Example 1

Example 1					
Question	Text	Question Point Value	Mandatory	Provisional	Question Score
Requirement 1					
	Does the department have the general authority to collect and analyze information				
1a	whenever it is deemed necessary?	Yes = 50	Yes		50
	Is the department's authority broad enough				
1b	to cover these market regulation activities?	Yes = 25		No	0
	If the department has authority specific to				
1c	any of these itemized activities, please provide the citation:	Not Required			
Requirement 2	provide the citation.	Not nequired			
Requirement 2	Does the department have authority by				
	statute, rule or other authority to utilize the Market Regulation Handbook or its				
2a	predecessor/successor?	Yes = 50	Yes		50
	When conducting examinations or				
	continuum activities, does the department				
	incorporate applicable Market Regulation				
	Handbook review standards and related				
2b	materials to the extent they are consistent with state laws?	Yes = 50	Yes		50
20	Does the department have examination-	165 – 30	res		30
	specific policies and procedures in addition				
	to those guidelines set forth in the Market				
	Regulation Handbook or its				
2c	predecessor/successor? If Yes:	Yes = 50	Yes		50
	Is the jurisdiction able to demonstrate that				
	it has followed its own established policies				
	and procedures in adopting any process				
	that deviates from the Market Regulation				
	Handbook, including review and				
2c1	concurrence by a department's legal staff member?	Yes or NA = 50	Yes		50
201	member:	res or INA = 50	res		50
Requirement 3					
	Does the department have analysts on staff				
	or under contract whose responsibility is to				
	conduct market analysis of insurers doing				
3a	business in the state?	Yes=25		No	0
	If the department utilizes contract analysts,				
	please describe in a separate attachment				
3b	the manner and extent of utilization in the department's recent activities.				
30	Indicate below the number of contract and				
	staff analysts, and supervisors for each of				
3c	the last three years.				
	Does the department have examiners on				
	staff whose responsibility is to examine				
	and/or conduct continuum actions of				
	insurance companies as indicated by the				
	department's market analysis or as				
3d	prescribed by state laws?	Yes=25		No	0
	Does the department utilize contract examiners to examine and/or conduct				
	continuum actions of insurance companies				
	as indicated by the department's market				
3e	analysis or as prescribed by state laws?	Yes=25		No	0
	If the department utilizes contractual				
	examiners, please describe in a separate				
	attachment the manner and extent of				
	utilization in the department's recent				
3f	activities				

	Indicate below the number of full-time			
	market examiners, including supervisory			
	personnel on the department's staff and/or			
	the number of individual contract			
	examiners used compared to the last three			
	years. For contract examiners convert the			
	number of contract hours to a full-time			
	equivalent employee position. Also list your			
	jurisdiction's premium volume for any and			
	all examinations or actions written in the			
3g	most recently completed year.			
	As a separate attachment, provide a list of			
	market examiners that includes the			
	following: name; professional			
	designation(s); title; years employed by the			
	department (include functional area); type			
	of college degree; and prior regulatory or			
	insurance experience. Also indicate those			
	market conduct examiners that are			
	contractual and whether each is full-time			
3h	with the department			
	Does the department have established			
	staffing policies and procedures, subject to			
	periodic review and updates, for identifying			
	and addressing market conduct issues			
	through the use of market analysis and			
	market conduct continuum activities,			
2:	including examinations?	Voc-2F	No	0
3i	o .	Yes=25	No	U
	If the answer to item 3i. is "Yes," what			
	quantitative and subjective measurements			
	are available to evaluate the department's			
	achievement of such policies and			
3j	procedures?			
	Has the department performed any			
	targeted exams or continuum actions in the			
3k	prior two years?	Yes=25	No	0
	If the answer to item 3k. is "Yes," please			
	provide a list of such exams or market			
	continuum actions and the scope of the			
31	exams/actions.			
	If the answer to item 3k. is "No," does the			
	department have the onstaff resources or			
	the ability to contract additional resources			
	to perform targeted exams/actions, if			
3m	deemed necessary?	Yes=25	No	0
	Does the department have the authority to			
	hire contractors as specialists to perform			
3n	market regulation?	Yes=25	No	0
311	market regulation:	163-23	NO	U
	If the department has authority to hire			
	contractors, does it have either a statewide			
	or departmental established process it			
	·			
2 -	follows for selecting contractors for market	V 25	NI -	_
30	regulation purposes? Briefly explain	Yes=25	No	0
2.	Does the department oversee and manage	V 25	M	
3p	contractors?	Yes=25	No	0
	Does the department have the appropriate	v		
3q	staff to oversee and manage contractors?	Yes=25	No	0
	Based on the review of staff resources,			
	please provide an explanation of any			
	significant changes in resources and/or			
	workload over the three-year period			
3r	covered in the data above.			
Requirement 4				
	Does the department have a policy or			
	procedure in place on necessary credentials			
	or minimum educational and experience			
	requirements for selecting and hiring staff			
4a	and contractors?	Yes=25	No	0

