS	As Approved by EX 1	Actual Status for Project as of 9/1/09	Estimate at Project Completion
Project Budget	\$0	\$0	\$0
Project Start	9/1/2008	9/1/2008	9/1/2008
Project Finish	12/1/2009	12/1/2009	12/1/2009
Total Project Hours	530	381	490
PROJECT COMMENTS			
Technology Related	Hours at Project Completion are reduced as development effort on some of the tasks took less time than originally estimated.		
Business Related Having a Technology Impact	The 2009 industry databases are ready for testing which will include compatibility testing with VISTA and M Access 2007. The collection database contains 29 states data for both P&C and Life & Annuity which will undergo review by the Market Regulation staff. The remaining hours in 2009 have to do with generating the data call letters for the 2009 MCAS.		
Business Alignment*			
Describe any Risks, Concerns or Other Issues currently impacting the project	The 2008 MCAS project has all but completed, with the exception of the review of the data forwarded to the NAIC (not included in the fiscal); however the MCAS database continues to be subject to inconsistent outputs and random failures given the technology being used. Researching and addressing these issues place the support and continued use of the database into the future at risk for failure.		
SIGNATURES	Name	Title	Date
Report Completed By:	Trish Skahan	Market Systems Liaison	9/2/2009
Report Completed By:	Shawn Hardin	IS Project Manager	9/2/2009

* Categories include: Consumer Protection, Market Regulation, Speed-to-Market for Insurance Products, Producer Licensing, Insurance Company Licensing, Solvency Regulation, or Change In Insurance Company Control

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Information Systems (EX1) Task Force
Approved IT Project Request - Quarterly Status Report
Project Name: Application Development & Testing Productivity Tools

PROJECT PLAN STATISTICS	As Approved by EX 1	Actual Status for Project as of 9/1/09	Estimate at Project Completion
Project Budget	\$97,287	\$5,912	\$47,500
Project Start	January 2009	January 2009	January 2009
Project Finish	January 2010	December 2009	December 2009
Total Project Hours	5,149	985	2,033
PROJECT COMMENTS			
Technology Related			
Business Related Having a Technology Impact			
<p>In the June timeframe, the decision was made to move forward with the HP Quality Center and JIRA solution designed to not only enhance capabilities for project test management, but also provide an expanded toolset that improves overall productivity within the application development groups. This revised solution provides a more cost-effective method to support multiple development areas within the NAIC and NIPR. In August, a proof-of-concept was conducted involving the installation of trial version software at NAIC to demonstrate the toolset met unique requirements at the Enterprise level. These results justified moving forward with the purchase of Quality Center along with JIRA to address expanded requirements. Though delayed, the purchase of the toolset is moving forward, and is expected to complete by October. A revised Subversion migration approach has resulted in fewer resource hours, significantly reducing intern expenses.</p>			
Information Technology			
<p>Subversion Migration project is 54% complete, with the expectation of completing on schedule and under budget. For HP Quality Center, the proof-of-concept delayed purchase and implementation of the product, however the expectation is that the toolset will be in operation for the IS Quality Assurance team by October 2009. The primary potential risk at this point would be associated with any delays during the purchasing and implementation phases for Quality Center, which might delay the production timeline.</p>			
SIGNATURES			
Report Completed By:	Jan Huff Soper	Sr. Manager, Customer Services & Support, IS Division	9/3/2009
Report Completed By:	Charlie Pearson	IS Quality Assurance Manager	9/3/2009

* Categories include: Consumer Protection, Market Regulation, Speed-to-Market for Insurance Products, Producer Licensing, Insurance Company Licensing, Solvency Regulation, or Change In Insurance Company Control

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Information Systems (EX1) Task Force
 Approved IT Project Request - Quarterly Status Report
 Project Name: NAIC Enterprise Search – Google Search Appliance

