INSURANCE CONTINUING EDUCATION

PROVIDER INFORMATION PACKET

Administrative Services Provided by Prometric

December 2020
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North Carolina Department of Insurance
Continuing Education

Introduction

The North Carolina Department of Insurance (Department) has contracted with Prometric to provide continuing education (CE) services. Prometric reviews provider and course applications, processes rosters and performs compliance calculation for compliance periods.

The North Carolina Department of Insurance processes all transactions relating to producer name and address changes and license renewals.

Licensees may view their transcripts and compliance status online at www.sircon.com.

Providers must submit courses for approval at least 30 days before their first presentation. Providers and courses are not subject to a renewal fee.

Provider and course approvals are not subject to renewal but 11 NCAC 06A.0813(e) specifies that a provider must conduct at least one course each calendar year.

All provider and course applications must be directly uploaded into the Sircon system. Course applications will be reviewed and approved or disapproved by Prometric. Incomplete submissions may delay the review process and may result in disapproval. Course applications are considered complete when Prometric receives all necessary materials. Samples of acceptable and unacceptable outlines are shown on Pages 20 and 21.

You may request expedited course review by paying an additional $55 fee per course. A course review is assured within three business days.

Fees

<table>
<thead>
<tr>
<th>Description</th>
<th>Fee</th>
</tr>
</thead>
<tbody>
<tr>
<td>Provider Application</td>
<td>No fee</td>
</tr>
<tr>
<td>Course Application</td>
<td>$145.00 *</td>
</tr>
<tr>
<td>Expedited Course Application</td>
<td>$55.00 (in addition to $145.00 Course Application Fee)</td>
</tr>
<tr>
<td>Roster Fees (per credit hour)</td>
<td>$2.05 **</td>
</tr>
<tr>
<td>Mailing List of Licensees</td>
<td>$150.00</td>
</tr>
</tbody>
</table>

* Fee includes the Department’s required $100.00 statutory fee plus Prometric’s processing fee.
** Fee includes the Department’s required $1.00 per credit statutory fee plus Prometric’s processing fee.

The maximum annual amount collected for statutory course application fees from a provider is $2,500.00. Hence, when a provider submits more than 25 course applications in a calendar year, the $100.00 statutory fee will not be collected but the $50.00 processing fee will be required.

Course application and roster fees are paid through Sircon. All fees are non-refundable.
Providers may order mailing lists of licensees for the purpose of promoting or advertising their own courses. See the order form on Page 33.

This Provider Packet and other CE information are also available through Prometric’s Web site: https://www.prometric.com/en-us/clients/ce/Pages/ncceprov.aspx. Providers may download the forms from the Web site and use them on their computers to prepare applications.

Classroom CE course offering schedules must be submitted at least 10 calendar days before the course is offered. The Department conducts in-person, on-site audits based on course offering schedules. Please contact Prometric if a course offering needs to be scheduled less than 10 days before the course date, as exceptions will be made.

Providers must submit their course rosters online with Sircon within 15 business days of the course completion date. The course roster for classroom courses cannot be processed if there is not a course offering on file. If 30 or more days have passed since the course date, submit course offering information directly to Prometric.

Providers must provide a course completion certificate to each student who successfully completes a course within 15 business days of the date of completion.

North Carolina participates in the NAIC CE Reciprocity Agreement subject to NC course approval rules. If you are a provider domiciled in a participating state, you may submit CE course approval applications based on this reciprocity. See the instructions on Page 22 for details.

Prometric Operations Center
Attn: Continuing Education Processing
7941 Corporate Drive
Nottingham, MD 21236

Complete details about CE requirements for Producers and Adjusters are in the North Carolina CE Licensee Handbook. The handbook may be viewed at:

https://www.prometric.com/test-takers/search/ncceprod

For more information, contact Prometric

Phone: 866.241.3121 (8:00 a.m. to 7:00 p.m. Eastern Time)
Fax: 800.735.7977
E-mail:CESupportTeam@Prometric.com
Web site: www.prometric.com
North Carolina Department of Insurance
Continuing Education
Program Requirements

General Program Requirements

1. All requests for approval of new or revised courses must be submitted at least 60 days before the initial offering of the course. **You may request expedited course review by paying an additional $55 fee per course. A course review is assured within three business days.** If a course has not been approved or disapproved within 60 days of receipt of all required information, the course is deemed approved at the end of that 60 day period.

