

1st assessment	all mandatory must be met
1st 5-year re-assessment	50% of remaining available points
2nd 5-year re-assessment	90% of remaining available points

Question	Text	Mandatory Condition Met	(Primary)	(Secondary)
Requirement 1				
1a	Does the department have the general authority to collect and analyze information whenever it is deemed necessary?			
1b	Does the department have the authority to collaborate and coordinate with other regulatory agencies?			
1c	Is the department's authority broad enough to cover market analysis, comprehensive and targeted market conduct examinations and the continuum of market regulation actions, including enforcement?			

Question	Text	Mandatory Condition Met	(Primary)	(Secondary)
Requirement 2				
2a	Does the department have authority by statute, rule or other authority to utilize the <i>Market Regulation Handbook</i> ?	No		
2b	When conducting examinations or continuum activities, does the department incorporate applicable <i>Market Regulation Handbook</i> review standards and related materials to the extent they are consistent with state laws?	No		
2c	Does the department have examination-specific policies and procedures in addition to those guidelines set forth in the <i>Market Regulation Handbook</i> ?	No		
2d	If the answer to item 2c. Is "Yes", is the jurisdiction able to demonstrate that it has followed its own established policies and procedures in adopting any process that deviates from the <i>Market Regulation Handbook</i> ?			Yes

Question	Text	Mandatory Condition Met	(Primary)	(Secondary)
Requirement 3				
3a	Does the department have analysts on staff or under contract whose responsibility is to conduct market analysis of ( i)-7.8S6 474.3999 Tm [(c)-6.1 (o)1.8 (nduc)-6.1 (t)2. (bi)-7.s d.3999 T ( ( i)- [(c)-6.1 (o)19 re f 1 0 0 rg 3910.40 t)230 (nDr)-bu7.8 (s t)n0.894 r7 ( )	[REDACTED]		
				[GREEN]
				[GREEN]
		[REDACTED]		[GREEN]
		[REDACTED]		[GREEN]
		[REDACTED]		[GREEN]
		[REDACTED]		[GREEN]

Question	Text	Mandatory Condition Met	(Primary)	(Secondary)
3f	If the department utilizes contract examiners, please describe in a separate attachment the manner and extent of utilization in the department's recent activities			
3g	Indicate below the number of FTE 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.			
3h	Has the department performed any targeted exams or market continuum actions in the prior two years?			
3i	If the answer to item 3h. is "Yes," please provide a list of such exams or market continuum actions and the scope of the exams/actions.			
3j	If the answer to item 3h. is "No," does the department have the on-staff resources or the ability to contract additional resources to perform targeted exams/actions, if deemed necessary?			

Question	Text	Mandatory Condition Met	(Primary)	(Secondary)
3k	Does the department have the authority to hire contractors as specialists to perform market regulation?	If 3e is "yes"		
3l	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 regulation purposes?			

If 3e is "yes"

0 0 10.4 208.6 501.6 Tm [(hi)-7.8 (r)-3.1 (e)-8 (c)-6.1 (o)1.8 (nt)2)8.8 2.1 (he)-8 (d(m)-14.7 (e)-80.4 208



Question

Text

Question	Text	Mandatory Condition Met	(Primary)	(Secondary)
Requirement 5				
5a	Does the jurisdiction have laws, regulations or case law that specify how the confidentiality of market conduct examination workpapers is to be handled?			
5b	Has the department entered into the Multi-State Information Sharing Agreement with other departments and the NAIC and does the department have written policies/procedures and communicate such policies/procedures to staff?			
5c	Does the department have written policies and procedures and 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?			
5d	Does the department have a records retention schedule which outlines plans for secure storage and timeline for destruction of work papers?			



Question	Text	Mandatory Condition Met	(Primary)	(Secondary)
Requirement 6				
6a	Does the department have procedures for staff to follow when reporting potential collaborative actions to the department's CAD?	No	No	No
6b	If the department identified a potential collaborative action, did the department notify all CADs—via meeting, bulletin board or other communication—of the activities identified that may have the potential for collaboration?	No	No	No
6c	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's Policies and Procedures, including completing the Request for Review form and submitting the form to the designated NAIC support staff?	No	No	No
6d	If the answer to item 6b., or item 6c. is "No," please provide a brief explanation.	No	No	Yes
6e	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 Group or by another department?	No	No	No

Question	Text	Mandatory Condition Met	(Primary)	(Secondary)

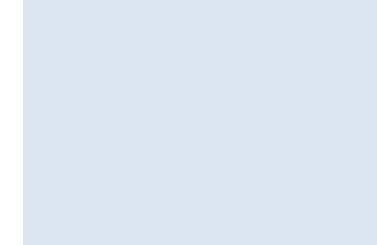
Question

Text



Question	Text	Mandatory Condition Met	(Primary)	(Secondary)
		No		
		No		Yes
		No		

Question	Text	Mandatory Condition Met	(Primary)	(Secondary)
Requirement 10				
10a	Has the department appointed a CAD?			
10b	Has the department appointed a CAD alternate?			
10c	Does the CAD and/or CAD alternate attend at least 50% of all meetings and conference calls of the Market Actions (D) Working Group they are eligible to attend?			
<del>Requirement 11</del>				
<del>11a</del>	<del>Does your state participate in the review of national analysis data on an annual basis?</del>			
<del>11b</del>	<del>Who in the department, by functional title participate in the review of national analysis data on an annual basis?</del>			



	Text	Mandatory Condition Met	(Primary)	(Secondary)
--	------	-------------------------	-----------	-------------

--	--	--	--	--

--	--	--	--	--

Question	Text	Mandatory Condition Met	(Primary)	(Secondary)
11c	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?			
11d	<del>Does the MAC participate in communication with other insurance departments regarding market analysis by posting and responding to NAIC Market Regulation and Market Analysis Electronic Bulletin Board inquiries?</del>		<del>deleted as it is covered in Req. 6</del>	
Certification Score Total				
Total Points Possible				
Score				
Pass/NoPass				
Points needed to pass			0	