PROJECT PLAN STATISTICS	As Approved by EX 1	Actual Status for Project as of 9/1/09	Estimate at Project Completion
Project Budget	\$78,648.90	\$8,738.76	\$4,369
Project Start	3/15/2009	3/15/2009	3/15/2009
Project Finish	6/30/2009	7/6/2009	7/6/2009
Total Project Hours	410	364	364
PROJECT COMMENTS			
Technology Related			
Business Related Having a Technology Impact			
Business Alignment*			
Consumer Protection			
Describe any Risks, Concerns or Other Issues currently impacting the project			
The \$78,648.90 approved for this project is the total licensing cost for 3 years. The project actual budget status as of 9/1/09, and estimate at project completion, reflect the "to date" depreciated amount only.			
SIGNATURES			
Report Completed By:	Name	Title	Date
Report Completed By:	Shawn Hardin	IS Manager	9/1/2009

* Categories include: Consumer Protection, Market Regulation, Speed-to-Market for Insurance Products, Producer Licensing, Insurance Company Licensing, Solvency Regulation, or Change In Insurance Company Control

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Draft: 9/28/09

Information Systems (EX1) Task Force
Conference Call
August 19, 2009

The Information Systems (EX1) Task Force met via conference call Aug. 19, 2009. The following Task Force members participated: Sandy Praeger, Chair, represented by Neil Woerman (KS); Carol Cutter, Vice Chair, represented by Cindy Donovan (IN); Jay Bradford represented by James Winningham (AR); Jim Ridling represented by Larry Lauderdale (AL); Steve Poizner represented by Christie Borchin (CA); Karen Weldin-Stewart represented by Carol Jones (DE); J.P. Schmidt represented by Gordon Ito (HI); Roger Sevigny represented by Barbara Richardson (NH); Al Gross represented by Vicki Ayers and Brian Gaudiose (VA); and Sean Dilweg represented by Amit Trivedi (WI). Also participating was: Carl Meek (UT).

1. Review Minutes from June 10, 2009, Meeting

Mr. Woerman asked if there were any comments regarding the minutes from the Task Force's June 10 meeting. Ms. Donovan asked if the State Based Systems (SBS) services by state was available as discussed during the conference call. Denise Matthews (NAIC) said she would follow up on those services and send an e-mail to the Task Force.

2. Review 2010 Task Force Charges

Mr. Woerman asked for comments on the 2010 proposed charges (Attachment Two-A). Mr. Winningham asked if charge #5 should be more specific in that the Task Force would only sponsor projects where it was only technology and served multiple business areas, and would not serve as the sponsor for a business area-specific project. Mr. Trivedi said most projects have a business purpose even if it is only technology and asked for clarification regarding why those projects would be sponsored by the Task Force. It was noted that the business benefit of any project would have to be included in a project proposal even if it is only technology, but that it might serve all business areas and not one specifically raising the question as to which business committee would be the appropriate sponsor. Ms. Matthews also said the "sponsor," in terms of who is listed as the sponsor of the project, would also ultimately provide oversight to the project through to completion. If it is primarily technology focused, the Task Force might be best suited to perform that function. Mr. Winningham suggested charge #5 be amended as follows: "The Task Force will only serve as a regulator sponsor for projects involving technology that ~~span~~ supports the business areas of more than one other standing committee." Ms. Richardson moved to adopt the charges with the proposed amendment to charge #5. Mr. Trivedi seconded the motion, and the charges were adopted with the amendment to charge #5 unanimously.

Mr. Winningham also suggested a new charge be added for providing regulatory consultation to other committees, task forces, and working groups. After some discussion the Task Force decided to propose adding a new charge as follows: "Provide regulator technology consultation to NAIC committees, task forces, and working groups as requested—*Important*." Mr. Winningham made a motion to propose adding the new charge and Mr. Gaudiose seconded the motion, and the new charge was unanimously adopted.