	Does the department have a staff				
	development program that encourages and				
	financially supports educational and				
	training pursuits, including training, courses,				
4b	webinars and certifications offered by the NAIC?	Yes=25		No	0
40	Does the department determine the	163-23		NO	0
	composition of members of an examination				
4c	team?	Yes=25		No	0
 C	team.	103-23		NO .	U
	Is the Examiner in charge making progress				
4d	towards completion of noted designations?	Yes=25		No	0
	·				
	Does the department recognize licenses and				
	other highly technical credentials of				
	professionals and experts such as attorneys,				
	actuaries, cybersecurity experts, certified				
	public accountants, information technology				
	(IT) experts and other professionals and				
	specialists as qualified to perform certain				
4e	market regulation activities?	Yes=25		No	0
	Does the department maintain written				
	procedure manuals to demonstrate a				
4f	succession plan?	Yes=25		No	0
Requirement 5					
	Does the jurisdiction have laws, regulations				
	or case law that specify how the				
F	confidentiality of market conduct	V F0	V		F0
5a	examination workpapers is to be handled? Has the jurisdiction entered into the Multi-	Yes=50	Yes		50
	State InformationSharing Agreement with				
5b	other jurisdictions and the NAIC?	Yes=50	Yes		50
30	Does the jurisdiction have written policies	163-30	163		30
	and procedures and has communicated				
	such policies and procedures to employees				
	relating to the protection of confidential				
	information which includes PII and PHI,				
	handling of public records requests and				
	requirements for confidentiality				
	agreements when it becomes necessary to				
	share confidential information with other				
	federal and international regulatory or law				
	enforcement agencies, not otherwise				
	covered by				
	the multi-state agreement?				
5c	Dana tha invitadistica le construit	Yes=50	Yes		50
	Does the jurisdiction have a records				
	retention schedule which outlines plans for secure storage and timeline for destruction				
5d	of work papers?	Yes=50	Yes		50
Requirement 6	or work papers:	103-30	163		30
cquirement 0	Has the department adopted the Market				
	Regulation Handbook and the Market				
	Actions (D) Working Group Policies and				
	Procedures or are the department's policies				
	and procedures consistent with those in the				
	Market Regulation Handbook and the				
	Market Actions (D) Working Group Policies				
6a	and Procedures?	Yes=50	Yes		50
	If the department identified a potential				
	collaborative action, did the department				
	notify all CADs—via meeting, bulletin board				
	or other communication—of the activities				
CI.	identified that may have the potential for	V 25		N	
6b	collaboration?	Yes=25		No	0

	If the department received a positive				
	response to its inquiries to other CADs				
	regarding a potential collaborative action,				
	did the department refer the action to				
	Market Actions (D) Working Group using the				
	reporting procedures outlined in the				
	Market Actions (D) Working Group Policies				
	and Procedures, including completing the Request for Review form and submitting the				
6c	form to the designated NAIC support staff?			No	0
	If the response to item 6a., item 6b., item	1.03 23			
	6c. or item 6d. is "No," please provide a				
6d	brief explanation	Yes=25		No	0
	Does the department have written				
	procedures for reviewing and evaluating its participation in potential collaborative				
	actions brought to its attention, either				
	through the Market Actions (D) Working				
6e	Group or by another department?	Yes=50	Yes		50
	If the department declined to participate in				
	a collaborative action, has the department				
6f	provided a response to the Market Actions (D) Working Group regarding its decision?	Yes=25		No	0
<u>.</u>	If the response to item 6e. or item 6f. is	165 25			
6g	"No," please provide a brief explanation.				
Requirement 7					
	Desemble demanture of mention alimitate				
7a	Does the department require eligible companies to file the MCAS with the NAIC?	Voc=25		No	0
7 u	Does the department require that the	103-25		NO	O .
	MCAS be prepared in accordance with the				
7b	NAIC MCAS user guides and instructions?	Yes=25		No	0
	Does the department require such				
70	companies to file the MCAS in an electronic format acceptable to the NAIC?	Voc-2F		No	0
7c	Does the department utilize the data	Yes=25		No	U
	obtained from the MCAS for market				
	analysis? (Examples of utilization include,				
	but are not limited to, such activities as				
7d	performing baseline or Level 1 analysis.)	Yes=25		No	0
Requirement 8	Does the department enter or transmit data				
8a	at least quarterly into the CDS?	Yes=50	Yes		50
	Does the department enter or transmit data				
8b	at least quarterly into RIRS?	Yes=50	Yes		50
	Does the department enter continuum actions into the appropriate NAIC database				
	(MATS/RIRS) when initiated and the				
	resulting applicable final status reports or				
8c	updates (if applicable) at least quarterly?	Yes=25		No	0
	Did the department initiate an examination				
	of a regulated entity during the most	v a=			
8d	current certification period?	Yes=25		No	0
	If the answer to item 8d. is "Yes," was the				
	examination entered into MATS at least 45				
	days before the start of the examination or				
	at least 60 days before the start of the on-				
	site examination as set forth in the Market				
	Regulation Handbook? (Note: The start of the examination is the date the department				
	began work on the examination materials				
8e	received from the examined entity.)	Yes=25		No	0
	If the answer to item 8a., item 8b., item 8c.,				
0.5	item 8d. or item 8e. is "No," please provide				
8f Requirement 9	an explanation.				
nequirement 9					

