

# INSTRUCTIONS FOR COMPLETION OF CHECKLISTS

## GENERAL INSTRUCTIONS:

### **Checklists By Line of Business**

Checklists have been developed based upon the Lines of Business (Types of Insurance, or TOI), where appropriate, the Lines of Insurance (Subtypes, or Sub TOI), and applicable coding listed in the NAIC Uniform Product Coding Matrices.

States that require the submission of checklists should require their completion when a new program or major program revision is being filed. The checklists should only be necessary for “programs” (e.g., policy filings) and not for many routine filings such as minor revisions to previously approved programs, endorsements, etc., which do not include changes to regulatory requirement categories. When all or part of a checklist is not applicable (e.g., endorsements, riders), insurers should use the fields now contained in checklist headers to provide an explanation. Insurers may also indicate this on the Uniform Filing Transmittal Document, or attach documentation as needed.

### **Requirement Categories**

The Requirement Categories in each checklist are the best practice requirements for the respective lines of business. Requirement categories not applicable (to your state) should be deleted. Requirement categories not listed may be included in fields listed as “other”. Such additions should also be brought to the attention of designated NAIC staff for future consideration by all states (e.g., Bob Card—[bcard@naic.org](mailto:bcard@naic.org)).

### **Interactive Checklists**

The checklists should be designed for use in an interactive manner both by the regulator and the insurer. This facilitates the completion of the checklists by insurers in an on-line environment.

It is also intended that when these checklists are

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**COLUMN ONE:**

This column lists the categories of review standards that the filing will be expected to evidence. Filings made through SERFF should provide “bookmarks” to