Ms. Borchin asked if all essential charges could be grouped together at the beginning and all important charges grouped together at the end. Ms. Matthews said she would make this change. Ms. Matthews then asked for three sponsors for the charges. Kansas, Indiana, and New Hampshire agreed to be the official sponsors of the 2010 Task Force charges.

3. Discuss Biannual Information Systems Project Status Report

Denise Matthews (NAIC) reviewed the report on the status of the completed projects (Attachment Two-B). Some highlights from the discussion include:

Market Analysis Company Prioritization Tool (MAPT)

There have been a number of resources committed for this project, due to significant changes made based on migrating to the State Producer Licensing Reengineering (SPLR) infrastructure.

Market Analysis Review System (MARS)

System usage has decreased, but this was due to the Level 1 enhancement and Level 2 automation project changes that reduced the number of reviews required by incorporating multiple lines of business in a review. The Market Regulation and Consumer Affairs (D) Committee held a planning session in July, during which it was suggested that a group be formed to review this project in more detail.

Market Initiatives Tracking System (MITS)

The numbers have increased, and there was some discussion by the Market Regulation and Consumer Affairs (D) Committee and regulators that they would like to consider combining MITS and the Examination Tracking System (ETS).

Market Regulation Web Services

There was nothing new to report, but during the Market Regulation and Consumer Affairs Committee planning session a few regulators said they were not aware that this opportunity existed.

Online Fraud Reporting System (OFRS)

The industry numbers increased dramatically, but the consumer numbers decreased. The NAIC Legal Division has been working with the National Insurance Crime Bureau (NICB) to integrate their data with OFRS.

ClaimNet

There was nothing new to report.

Enhancement of Existing Confidentiality Solvency Tool

The number of hits increased, due to the annual statement blank changes that require formula modifications and associated testing. There is only one business type for this application area.

Global Receivership Information Database (GRID)

The number of GRID hits in I-SITE has increased, indicating the states are inputting information into GRID. Public hits have decreased dramatically. The reason for that is not known. The Receivership Technology and Administration (E) Working Group has approved enhancements over the next couple of years to incorporate aspects of the Uniform Receivership Internet Template into GRID.

Health Financial Analysis Handbook I-SITE Automation

There continues to be a support and maintenance commitment to this application attributed to changes in the annual and quarterly statement blanks that require formula modifications and associated testing.

TeamMate Citrix Server

This is up to 91 projects. Mr. Trivedi asked how performance is vs. hosting at a state site. Ms. Matthews said minor issues early on had been resolved and she had not heard any concerns in a long time. Mr. Woerman commented that the speed is going to be basically the same, regardless of whether the state hosts or the NAIC hosts, because the work is usually being conducted at the company site. The primary use of the TeamMate Citrix server is to use TeamMate when there are multiple people and/or states involved in an examination. Mr. Winningham said Arkansas at one time was loading TeamMate on the computers prior to an examination, but in recent years have moved to using Citrix in their office.

NAIC National Portal (Search Engine Phase)

This section of the project status report will be replaced with an ongoing update on the Google Search Engine (GSA). GSA is now in production and everything is running smoothly.

National Portal Framework (MyNAIC)

Hits and users have increased in all three categories.

Security Foundation Project Phase I – System Purchase and IS Application Pilot

Development of a Change Password process specifically for Web service IDs and a corresponding e-mail notification program have been completed. Mike Press (NAIC) said the system will send five notifications for expiring passwords: 30 days, 15 days, 10 days, 5 days, and one day prior to expiration. There is now the capability to include a primary e-mail address and three alternate e-mail addresses on those expiration notifications.

Mr. Press said the “forgot password” function is close to being implemented, and will be completed internally first, but will not be released until after the Aug. 28 single schema release. Initially, the “forgot password” was going to be rolled out to regulators before industry, but there are more password reset issues with the industry side, so this function will be implemented to the industry first on Sept. 17, and then to the regulators on Oct. 1.. Once the “forgot password” feature is functional, the first time I-SITE users log in they will be asked to choose their challenge questions. They will have to pick two different questions and answers. Once those challenge questions have been established, if a user forgets their password they can reset it by simply clicking the “forgot password” button and answering the challenge questions, as opposed to calling the NAIC Help Desk.