	Does the department participate in or				
	monitor the Market Analysis Procedures (D)				
	Working Group as a working group member				
	or interested regulator either by conference				
9a	calls or by attending meetings?	Yes=25		No	0
	Does the department participate in or				
	monitor the Market Conduct Examination				
	Standards (D) Working Group as a working				
	group member or interested regulator				
	either by conference calls or by attending				
9b	meetings?	Yes=25		No	0
	Who in the department, by functional title,				
	participates in or monitors the Market				
9c	Analysis Procedures (D) Working Group?				
	Who in the department, by functional title,				
	participates in or monitors the Market				
	Conduct Examination Standards (D)				
9d	Working Group?				
3 u					
	List any other market conduct or market				
	analysis-related working groups and/or task				
	forces that your department participates in				
9e	or monitors.				
Requirement 10					
10a	Has the department appointed a CAD?	Yes=50	Yes		50
	Has the department appointed a CAD				
10b	alternate?	Yes=25		No	0
	Does the CAD and/or CAD alternate attend				
	at least 50% of all meetings and conference				
	calls of the Market Actions (D) Working				
10c	Group?	Yes=25		No	0
	Does the Market Actions (D) Working Group				
	member, CAD and/or CAD alternate actively				
10d	monitor the bulletin board discussions?	Yes=25		No	0
Requirement 11		100 20			
requirement 11					
	Does your state participate in the review of				
112	national analysis data on an annual basis?	Yes=25		No	0
11a	·	162-25		INO	U
	Who in the department, by functional title,				
	participates in the annual national analysis				
11b	project?				
	Does your state participate in one national				
	analysis team at least every other year?Has				
	the department established procedures to				
	ensure participation on a national analysis				
11c	team at least every other year?	Yes=25		No	0
	Who in the department, by functional title,				
	participates on a national analysis team at				
11d	least every other year?	Yes=25			
Requirement 12					
	Has the department established procedures				
	for the market analysis chief (MAC), or				
	appropriate designee, to communicate				
	interdepartmentally with the appropriate				
	staff, either through written channels or by				
	sufficient demonstration of action (such as				
	· ·				
	regularly scheduled department head				
	meetings, department managers' meetings,				
	or information requests to other areas of				
12a	the department?	Yes=50	Yes		50

12b	Does the MAC, or appropriate designee provide the appropriate interdepartmental staff with market concerns such as, but not limited to, financial data, consumer complaints, policy termination activity, producer misconduct or use of noncompliant forms or rates, related to the following functional areas: i. Consumer Services ii. Enforcement iii. Legal iv. Forms and Filing v. Financial vi. Market Analysis vii. Market Conduct	Yes=50	Yes		50
120	VII. Walket conduct	163-30	163		30
	On a quarterly basis, does the MAC, or appropriate designee, solicit information from the above functional areas regarding adverse patterns on, but not limited to, financial data, consumer complaints, policy termination activity, producer misconduct,				
12c	or use of noncompliant forms or rates?	Yes=50	Yes		50
Certification Score Tota					850
Total Points Possible					1725
Score					49.28%
Pass/NoPass				No Pass	43.2070
Points needed to pass			1207.5		

Exa		

Example 2					
Question	Text	Question Point Value	Mandatory	Provisional	Question Score
Requirement 1					
	Does the department have the general authority to collect and analyze information				
1a	whenever it is deemed necessary?	Yes = 50	Yes		50
a la	Is the department's authority broad enough	V 25		w	25
1b	to cover these market regulation activities?	Yes = 25		Yes	25
1c	If the department has authority specific to any of these itemized activities, please provide the citation:	Not Required			
Requirement 2	provide the ditation.	Not nequired			
requirement 2	Does the department have authority by statute, rule or other authority to utilize the Market Regulation Handbook or its				
2a	predecessor/successor?	Yes = 50	Yes		50
	When conducting examinations or continuum activities, does the department incorporate applicable Market Regulation Handbook review standards and related materials to the extent they are consistent				
2b	with state laws?	Yes = 50	Yes		50
	Does the department have examination- specific policies and procedures in addition to those guidelines set forth in the Market Regulation Handbook or its				
2c	predecessor/successor? If Yes:	Yes = 50	Yes		50
	Is the jurisdiction able to demonstrate that it has followed its own established policies and procedures in adopting any process that deviates from the Market Regulation Handbook, including review and concurrence by a department's legal staff				
2c1	member?	Yes or NA = 50	Yes		50
Requirement 3					
requirement 3	Does the department have analysts on staff or under contract whose responsibility is to conduct market analysis of insurers doing				
3a	business in the state?	Yes=25		Yes	25
	If the department utilizes contract analysts, please describe in a separate attachment the manner and extent of utilization in the				
3b	department's recent activities.				
20	Indicate below the number of contract and staff analysts, and supervisors for each of the last three years.				
3c	Does the department have examiners on staff whose responsibility is to examine and/or conduct continuum actions of insurance companies as indicated by the department's market analysis or as				
3d	prescribed by state laws?	Yes=25		Yes	25
20	Does the department utilize contract examiners to examine and/or conduct continuum actions of insurance companies as indicated by the department's market applying or an experience by the state laws?	Voc2F		Voc	25
3e	analysis or as prescribed by state laws?	Yes=25		Yes	25
	If the department utilizes contractual examiners, please describe in a separate attachment the manner and extent of utilization in the department's recent				
3f	activities				