2. If a course approval application has been denied or the course is canceled by the provider, the provider must refund the full course fee or full credit to the attendee within 30 days. This guideline applies to courses advertised as “approval pending” for which approval was not granted, or courses that were canceled by the provider. The provider may not establish a “no refund” policy.

3. Advertising:
   - All advertisements of courses must include:
     - The provider name, provider number, course number(s), course title(s), date(s) and location(s);
     - Number and type of approved credits;
     - All fees and associated expenses; and
     - Course rating.

   If the provider wishes to advertise the course while waiting for its written approval from Prometric, the advertisement must state that the course is “pending approval”.

4. Once approved, a course may not be substantially altered. A substantial alteration is any change that would modify the content or time allocations stated in the course syllabus or would change any of the course topics.

5. Providers may not change a course’s content or outline without prior written approval. Failure to obtain written approval in advance may result in a denial of CE credit for the course.

6. Providers must notify all registered students and Prometric of cancellations no more than five calendar days before the scheduled class date. This does not apply to emergency cancellations due to adverse weather, instructor illness or other unforeseen events.

7. Fifty (50) minutes will qualify for one CE credit hour. Breaks, introductions, lunches, dinners, announcements or other non-instruction time do not qualify for credit. Partial credits are not allowed. Time allotments of less than 50 minutes will be rounded down.

8. Each course must be a minimum of one credit hour.

9. Providers who have not had credits posted for any licensee in a calendar year will be deactivated early in the following year. Prometric will send a notice to the affected providers at the time of deactivation. Deactivated providers must submit new provider and course applications and fees.

10. Courses will be approved for up to three categories: General, Ethics or Flood. More than one category can be assigned to a course.

11. Providers must agree to inform Prometric of the date, time and location of each CE classroom session, conference and convention, at least 10 days before presenting. Please contact Prometric if a course
offering needs to be scheduled less than 10 days before the course date, as exceptions will be made. Further, Prometric must be notified at least 5 days before a course is cancelled or the location or date is changed. Failure to inform Prometric may result in courses being denied approval or current approvals being revoked.

12. Providers must maintain accurate attendance records for each course. Providers must authenticate the identity of attendees by checking government issued photo IDs, company issued photo IDs, conference ID badges, etc. and must obtain all licensee signatures on a sign-in sheet. Attendance and any exam requirements must be met for a student to receive credit for the course. No partial credits are permitted.

13. Providers are required to report course completion rosters online with Sircon for continuing education courses within 15 business days of course completion. Providers must distribute course completion certificates to all individuals who meet the requirements of the course within 15 days of the conclusion of a course. The certificate must contain the name and National Producer Number (NPN) of the attendee, the name and identification number of the course, the date(s) the course was held, the number of credit hours completed by each attendee, and the name and identification number of the provider.

14. Licensees will receive credits only once for a course completed in the licensee’s current compliance period regardless of the number of times the same course is taken.

15. Course providers must agree that employees of the North Carolina Department of Insurance and/or its designees, in an official capacity, may audit classroom course instruction, course materials, instructors’ presentations, course records, records of examination, attendance rosters and other aspects of instruction. These auditors will not be interfered with while conducting or attempting to conduct an audit. Audits will be conducted with minimal disruption. Providers agree that auditors may attend any course offered for the purpose of the audit without paying any fee. Providers grant Prometric and the North Carolina Department of Insurance the right to audit and/or inspect these records at the premises of the provider or at the physical location of such records. Results of audits will be forwarded to the Department and the provider.

16. Providers must retain continuing education attendance and course completion records for a minimum of three years and provide records upon request.

17. Providers must keep all records pertaining to its North Carolina CE activities for a minimum of three years. The provider agrees that upon request, these records are available to the North Carolina Department of Insurance and Prometric.