4. State Producer Licensing Reengineering Update from the Technical Consulting Working Group

Ms. Borchin reported that a conference call was held Aug. 12 to provide an overview of the State Producer Licensing Reengineering (SPLR) project to the Technical Consulting Working Group. During the call, Ms. Matthews said the NAIC and NIPR staff continue to make progress working toward an August release that moves a majority of the SPLR applications to the new infrastructure, running in production. There have been no significant changes to the plan since the last quarterly review. Ms. Matthews reviewed each SPLR project component with the Working Group and talked about some challenges that have come up and how those challenges are being addressed. She noted the increases in percentage complete for each component and that the “load processing framework” component has been completed since the last report. On the MIS/Market Analysis side, progress has been made and included with the next release are changes to point to the new SPLR single schema database and enhancements requested by the users. Ms. Matthews pointed out two areas of note: the State Contact applications and Examination Tracking System (ETS). The State Contact application is a major rewrite that involves a number of peripheral application changes. ETS is being impacted by indications that the financial and market regulators would like to see this split into two applications. Ms. Matthews also pointed out one other change, which is the move of the Common Architecture “proven” release to early third quarter, as opposed to late second quarter.

5. Discuss Business and Fiscal Impact Statement for Technical Consulting Working Group Review

Ms. Matthews said the Technical Consulting Working Group would be reviewing two BFIS proposal prior to the Fall National Meeting: Market Conduct Annual Statement and Complaint Code Handling.

Having no further business, the Information Systems (EX1) Task Force adjourned.

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2010 PROPOSED CHARGES

INFORMATION SYSTEMS (EX1) TASK FORCE

The mission of the Information Systems (EX1) Task Force is to provide regulator-based technology expertise to the Internal Administration (EX1) Subcommittee, and to support committee activities and objectives. This includes ensuring that the technology resources of the NAIC are deployed in such a manner to support the core values of service, results, value, and communication by:

- Being an innovator that provides state insurance department staff with quality products, programs and services that focus on streamlining the regulatory process and decreasing the overall cost of regulatory compliance to regulators, the regulated, and consumers.
- Providing products and services to facilitate and promote the communication of regulatory information and knowledge among insurance entities, with a minimum technology investment needed to integrate into legacy systems. These products and services will be driven by the business needs of the states as expressed through the various NAIC committees and prioritized by the Executive (EX) Committee.
- Embracing the technology direction established by the National Technical Architecture, and promulgated through the Task Force.

Ongoing Support of NAIC Programs, Products or Services:

1. Serve as the Internal Administration (EX1) Subcommittee's project independent technology monitor and consultant. This involves monitoring the development, deployment, and operation of information technology by and for the NAIC, and based on this effort providing reports and recommendations to the Subcommittee as appropriate. To achieve this, the Task Force will receive regular reports from the technology staff of each project.—*Essential*
2. Maintain and monitor the use of National Technical Architecture standards for State-Based Insurance Regulation.—*Essential*
3. Monitor the technical implementation of the MyNAIC.org production releases and continue to work with the business committees that might be exploring a new role. Monitor the utilization of the roles and analyze associated issues. Coordinate with the respective business areas regarding oversight, education, and promotion of these roles. In addition, oversee improvements to the search function and presentation.—*Essential*
4. Review, with technical recommendations for the Subcommittee, Business and Fiscal Impact Statements that involve technology being submitted to the Internal Administration (EX1) Subcommittee to ensure proposals meet the expectations for IT regulator review, to include placing special emphasis on promoting overall efficiencies of cost and operation and promoting interoperability among different systems; providing technology reports and recommendations as appropriate during NAIC Business and Fiscal Impact Statement approval process; and, if approved, thereafter monitoring implementation and ongoing effectiveness.—*Essential*
5. Provide consultation to the NAIC technology staff, and provide interpretation of intent and specific technology direction where needed. For example, from time to time, the staff may request approval of a specific technology approach, such as a proposal to drop support for a particular version of software. The Task Force will provide direction in such matters, either directly or through a working group.—*Essential*
6. The Task Force will only serve as a regulator sponsor for projects involving technology that supports the business areas of more than one other standing committee.—*Important*
7. Maintain a methodology for cost justification and prioritization of NAIC information technology projects, subject to approval by the Internal Administration (EX1) Subcommittee.—*Important*

