

Draft: 10/14/19

Implementation Plan adopted Market Regulation and Consumer Affairs (D) Committee – Nov. 30, 2016
 Implementation Plan adopted by the Market Regulation Certification (D) Working Group – Nov. 3, 2016
 Guidelines and Checklist adopted by the Market Regulation and Consumer Affairs (D) Committee – Aug. 27, 2016
 Guidelines and Checklist adopted by the Market Regulation Certification (D) Working Group – July 28, 2016

Requirement 4 – Department Staffing: – Qualifications

With respect to qualifications, the department:

- Shall ensure market regulation staff and contractors are qualified by establishing qualifications consistent with the standards for experience, education (including designations) and licenses in the *Market Regulation Handbook* Core Competencies (“Appendix D – Core Competencies – Resources – Staff and Training, Standard 2” and Appendix D – Core Competencies – Resources – Contractor Examiner, Standard 2” or successor documents).
- ~~Should have a policy that encourages professional development for staff involved in market regulation through job-related college courses, professional designation programs or other training programs.~~
- Should have a policy that encourages the professional development of all staff involved with market regulation through job-related college courses, professional designation programs or other training programs.

Objective

The objective of this requirement is to ~~xxx~~

Measurement

Guidelines

Note to Evaluators:

- “Unqualified pass” means the requirement has been met with no comment or corrective ~~action contemplated.~~
- “Provisional pass” means either marginally or not strictly meeting the requirement; however, certification will not be denied. Progress is recommended/expected during successive reviews.
- With the exception of criteria outlined in “unqualified pass,” equivalent substitutions may be considered with appropriate justification.

a. 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?

Unqualified Pass:

- Does the department include in its job announcements/descriptions preference for relevant experience, education and credentials as outlined in item b. below?
- Does the department’s specification in requests for proposals (RFPs) include requirements that contracted personnel (*with emphasis on supervisory personnel*) have relevant experience, in addition to the following: 1) either a certified insurance examiner (CIE), accredited insurance examiner (AIE), chartered life underwriter (CLU), fellow, Life Management Institute (FLMI), chartered property casualty underwriter (CPCU), certified insurance counselor (CIC), fellow, Academy for Healthcare Management (FAHM), professional in insurance regulation (PIR) or chartered healthcare consultant (ChHC) designation; and 2) a market conduct management (MCM)¹ designation?

Provisional Pass:

¹ NAIC market conduct examination training may substitute for an MCM designation.

Commented [HR29]: CA - Requirement 4

The questions contained in the scoring matrix do not match the questions in the Checklist for Requirement 4. The scoring matrix identifies 4.c as the only mandatory item in this section. However, the scoring matrix quotes an old version of 4.c. (“Does the department determine the composition of members of the examination team?”). Current item 4.c. in the Checklist is “does the department have a staff development program that encourages and supports educational and training pursuits...” As of the 10/14/19 revisions to the program, there is no longer a question in the Checklist about whether the department determines the composition of members of the exam team. The working group should revisit the scoring matrix and ensure it matches the questions that are currently part of the Checklist, and ensure the right item(s) are designated as mandatory or primary goals in the matrix, based on the current structure of the Requirement 4 Checklist.

Additionally, once the working group decides on which Checklist question items are mandatory vs Primary vs. supportive, I would ask that the working group also revisit the entire set of narrative Guidelines so that they align with the scoring matrix. The current Guidelines make use of an unnecessarily complex provisional vs. unqualified pass structure, and references characteristics and information needed to meet these thresholds that are not captured in the Checklist.

Commented [HR30]: MO - This requirement contains several references to the number of years of service and provides in some instances that the sheer number of years of service equates to some level of qualification or expectation of achievement. We believe the use of an unqualified number of years of service isn’t always appropriate. We often promote from within. A long term employee may have in excess of 5 years of service with the department; however, if all but one of those years were in an unrelated capacity it isn’t realistic to expect that individual would have the designations outlined or deemed qualified on the basis of overall service. We suggest that the years of service should only be considered if they are relevant to the position.

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Commented [HR31]: Do not need unqualified pass/pass. Just guidelines explaining what is needed to pass. Renumber 3o under the Checklist

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