	Indicate below the number of full-time			
	market examiners, including supervisory			
	personnel on the department's staff and/or			
	the number of individual contract			
	examiners used compared to the last three			
	years. For contract examiners convert the			
	number of contract hours to a full-time			
	equivalent employee position. Also list your			
	jurisdiction's premium volume for any and			
2~	all examinations or actions written in the most recently completed year.			
3g	As a separate attachment, provide a list of			
	market examiners that includes the			
	following: name; professional			
	designation(s); title; years employed by the			
	department (include functional area); type			
	of college degree; and prior regulatory or			
	insurance experience. Also indicate those			
	market conduct examiners that are			
	contractual and whether each is full-time			
3h	with the department			
	Does the department have established			
	staffing policies and procedures, subject to			
	periodic review and updates, for identifying			
	and addressing market conduct issues			
	through the use of market analysis and			
	market conduct continuum activities,	v 05	.,	
3i	including examinations?	Yes=25	Yes	25
	If the answer to item 3i. is "Yes," what			
	quantitative and subjective measurements are available to evaluate the department's			
	achievement of such policies and			
3 j	procedures?			
J	Has the department performed any			
	targeted exams or continuum actions in the			
3k	prior two years?	Yes=25	Yes	25
	If the answer to item 3k. is "Yes," please			
	provide a list of such exams or market			
	continuum actions and the scope of the			
31	exams/actions.			
	If the answer to item 3k. is "No," does the			
	department have the onstaff resources or			
	the ability to contract additional resources			
	to perform targeted exams/actions, if			
3m	deemed necessary?	Yes=25	Yes	25
	Does the department have the authority to			
25	hire contractors as specialists to perform market regulation?	Voc-2F	Voc	25
3n	market regulation:	Yes=25	Yes	25
	If the department has authority to hire			
	contractors, does it have either a statewide			
	or departmental established process it			
	follows for selecting contractors for market			
30	regulation purposes? Briefly explain	Yes=25	Yes	25
	Does the department oversee and manage			
3p	contractors?	Yes=25	Yes	25
	Does the department have the appropriate			
3q	staff to oversee and manage contractors?	Yes=25	Yes	25
	Based on the review of staff resources,			
	please provide an explanation of any			
	significant changes in resources and/or			
2-	workload over the three-year period			
3r	covered in the data above.			
Requirement 4	Does the department have a policy or			
	procedure in place on necessary credentials			
	or minimum educational and experience			
	requirements for selecting and hiring staff			
	and contractors?	Yes=25	Yes	25
4a				

	Does the department have a staff				
	development program that encourages and				
	financially supports educational and				
	training pursuits, including training, courses,				
Al-	webinars and certifications offered by the	V 25		Vaa	25
4b	NAIC?	Yes=25		Yes	25
	Does the department determine the				
	composition of members of an examination	v 05		.,	25
4c	team?	Yes=25		Yes	25
	Is the Examiner in charge making progress				
4d	towards completion of noted designations?	Yes=25		No	0
	Does the department recognize licenses and				
	other highly technical credentials of				
	professionals and experts such as attorneys,				
	actuaries, cybersecurity experts, certified				
	public accountants, information technology				
	(IT) experts and other professionals and				
	specialists as qualified to perform certain				
4e	market regulation activities?	Yes=25		Yes	25
	Does the department maintain written				
	procedure manuals to demonstrate a				
4f	succession plan?	Yes=25		No	0
Requirement 5					
	Does the jurisdiction have laws, regulations				
	or case law that specify how the				
	confidentiality of market conduct				
5a	examination workpapers is to be handled?	Yes=50	Yes		50
	Has the jurisdiction entered into the Multi-				
	State InformationSharing Agreement with				
5b	other jurisdictions and the NAIC?	Yes=50	Yes		50
	Does the jurisdiction have written policies				
	and procedures and has communicated				
	such policies and procedures to employees				
	relating to the protection of confidential				
	information which includes PII and PHI,				
	handling of public records requests and				
	requirements for confidentiality				
	agreements when it becomes necessary to				
	share confidential information with other				
	federal and international regulatory or law				
	enforcement agencies, not otherwise				
	covered by				
	the multi-state agreement?				
5c	the matti state agreement:	Yes=50	Yes		50
30	Does the jurisdiction have a records	103-30	103		30
	retention schedule which outlines plans for				
	secure storage and timeline for destruction				
5d	of work papers?	Yes=50	Yes		50
Requirement 6	or work papers:	103-30	103		30
nequirement 0	Has the department adopted the Market				
	Regulation Handbook and the Market				
	Actions (D) Working Group Policies and				
	Procedures or are the department's policies				
	and procedures consistent with those in the				
	Market Regulation Handbook and the				
60	Market Actions (D) Working Group Policies and Procedures?	Voc-FO	Voc		50
6a		Yes=50	Yes		50
	If the department identified a potential				
	collaborative action, did the department				
	notify all CADs—via meeting, bulletin board				
	or other communication—of the activities				
CI.	identified that may have the potential for	V - 25		NI.	
6b	collaboration?	Yes=25		No	0