2010 PROPOSED CHARGES

INFORMATION SYSTEMS (EX1) TASK FORCE

8. Monitor the organization and utilization of the NAIC Information Systems Division and the other NAIC information technology personnel and resources and, based on this effort, provide reports and recommendations to the Internal Administration (EX1) Subcommittee as appropriate. This will include review of technology planning documents.—
Important
9. Provide direction and oversight of the NAIC State Technology Survey.—*Important*
10. Provide regulator technology consultation to NAIC committees, task forces, and working groups as requested.—
Important

Sponsors for 2010 Charges *(Except as noted, I support all charges)*

Staff Support: Denise Matthews

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National Association of Insurance Commissioners

To: Information Systems (EX1) Task Force
From: Denise Matthews
Date: June 1, 2009
Re: Information Systems Division Project Status Report

This report includes a high-level status of completed Information Resources Management (H) Committee-approved projects by business area. Included are current issues, statistics through May 31, 2009, and statistics for the previous six-month periods.

Market Regulation and Consumer Affairs (D) Committee

Market Analysis Company Prioritization Tool (MAPT)

Approved: November 2005

Completed: October 2006

Time Period	System Usage	Maintenance/Support Staff Hours
October 2006 – November 2006	23	6
December 2006 – May 2007	423	123
June 2007 – November 2007	512	177
December 2007 – May 2008	466	37
June 2008 – November 2008	467	75.5
December 2008 – May 2009	561	426

Technical Issues:

The MAPT graphical user interface is undergoing re-engineering as part of the State Producer Licensing Re-engineering (SPLR) project. This application will be rewritten using Java Server Faces and incorporate various business requirement changes. This project is scheduled for release on Aug. 28.

Business Issues:

The primary business requirement changes involve adding Market Analysis Company Listing (MACL) data elements to MAPT so that MACL may be decommissioned, thus eliminating the maintenance of that system.

Architecture Changes:

The back-end process that builds the MAPT data-mart has been schema-qualified and moved to the new Itanium server for testing. In addition, the data-mart is undergoing changes for the SPLR project scheduled for release on Aug. 28.

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SECURITIES VALUATION OFFICE	48 Wall Street, 6th Floor	New York, NY 10005-2906	p 212 398 9000	f 212 382 4207

Market Analysis Review System (MARS)

Initial Release Approved: January 2005 Completed: July 2005
Enhancements Approved: September 2007 Completed: April 2009

Time Period	System Usage	Maint/Support Staff Hours
<i>December 2005 – May 2006</i>	8,068 hits (representing 53 jurisdictions)	35.5
<i>June 2006 – November 2006</i>	15,811 hits (representing 53 jurisdictions)	591
<i>December 2006 – May 2007</i>	18,933 hits (representing 53 jurisdictions)	56.5
<i>June 2007 – November 2007</i>	29,589 hits (representing 52 jurisdictions)	266
<i>December 2007 – May 2008</i>	28,603 hits (representing 53 jurisdictions)	724.25
<i>June 2008 – November 2008</i>	27,915 hits (representing 53 jurisdictions)	1,292.5
<i>December 2008 – May 2009</i>	22,206 hits (representing 51 jurisdictions)	634.0

Technical Issues:

The MARS Level 1 enhancement and Level 2 automation project was completed in April 2009. Various enhancements and performance tuning are ongoing. The Level 1 & Level 2 project reduced the number of reviews required by incorporating multiple lines of business in a review. It is expected that this will be reflected in lower system usage numbers.