18. Students attending courses in preparation for a professional designation exam may receive credit for either the classroom hours or for the exam, but not both.

19. Providers must assign a course rating on each course application to indicate the relative level of complexity. Categories are Basic (one to two years experience), Intermediate (three to five years experience) and Advanced (six or more years experience).

20. Members of professional insurance associations may receive a maximum of four credits during a compliance period or two credits annually based on membership in the association and attendance at certain meetings. The per person roster fee of $1.00 per credit hour must be paid. Providers that are professional insurance associations should contact Prometric for details on the administrative procedures for awarding these credits (also see FAQs on page 12).
Classroom Courses – Attendance and Exam Requirements

21. Full credit will not be awarded for classroom courses unless the student completes 100% of the course.

22. Instructors may receive the credit for teaching a course once in a compliance period.

23. Distance Learning Programs qualify only when an instructor is available to respond to questions and to maintain attendance records.

24. Courses that are taught by a college or university that is accredited by the Southern Association of Colleges and Schools are approved for a number of continuing education credits to be determined by Prometric’s evaluation process. The College must submit a course application, course syllabus, and course fee in order for the course to be evaluated.

25. Courses that are necessary to obtain the following nationally recognized designations are approved for 18 continuing education credits upon successful completion of the national examination for each part:

- Accredited Advisor in Insurance (AAI)
- Associate in Risk Management (ARM)
- Associate in Underwriting (AU)
- Chartered Financial Consultant (ChFC)
- Chartered Life Underwriter (CLU)
- General Insurance (INS)
- Life Underwriter Training Council Fellow – 26 weeks (LUTCF)

Courses necessary to obtain the following nationally recognized designations are approved for an amount of continuing education credits to be determined by Prometric’s evaluation process:

- Associate in Claims (AIC)
- Associate in Loss Control Management (ALCM)
- Certified Employees Benefit Specialist (CEBS)
- Chartered Property and Casualty Underwriter (CPCU)
- Fellow Life Management Institute (FLMI)

Courses necessary to obtain qualifying topics for insurance designations are approved for an amount of continuing education credits to be determined by Prometric’s evaluation process:

- Certified Insurance Counselor (CIC)
- Fraternal Insurance Counselor (FIC)
- Health Insurance Associate (HIA)
- Agency Management Training Course Graduate;
- Life Underwriter Training Council Fellow – 13 weeks (LUTCF)

Qualifying/Non-Qualifying Course Subjects

26. For courses to qualify, they must be directly related to insurance principles and practices or designed and approved specifically for licensees. Courses must not be business courses of a general nature or insurance marketing or sales courses.

27. The following subjects/topics generally will qualify: ethics in insurance (subjects/topics defined in #29 below), legal, legislative, regulatory matters in insurance, fundamentals/principles of property and casualty insurance, fundamentals/principles of life and health insurance, estate planning and/or taxation, insurance policy contents, proper use of insurance products, insurance rating/underwriting/claims, accounting/actuarial considerations in insurance, principles of risk management, provisions/differences in insurance policy contracts, fundamentals/principles of title insurance, managed care, agency management, legal/ethical issues involving sales practices, rating, tax laws related to insurance, errors and omissions, estate planning/taxation, wills and trusts, financial planning, management content directly related to insurance, actuarial mathematics/statistics/probability, advanced underwriting, employee benefit plans, loss prevention and control, assigned risk, policy replacement, pensions, profit sharing, and courses leading to insurance designations.
The following business principles and practices topics may also be considered for course approval:

(a) *Agency planning* as it relates to insurance knowledge and level of authority.
(b) *Meeting client needs and expectations.* The study of needs analysis and risk tolerance.
(c) *Account reviews.* The evaluation of current insurance programs.
(d) *Human Resources Management.* The study of employment practices such as federal Americans with Disabilities Act requirements
(e) *Financial Management.* The study of financial management including the management of agency financial resources and separate accounts
(f) *Errors and Omissions.* The study of how to determine the suitability of a product for a customer, the appropriate replacement of policies, how to provider appropriate documentation of files, and the study of legal and ethical issues.
(g) *Underwriting.* The study of underwriting procedure and company expectations.
(h) *Risk Management.* The study of how to prevent errors and omissions claims, how to protect the client and how to appropriately review the suitability and adequacy of coverage.