	If the department received a positive				
	response to its inquiries to other CADs				
	regarding a potential collaborative action,				
	did the department refer the action to				
	Market Actions (D) Working Group using the				
	reporting procedures outlined in the				
	Market Actions (D) Working Group Policies				
	and Procedures, including completing the				
Go	Request for Review form and submitting the	Voc-2E		No	0
6c	form to the designated NAIC support staff? If the response to item 6a., item 6b., item	TeS=25		No	U
	6c. or item 6d. is "No," please provide a				
6d	brief explanation	Yes=25		No	0
	Does the department have written				
	procedures for reviewing and evaluating its				
	participation in potential collaborative				
	actions brought to its attention, either				
6e	through the Market Actions (D) Working Group or by another department?	Yes=50	Yes		50
oe .	Group or by another department:	165-30	ies		30
	If the department declined to participate in				
	a collaborative action, has the department				
	provided a response to the Market Actions				
6f	(D) Working Group regarding its decision?	Yes=25		No	0
	If the response to item 6e. or item 6f. is				
6g	"No," please provide a brief explanation.				
Requirement 7					
	Does the department require eligible				
7a	companies to file the MCAS with the NAIC?	Yes=25		No	0
	Does the department require that the				
	MCAS be prepared in accordance with the				
7b	NAIC MCAS user guides and instructions?	Yes=25		No	0
	Does the department require such				
7c	companies to file the MCAS in an electronic format acceptable to the NAIC?	Yes=25		No	0
/C	Does the department utilize the data	TeS=25		INO	U
	obtained from the MCAS for market				
	analysis? (Examples of utilization include,				
	but are not limited to, such activities as				
7d	performing baseline or Level 1 analysis.)	Yes=25		No	0
Requirement 8	Dear the description of control of the				
8a	Does the department enter or transmit data at least quarterly into the CDS?	Yes=50	Yes		50
Od	Does the department enter or transmit data	163-30	163		30
8b	at least quarterly into RIRS?	Yes=50	Yes		50
	Does the department enter continuum				
	actions into the appropriate NAIC database				
	(MATS/RIRS) when initiated and the				
96	resulting applicable final status reports or updates (if applicable) at least quarterly?	Yes=25		No	0
8c	Did the department initiate an examination	103-23		140	0
	of a regulated entity during the most				
8d	current certification period?	Yes=25		No	0
	If the answer to item 8d. is "Yes," was the				
	examination entered into MATS at least 45				
	days before the start of the examination or at least 60 days before the start of the on-				
	site examination as set forth in the Market				
	Regulation Handbook? (Note: The start of				
	the examination is the date the department				
	began work on the examination materials				
8e	received from the examined entity.)	Yes=25		No	0
	If the answer to item 8a., item 8b., item 8c.,				
Of.	item 8d. or item 8e. is "No," please provide				
8f Requirement 9	an explanation.				
Requirement 9					

	Does the department participate in or				
	monitor the Market Analysis Procedures (D)				
	Working Group as a working group member				
	or interested regulator either by conference				
9a	calls or by attending meetings?	Yes=25		No	0
	Does the department participate in or				
	monitor the Market Conduct Examination				
	Standards (D) Working Group as a working				
	group member or interested regulator				
	either by conference calls or by attending				
9b	meetings?	Yes=25		No	0
	Who in the department, by functional title,				
	participates in or monitors the Market				
9c	Analysis Procedures (D) Working Group?				
	Who in the department, by functional title,				
	participates in or monitors the Market				
	Conduct Examination Standards (D)				
9d	Working Group?				
Ju	List any other market conduct or market				
	analysis-related working groups and/or task				
	forces that your department participates in				
9e	or monitors.				
Requirement 10					
10a	Has the department appointed a CAD?	Yes=50	Yes		50
	Has the department appointed a CAD				
10b	alternate?	Yes=25		No	0
	Does the CAD and/or CAD alternate attend				
	at least 50% of all meetings and conference				
	calls of the Market Actions (D) Working				
100	Group?	Yes=25		No	0
10c	Gloup:	165-25		No	U
	Does the Market Actions (D) Working Group				
	member, CAD and/or CAD alternate actively				
10d	monitor the bulletin board discussions?	Yes=25		No	0
Requirement 11					
	Does your state participate in the review of				
11a	national analysis data on an annual basis?	Yes=25		No	0
	Who in the department, by functional title,				
	participates in the annual national analysis				
114					
11b	project?				
	Does your state participate in one national				
	analysis team at least every other year?Has				
	the department established procedures to				
	ensure participation on a national analysis				
11c	team at least every other year?	Yes=25		No	0
	Who in the department, by functional title,				
	participates on a national analysis team at				
114	least every other year?	Voc-2E			
11d	icast every other year!	Yes=25			
Requirement 12					
	Harden dans dans da a 1811 de la				
	Has the department established procedures				
	for the market analysis chief (MAC), or				
	appropriate designee, to communicate				
	interdepartmentally with the appropriate				
	staff, either through written channels or by				
	sufficient demonstration of action (such as				
	regularly scheduled department head				
	meetings, department managers' meetings,				
	or information requests to other areas of				
12a	the department?	Yes=50	Yes		50