Business Issues:

None.

Architecture Changes:

The MARS application has been schema-qualified as part of the consolidated schema SPLR project. These enhancements are in user-acceptance testing and are scheduled for release on Aug. 28.

Market Initiatives Tracking System (MITS)

Approved: August 2005 Completed: March 2006

Time Period	System Usage	Maint/Support Staff Hours
<i>March 2006 – May 2006</i>	192 hits	115
<i>June 2006 – November 2006</i>	907 hits	125
<i>December 2006 – May 2007</i>	465 hits	37.25
<i>June 2007 – November 2007</i>	1,525 hits	29
<i>December 2007 – May 2008</i>	1,370 hits	1.75
<i>June 2008 – November 2008</i>	1,343 hits	2
<i>December 2008 – May 2009</i>	1,800 hits	24.5

Technical Issues:

None.

Business Issues:

Activity from December 2008 to present included making minor improvements to the application and conducting follow-up on initiatives that have been open for more than a year.

Architecture Changes:

The MITS application has been schema-qualified as part of the consolidated schema SPLR project. These enhancements are in user-acceptance testing and are scheduled for release on Aug. 28.

Market Regulation Web Services

Approved: August 2006 Completed: September 2007

Time Period	System Usage	Maint/Support Staff Hours
September 2007 – November 2007	0	178
December 2007 – May 2008	0	63
June 2008 – November 2008	0	2
December 2008 – May 2009	0	5

Technical Issues:

None.

Business Issues:

To date, the Web services are only being utilized internally by the Examination Tracking System (ETS).

Architecture Changes:

The ETS and Common Entity Web services were migrated to Lightweight Directory Access Protocol (LDAP), Oracle Access Manager (OAM) and Oracle Application Server (OAS) as a part of the Technology Roll-Out Plan (TROP) conversion. These Web services are undergoing schema qualification for the consolidated schema project associated with SPLR, and scheduled for release on Aug. 28.

Online Fraud Reporting System (OFRS)

Initial Release Approved: November 2004 Completed: December 2005

Enhancements Approved: September 2007 Completed: August 2008

Time Period	System Usage for report submission	Maint/Support Staff Hours	States Indicating Use of Web Service**
December 2005 – May 2006	478 Industry, 430 Consumer	304	AK, IA, IN, LA, MD, MN, NM, NV, OH, OK, TX, WV
June 2006 – November 2006	639 Industry, 189 Consumer	292.5	AR, DC, GA, IA, KS, MA, MD, OH, TX
December 2006 – May 2007	2,646 Industry, 452 Consumer	99	AR, MA, MD, OH, TX
June 2007 – November 2007	2,520 Industry, 498 Consumer	138	AR, MA, MD, OH
December 2007 – May 2008	2,532 Industry, 478 Consumer	573	AR, GA, MA, MD, OH
June 2008 – November 2008	4,154 Industry, 634 Consumer	425	AR, GA, MA, MD, OH
December 2008 – May 2009*	5,898 Industry, 542 Consumer	690.5	AR, GA, MA, MD, OH

Technical Issues:

Conversion of OFRS user IDs from Oracle tables to LDAP is under way.

Business Issues:

Changes to the OFRS front page layout have completed user-acceptance testing and are in ISQA testing.

Architecture Changes:

The OFRS Web services for storing and retrieving data from the OFRS database were converted for TROP. Beta testing with the National Insurance Crime Bureau (NICB) is under way. The OFRS graphical user interface TROP conversion is scheduled for release in June.

