



VETTING APPLICATIONS CHECKLIST

There are three types of applications for operating authority: MCSA-1, OP-1 (paper), and MCSA-5889 (reinstatements >1 year). Use the checklist below as a guide while you evaluate each application type.

Tier 1 – Screening

Application Review¹

- Review MCSA-1, OP-1, or MCSA-5889 application
- Review Utility for Risk-Based Screening and Assessment (URSA) report

Screening

- Complete Part A of the Vetting Worksheet
 - See the VMT User Manual for step-by-step instructions
- Escalate
 - Materially Incomplete
 - Reinstatements
- Add comment in Licensing & Insurance (L&I) Licensing Module
- Add comment in Customer Relationship Management (CRM) System if there is an associated customer inquiry

Materially Incomplete Application

- Complete additional questions in Part A of the Vetting Worksheet
- Generate Materially Incomplete (MI) Notice
- Send MI Notice to applicant
- Update Vetting Status to “Materially Incomplete”
 - Note that the Vetting process is put on hold while a request for additional information is in process
- Follow up with the applicant after 15 calendar days from the MI Notice sent date
- Update MI status within 30 calendar days of the MI Notice sent date
- Determine if the applicant provided missing information (choose one)**

Applicant **provides** missing information:

- Finish Part A of the Vetting Worksheet
 - If no further vetting needed, see “Accepting an Application” below
 - If further vetting needed, see “Further Investigation Needed” below

Applicant **doesn't provide** missing information:

- Skip to Part C of the Vetting Worksheet to reject the application
 - See “Rejecting an Application” below

Accepting an Application

- Complete Part C of Vetting Worksheet
 - See the VMT User Manual for step-by-step instructions
- Update Vetting Status to “Application Accepted”





Tier 1 – Screening (continued)

- Download Vetting Portfolio and upload to Electronic Document Management System (EDMS)
- Accept application in Unified Registration System (URS)
 - Application automatically updates to “accepted” in L&I Licensing Module
- Add comment in L&I Licensing Module
- Add comment in CRM System if there is an associated customer inquiry

Further Investigation Needed

- Generate Receipt and Vetting Notice²
- Send Receipt and Vetting Notice to applicant
- Update Vetting Status to “Under Investigation”
- Add comment in CRM System if there is an associated customer inquiry

Rejecting an Application

- Complete Part C of Vetting Worksheet
 - See the VMT User Manual for step-by-step instructions
- Generate Rejection Order (RO) draft and send for final edits/proofreader review
 - Proofreader will share the Rejection Order draft with the Team Lead and Deputy Division Chief
- Notify Team Lead and Deputy Division Chief
- Update Vetting Status to “Under Review by Team Lead or Deputy Division Chief”
- Once Rejection Order is approved by management, sign Certificate of Service and send RO to applicant
- Update Vetting Status to “Application Rejected”
- Download Vetting Portfolio and upload to EDMS
- Reject application in URS
 - Application automatically updates to “rejected” in L&I Licensing Module
- Add comment in L&I Licensing Module
- Add comment in CRM System if there is an associated customer inquiry

Tier 2 – Investigation

Investigative Review

- Review Screening Summary section (step 3 in Part A) of Vetting Worksheet
- Complete Part B of Vetting Worksheet
 - See the VMT User Manual for step-by-step instructions

If Additional Information Needed

- Generate Verification Inquiry (VI) Letter
- Send VI Notice to applicant
 - Note that the Vetting process is put on hold while a request for additional information is in process





Tier 2 – Investigation (continued)

- Determine if applicant provided missing information (choose one)

Applicant **provides** missing information:

- Finish Part B of the Vetting Worksheet
 - See the VMT User Manual for step-by-step instructions

Applicant **doesn't provide** missing information:

- Skip to Part C of the Vetting Worksheet to reject the application
 - See “Rejecting an Application” below

Accepting an Application

- Complete Part C of Vetting Worksheet
 - See the VMT User Manual for step-by-step instructions
- Update Vetting Status to “Application Accepted”
- Download Vetting Portfolio and upload to EDMS
- Accept application in L&I Licensing Module
 - Application automatically updates to “accepted” in L&I Licensing Module
- Accept application in URS
- Add comment in CRM System if there is an associated customer inquiry

Rejecting an Application

- Complete Part C of Vetting Worksheet
 - See the VMT User Manual for step-by-step instructions
- Generate Rejection Order (RO) draft and send for final edits/proofreader review
 - Proofreader will share the Rejection Order draft with the Team Lead and Deputy Division Chief
- Update Vetting Status to “Under Review by Team Lead or Deputy Division Chief”
- Once Rejection Order is approved by management, sign Certificate of Service and send RO to applicant
- Update Vetting Status to “Application Rejected”
- Download Vetting Portfolio and upload to EDMS
- Reject application in URS
 - Application automatically updates to “rejected” in L&I Licensing Module
- Add comment in L&I Licensing Module
- Add comment in CRM System if there is an associated customer inquiry

Proofreader

Reviewing Applications Recommended for Rejection

- Review Rejection Order draft and make any necessary edits
- Notify Vetting Team Management once updated Rejection Order draft is available for review





Tier 3 – Management

Reviewing Applications Recommended for Rejection (Team Lead/Deputy Division Chief)

- Review Vetting Worksheet, research, and Rejection Order draft
 - See the VMT User Manual for step-by-step instructions
- Determine if in agreement with Vetter (choose one)

Agree with Vetter:

- Return application for additional investigation

Do not agree with Vetter:

- Edit Rejection Order draft and send to proofreader
- Proofreader reviews and returns Rejection Order draft
- Notify Division Chief to review Rejection Order draft

Reviewing Applications Recommended for Rejection (Division Chief)

- Review application, research, and Rejection Order draft
 - See the VMT User Manual for step-by-step instructions
- If needed, send application for Legal review and coordinate edits
- Determine if in agreement with Vetter (choose one)

Agree with Vetter:

- Return application for additional investigation

Do not agree with Vetter:

- Coordinate final Rejection Order draft edits with Team Lead/Deputy Division Chief and return to Tier 2 Vetter
- Once Tier 2 Vetter sends Rejection Order, download Vetting Portfolio and upload to EDMS
- Notify Tier 2 Vetter to reject application in L&I Licensing Module and URS
- Notify Tier 2 Vetter to add comment in CRM System if there is an associated customer inquiry

Legal

Reviewing Applications Recommended for Rejection

- Review all application data in the Vetting Summary tab, including carrier info, vetting letters, supporting evidence, and memos
- Consult with Vetting Team and make any necessary edits to the Rejection Order draft
- Notify Vetting Team Management once updated Rejection Order draft is available

¹Applications initially reviewed outside the VMT

²Referred to internally as a “Time Frame Letter”