	Does the MAC, or appropriate designee provide the appropriate interdepartmental staff with market concerns such as, but not limited to, financial data, consumer complaints, policy termination activity, producer misconduct or use of noncompliant forms or rates, related to the following functional areas: i. Consumer Services ii. Enforcement iii. Legal iv. Forms and Filing v. Financial				
12b	vi. Market Analysis vii. Market Conduct	Yes=50	Yes		50
	On a quarterly basis, does the MAC, or appropriate designee, solicit information from the above functional areas regarding adverse patterns on, but not limited to, financial data, consumer complaints, policy termination activity, producer misconduct,				
12c	or use of noncompliant forms or rates?	Yes=50	Yes		50
Certification Score Total					1225
Total Points Possible					1725
Score					71.01%
Pass/NoPass				Pass	
Points needed to pass			1207.5		

Example 3

Example 3					
Question	Text	Question Point Value	Mandatory	Provisional	Question Score
Requirement 1					
·	Does the department have the general authority to collect and analyze information				
1a	whenever it is deemed necessary?	Yes = 50	Yes		50
a l	Is the department's authority broad enough			V.	25
1b	to cover these market regulation activities?	Yes = 25		Yes	25
1c	If the department has authority specific to any of these itemized activities, please provide the citation:	Not Paguirod			
	provide trie citation.	Not Required			
Requirement 2					
	Does the department have authority by statute, rule or other authority to utilize the Market Regulation Handbook or its				
2a	predecessor/successor?	Yes = 50	Yes		50
	When conducting examinations or				
	continuum activities, does the department incorporate applicable Market Regulation Handbook review standards and related materials to the extent they are consistent				
2b	with state laws?	Yes = 50	Yes		50
	Does the department have examination- specific policies and procedures in addition to those guidelines set forth in the Market Regulation Handbook or its				
2c	predecessor/successor? If Yes:	Yes = 50	Yes		50
	Is the jurisdiction able to demonstrate that it has followed its own established policies and procedures in adopting any process that deviates from the Market Regulation Handbook, including review and concurrence by a department's legal staff				
2c1	member?	Yes or NA = 50	Yes		50
Requirement 3					
Requirement 5	Doos the department have analysts on staff				
20	Does the department have analysts on staff or under contract whose responsibility is to conduct market analysis of insurers doing business in the state?	Yes=25		Yes	25
3a	business in the state:	162-25		res	25
	If the department utilizes contract analysts, please describe in a separate attachment the manner and extent of utilization in the				
3b	department's recent activities.				
3c	Indicate below the number of contract and staff analysts, and supervisors for each of the last three years.				
30	Does the department have examiners on				
24	staff whose responsibility is to examine and/or conduct continuum actions of insurance companies as indicated by the department's market analysis or as	V. 25		W.	25
3d	prescribed by state laws?	Yes=25		Yes	25
	Does the department utilize contract examiners to examine and/or conduct continuum actions of insurance companies as indicated by the department's market				
3e	analysis or as prescribed by state laws?	Yes=25		Yes	25
	If the department utilizes contractual examiners, please describe in a separate attachment the manner and extent of				
20	utilization in the department's recent				
3f	activities				