Financial Condition (E) Committee

ClaimNet

Approved: December 2004 Completed: December 2006

Time Period	System Usage Claims Submitted / Claim Form Requests	Maint/Support Staff Hours
<i>December 2006 – May 2007</i>	19 / 4	751.5
<i>June 2007 – November 2007</i>	329 / 57	343.5
<i>December 2007 – May 2008</i>	332 / 166	65.5
<i>June 2008 – November 2008</i>	345 / 53	14.5
<i>December 2008 – May 2009</i>	53 / 3	74

Technical Issues:

None.

Business Issues:

None.

Architecture Changes:

The ClaimNet graphical user interface and Web service reference implementations are undergoing changes required for TROP. These changes are schedule to be available for user testing with Florida in late summer 2009.

Enhancement of Existing Confidentiality Solvency Tool

Approved: April 2007 Completed: March 2008

Time Period	System Usage	Maint/Support Staff Hours
<i>March 2008 – May 2008</i>	381 hits	0
<i>June 2008 – November 2008</i>	245 hits	0
<i>December 2008 – May 2009</i>	457 hits	77.5

Technical Issues:

None.

Business Issues:

The maintenance and support hours are primarily attributed to annual statement blank changes that require formula modifications and associated testing.

Architecture Changes:

None.

Global Receivership Information Database (GRID)

Approved: September 2003 Completed: December 2004

Time Period	System Usage	Maint/Support Staff Hours
<i>December 2005 – May 2006</i>	I-SITE 6,521 hits	235.5
<i>June 2006 – November 2006</i>	I-SITE 22,940 hits	225.5
<i>December 2006 – May 2007</i>	I-SITE 33,433 hits	252.5
<i>June 2007 – November 2007</i>	I-SITE 16,945 hits	204.5
<i>December 2007 – May 2008</i>	I-SITE 23,743 hits Public 5,411 hits	339.5
<i>June 2008 – November 2008</i>	I-SITE 10,709 hits Public 9,663 hits	12.5
<i>December 2008 – May 2009</i>	I-SITE 15,151 hits Public 3,950 hits	71.5

Technical Issues:

None.

Business Issues:

All states are participating in the voluntary database and have substantially completed elements requested for Phase I and Phase II. The Receivership Technology and Administration (E) Working Group has approved enhancements over the next years to incorporate aspects of the Uniform Receivership Internet Template into GRID in order to eliminate the burden each state would need to incur with their respective Web sites to seek compliance with the guidance.

Architecture Changes:

None.

Health Financial Analysis Handbook I-SITE Automation

Approved: May 2004 Completed: February 2006

Time Period	System Usage	Maint/Support Staff Hours
<i>February 2006 – May 2006</i>	4,080 hits	77
<i>June 2006 – November 2006</i>	4,416 hits	44.75
<i>December 2006 – May 2007</i>	4,712 hits	290.75
<i>June 2007 – November 2007</i>	5,585 hits	89.5
<i>December 2007 – May 2008</i>	7,381 hits	148.5
<i>June 2008 – November 2008</i>	5,696 hits	107.75
<i>December 2008 – May 2009</i>	9,002 hits	109.25

Technical Issues:

None.

Business Issues:

The maintenance and support hours are primarily attributed to changes to the annual and quarterly statement blanks that require formula modifications and associated testing.

Architecture Changes:

None.

TeamMate Citrix Server

Approved: July 2004

Completed: March 2005

As of Date	Total Accounts	Projects on Server	Space Utilized on NAS	Avg. Concurrent Users	Budgeted Concurrent Connections
June 1, 2006	241	42	15 GB	44	
December 1, 2006	259 (25 states, 7 consulting firms)	60	26.8 GB	60	60
May 29, 2007	213 (25 states, 12 consulting firms)	52	40.2 GB	60	70
November 14, 2007	281 (23 states, 15 consulting firms)	57	53 GB	52	90
April 30, 2008	186 (26 states, 15 consulting firms)	60	41.6 GB	54	90
December 1, 2008	263 (30 states, 19 consulting firms)	82	60.8 GB	52	90
June 1, 2009	310 (33 states, 25 consulting firms)	91	54 GB	71	90

Technical Issues:

None.