	Indicate below the number of full-time market examiners, including supervisory personnel on the department's staff and/or the number of individual contract examiners used compared to the last three years. For contract examiners convert the number of contract hours to a full-time			
	equivalent employee position. Also list your jurisdiction's premium volume for any and			
3g	all examinations or actions written in the most recently completed year.			
	As a separate attachment, provide a list of market examiners that includes the			
	following: name; professional designation(s); title; years employed by the			
	department (include functional area); type			
	of college degree; and prior regulatory or insurance experience. Also indicate those			
	market conduct examiners that are contractual and whether each is full-time			
3h	with the department			
	Does the department have established staffing policies and procedures, subject to			
	periodic review and updates, for identifying and addressing market conduct issues			
	through the use of market analysis and			
3i	market conduct continuum activities, including examinations?	Yes=25	Yes	25
	If the answer to item 3i. is "Yes," what quantitative and subjective measurements			
	are available to evaluate the department's achievement of such policies and			
3j	procedures?			
	Has the department performed any targeted exams or continuum actions in the			
3k	prior two years?	Yes=25	Yes	25
	If the answer to item 3k. is "Yes," please provide a list of such exams or market			
31	continuum actions and the scope of the exams/actions.			
	If the answer to item 3k. is "No," does the department have the onstaff resources or			
	the ability to contract additional resources			
3m	to perform targeted exams/actions, if deemed necessary?	Yes=25	Yes	25
	Does the department have the authority to hire contractors as specialists to perform			
3n	market regulation?	Yes=25	Yes	25
	If the department has authority to hire			
	contractors, does it have either a statewide or departmental established process it			
	follows for selecting contractors for market		.,	25
30	regulation purposes? Briefly explain Does the department oversee and manage	Yes=25	Yes	25
3p	contractors? Does the department have the appropriate	Yes=25	Yes	25
3q	staff to oversee and manage contractors?	Yes=25	Yes	25
	Based on the review of staff resources, please provide an explanation of any significant changes in resources and/or			
	workload over the three-year period			
3r Requirement 4	covered in the data above.			
	Does the department have a policy or procedure in place on necessary credentials			
	or minimum educational and experience			
4a	requirements for selecting and hiring staff and contractors?	Yes=25	Yes	25

	Does the department have a staff				
	development program that encourages and				
	financially supports educational and				
	training pursuits, including training, courses,				
4b	webinars and certifications offered by the NAIC?	Yes=25		Yes	25
40	Does the department determine the	103-25		163	23
	composition of members of an examination				
4c	team?	Yes=25		Yes	25
4d	Is the Examiner in charge making progress towards completion of noted designations?	Voc-2F		Yes	25
4u	towards completion of noted designations:	165-23		res	23
	Does the department recognize licenses and				
	other highly technical credentials of				
	professionals and experts such as attorneys,				
	actuaries, cybersecurity experts, certified public accountants, information technology				
	(IT) experts and other professionals and				
	specialists as qualified to perform certain				
4e	market regulation activities?	Yes=25		Yes	25
	Does the department maintain written				
4f	procedure manuals to demonstrate a succession plan?	Yes=25		Yes	25
Requirement 5	succession plan:	165-23		res	23
	Does the jurisdiction have laws, regulations				
	or case law that specify how the				
_	confidentiality of market conduct				
5a	examination workpapers is to be handled? Has the jurisdiction entered into the Multi-	Yes=50	Yes		50
	State InformationSharing Agreement with				
5b	other jurisdictions and the NAIC?	Yes=50	Yes		50
	Does the jurisdiction have written policies				
	and procedures and has communicated				
	such policies and procedures to employees relating to the protection of confidential				
	information which includes PII and PHI,				
	handling of public records requests and				
	requirements for confidentiality				
	agreements when it becomes necessary to share confidential information with other				
	federal and international regulatory or law				
	enforcement agencies, not otherwise				
	covered by				
	the multi-state agreement?				
5c	Doos the jurisdiction have a records	Yes=50	No		0
	Does the jurisdiction have a records retention schedule which outlines plans for				
	secure storage and timeline for destruction				
5d	of work papers?	Yes=50	No		0
Requirement 6	Heather describes at a destant the Manifest				
	Has the department adopted the Market Regulation Handbook and the Market				
	Actions (D) Working Group Policies and				
	Procedures or are the department's policies				
	and procedures consistent with those in the				
	Market Actions (D) Working Group Policies				
6a	Market Actions (D) Working Group Policies and Procedures?	Yes=50	No		0
-	If the department identified a potential				0
	collaborative action, did the department				
	notify all CADs—via meeting, bulletin board				
	or other communication—of the activities				
6b	identified that may have the potential for collaboration?	Yes=25		Yes	25
				. 50	23

	If the department received a positive				
	response to its inquiries to other CADs				
	regarding a potential collaborative action,				
	did the department refer the action to				
	Market Actions (D) Working Group using the				
	reporting procedures outlined in the				
	Market Actions (D) Working Group Policies and Procedures, including completing the				
	Request for Review form and submitting the				
6c	1	Yes=25		Yes	25
	If the response to item 6a., item 6b., item				
	6c. or item 6d. is "No," please provide a				
6d	brief explanation	Yes=25		Yes	25
	Does the department have written				
	procedures for reviewing and evaluating its participation in potential collaborative				
	actions brought to its attention, either				
	through the Market Actions (D) Working				
6e	Group or by another department?	Yes=50	No		0
	If the department declined to participate in				
	a collaborative action, has the department provided a response to the Market Actions				
6f	(D) Working Group regarding its decision?	Yes=25		Yes	25
-	If the response to item 6e. or item 6f. is				
6g	"No," please provide a brief explanation.				
Requirement 7					
7-	Does the department require eligible companies to file the MCAS with the NAIC?	V 25		Vaa	25
7a	Does the department require that the	Te5=25		Yes	25
	MCAS be prepared in accordance with the				
7b	NAIC MCAS user guides and instructions?	Yes=25		Yes	25
	Does the department require such				
	companies to file the MCAS in an electronic				
7c	format acceptable to the NAIC?	Yes=25		Yes	25
	Does the department utilize the data obtained from the MCAS for market				
	analysis? (Examples of utilization include,				
	but are not limited to, such activities as				
7d	performing baseline or Level 1 analysis.)	Yes=25		Yes	25
Requirement 8	Describe describerant extension transcript date				
8a	Does the department enter or transmit data at least quarterly into the CDS?	Yes=50	No		0
Oa .	Does the department enter or transmit data		NO		J
8b	at least quarterly into RIRS?	Yes=50	No		0
	Does the department enter continuum				
	actions into the appropriate NAIC database				
	(MATS/RIRS) when initiated and the resulting applicable final status reports or				
8c	updates (if applicable) at least quarterly?	Yes=25		Yes	25
	Did the department initiate an examination				25
	of a regulated entity during the most				
8d	current certification period?	Yes=25		Yes	25
	If the answer to item 8d. is "Yes," was the				
	examination entered into MATS at least 45				
	days before the start of the examination or				
	at least 60 days before the start of the on-				
	site examination as set forth in the Market				
	Regulation Handbook? (Note: The start of				
	the examination is the date the department				
8e	began work on the examination materials received from the examined entity.)	Yes=25		Yes	25
	If the answer to item 8a., item 8b., item 8c.,	163-23		103	23
	item 8d. or item 8e. is "No," please provide				
8f	an explanation.				
Requirement 9					

	Does the department participate in or				
	monitor the Market Analysis Procedures (D)				
	Working Group as a working group member				
	or interested regulator either by conference				
9a	calls or by attending meetings?	Yes=25		Yes	25
	Does the department participate in or				
	monitor the Market Conduct Examination				
	Standards (D) Working Group as a working				
	group member or interested regulator				
	either by conference calls or by attending				
9b	meetings?	Yes=25		Yes	25
	Who in the department, by functional title,				
	participates in or monitors the Market				
9c	Analysis Procedures (D) Working Group?				
	Who in the department, by functional title,				
	participates in or monitors the Market				
	Conduct Examination Standards (D)				
9d	Working Group?				
	List any other market conduct or market				
	analysis-related working groups and/or task				
	forces that your department participates in				
9e	or monitors.				
Requirement 10					
10a	Has the department appointed a CAD?	Yes=50	No		0
	Has the department appointed a CAD				
10b	alternate?	Yes=25		Yes	25
100	Does the CAD and/or CAD alternate attend	100 20		1.03	
	at least 50% of all meetings and conference				
	calls of the Market Actions (D) Working				
10c	Group?	Yes=25		Yes	25
100	Group:	163-23		163	23
	Does the Market Actions (D) Working Group				
	member, CAD and/or CAD alternate actively				
104	monitor the bulletin board discussions?			V	25
10d	monitor the bulletin board discussions?	Yes=25		Yes	25
Requirement 11					
	Door your state participate in the review of				
11-	Does your state participate in the review of	V 25		V	25
11a	national analysis data on an annual basis?	Yes=25		Yes	25
	Who in the department, by functional title,				
4.41	participates in the annual national analysis				
11b	project?				
	Does your state participate in one national				
	analysis team at least every other year?Has				
	the department established procedures to				
	ensure participation on a national analysis				
11c	team at least every other year?	Yes=25		Yes	25
	Who in the department, by functional title,				
	participates on a national analysis team at				
11d	least every other year?	Yes=25			
Requirement 12					
	Has the department established procedures				
	for the market analysis chief (MAC), or				
	appropriate designee, to communicate				
	interdepartmentally with the appropriate				
	staff, either through written channels or by				
	sufficient demonstration of action (such as				
	regularly scheduled department head				
	meetings, department managers' meetings,				
	or information requests to other areas of				
	the department?	Yes=50	No		0
12a	the department:	163-30			

12b	Does the MAC, or appropriate designee provide the appropriate interdepartmental staff with market concerns such as, but not limited to, financial data, consumer complaints, policy termination activity, producer misconduct or use of noncompliant forms or rates, related to the following functional areas: i. Consumer Services ii. Enforcement iii. Legal iv. Forms and Filing v. Financial vi. Market Analysis vii. Market Conduct	Yes=50	No		0
12c	On a quarterly basis, does the MAC, or appropriate designee, solicit information from the above functional areas regarding adverse patterns on, but not limited to, financial data, consumer complaints, policy termination activity, producer misconduct, or use of noncompliant forms or rates?	Yes=50	No		0
120	or use of noncompliant forms of faces:	165-50	140		U
Certification Score Tota					1225
certification score rota					1223
Total Points Possible					1725
Score					71.01%
Pass/NoPass				Pass	
Delate and date			4227.5		
Points needed to pass			1207.5		