Business Issues:

None.

Architecture Issues:

None.

Information Systems (EX1) Task Force

NAIC National Portal (Search Engine Phase)

Approved: October 2003

Completed: March 2005

Time Period	Number of Users	Average User Time	Total # of Queries	Ave # of Queries per User	Maint/Support Staff Hours
December 2005 – May 2006	61,647	3.22 minutes	193,019	3.13	74
June 2006 – November 2006	62,128	3.35 minutes	189,711	3.05	60
December 2006 – May 2007	62,645	2.82 minutes	181,415	2.9	87
June 2007 – November 2007	67,992	2.83 minutes	190,949	2.81	60.5
December 2007 – May 2008	71,479	2.42 minutes	177,061	2.48	277
June 2008 – November 2008	64,166	1.75 minutes	119,177	1.86	134
December 2008 – May 2009	68,954	1.62 minutes	128,951	1.87	25

Technical Issues:

None.

Business Issues:

The current version of the autonomy search engine will no longer be supported after 2009. The cost to upgrade to the next version will exceed \$150,000. A Business Fiscal Impact Statement (BFIS) was submitted and approved to purchase the Google Search Appliance. It is being implemented and scheduled for a June 30, 2009, go-live (production) date.

Architecture Changes:
None.

National Portal Framework (MyNAIC)

Phase II – Approved: November 2005 Completed: December 2006
Phase III – Approved: August 2006 Completed: November 2007

Time Period	Regulator Common Role	Regulator Financial Role	Regulator Market Role	Maint/Support Staff Hours
<i>December 2007 – May 2008</i>	586 distinct users 11,631 hits	151 distinct users 3,101 hits	106 distinct users 750 hits	1230
<i>June 2008 – November 2008</i>	639 distinct users 10,295 hits	151 distinct users 3,722 hits	105 distinct users 892 hits	286
<i>December 2008 – May 2009</i>	1192 distinct users 15,666 hits	168 distinct users 4,441 hits	136 distinct users 1,435 hits	27

Technical Issues:
A new QA instance is being developed, with a new DVLP instance to follow.

Business Issues:
None.

Architecture Changes:
None.

Security Foundation Project Phase I – System Purchase and IS Application Pilot

Approved: November 2005 Completed: June 2007

Time Period	Maint/Support Staff Hours
<i>June 2007 – November 2007</i>	974.5
<i>December 2007 – May 2008</i>	1,282
<i>June 2008 – November 2008</i>	279
<i>December 2008 – May 2009</i>	910

Technical Issues:
Development of a styled Change Password page was completed in April 2009. This functionality ensures that the business area (NAIC, NIPR) for which the user is changing their password is carried forward to the Change Password page.

Development of a Change Password function specifically for Web service IDs, and a corresponding e-mail notification program, is nearing completion, and is expected to be completed by the end of July 2009. The notification module will alert the owner of the Web service ID that their password will expire 30, 15, 5, and 1 day(s) prior to expiration.

Business Issues:
Analysis and development for single sign-on continues. Single sign-on functionality will allow users to sign on to multiple applications with a single user ID. A prototype was made available in May and analysis will continue through the third quarter of 2009.

Development of a “forgot password” function, which allows users the ability to reset their own password(s) based on a set of challenge questions/responses, was completed and this functionality is currently being tested, with implementation expected to begin in July 2009. Implementation will be in phases, beginning with NAIC/NIPR/IIPRC staff, followed by state regulators and then external users.

Development of reports to assist the Security Administration team with ID maintenance and general audit reporting will no longer be pursued as a result of additional auditing and reporting capabilities that will be provided through Oracle Identity Manager (OIM), expected to be implemented by the end of the third quarter of 2009.

Architecture Changes:

None

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