28. The following subjects/topics generally will not qualify: prospecting, motivation, salesmanship, psychology, recruiting, time management, health/stress/exercise courses, supportive office skills, personnel management, use of calculators, computers or other equipment, computer software training, accounting or tax preparation in connection with the business of the producer, meetings held in conjunction with the general business of the producer, courses primarily intended to impart knowledge of specific products or specific insurers if the use of the products relates to sales promotion or marketing of the product, client relations, matters aimed at improving the operation of a person’s business, stress management, organizational procedures and internal policies of an individual insurer, and subjects not related to the insurance industry.

29. To be categorized for Ethics, courses must deal with usage and customs among members of the insurance profession involving their moral and professional duties toward one another, toward clients, toward insureds and toward insurers. Ethics is described as the science (or study) of morality with a set of fundamental principles defining morality and determining moral duty and obligation. With regard to professions, a code of ethics frequently defines aspects of fairness and duty to the profession and the general public. In the context of insurance licensees, ethics involves conducting one’s business with a well-developed sense of fairness, proper disclosure and even-handed dealings with prospective insureds, policyholders, agencies, fellow licensees, companies and the general public. To be approvable for continuing education content, the material must not only outline the fundamentals and principles of ethics in its various forms but also provide clear and appropriate linkage to the activities and responsibilities of an insurance licensee. Case studies and situations must be in the context of the insurance business and highlight the special challenges and opportunities within the insurance industry.

**Self-Study Courses** (includes correspondence, Internet and computer-based courses)

30. All self-study courses must have an approved examination for the students to receive full credit. The exam must be submitted along with the course application for approval.

Approvable exams **must** incorporate the following:

- An exam answer key. The answer key must indicate the total amount of credit possible for answering all questions correctly and indicate the amount of credits necessary to pass the exam. (Note: If essay questions are used, indicate all subject material that must be included in the response in order to receive full credit. Also show how much credit will be given for each point that makes up the response that would receive full credit.)
- Multiple choice items **must** have a minimum of four options.
- Multiple-choice items **must** have only once correct response.
• “True/False” questions and questions with answer choices such as “I, II and III”, “IV only”, “II and III only “A and B”, “B only”, “A, B and D are correct,” ”All of the Above” and/or “None of the Above”, etc. are not allowable exam answers.

31. A proctored exam is required for certain self-study courses as follows:

a. A correspondence (textbook) course with a paper/pencil exam must have a proctored, closed-book exam with no assistance provided to the student.
b. A correspondence (textbook) course that allows the student to submit the exam online must have a proctored, closed-book exam with no assistance provided to the student.
c. Online courses with online exams must be closed-book but do not require a proctor (see #35).

32. A disinterested third party (someone not concerned with respect to gain or loss in the result of the final course exam) may proctor the exam. The completion date is the date the proctor signs and dates the exam. A certificate of course completion must be given to the student who successfully completes the exam, within 15 days of the completion date.

33. Self-study exams must:

• Contain a minimum of 10 questions for 1 credit hour with an additional 5 questions for each subsequent credit hour. The number of questions must increase proportionately as the amount of material increases up to a suggested maximum of 75 questions for large courses.
• Have at least enough questions to fashion a minimum of 2 exam versions with at least 50% of the questions being new/different in each subsequent version.
• Be unable to be printed or viewed prior to the review of the course material.
• Have a proctor who verifies identity by photo identification and provides an affidavit testifying that the student received no outside assistance (if the provider requires a proctor).

It is suggested that all questions should be in either a four-alternative multiple choice or completion format and that the use of True/False questions be avoided. Credit hours will be determined by the estimated time it will take a student to study the material, adjusted by the percentage of the course content that is acceptable as CE Credits will be allowed only if the student receives a grade of 70% or greater on the examination.

34. Internet/online courses submitted for review must include an electronic version of the course and include the security measures that will be used throughout the course. Online exams for internet/online courses do not require a proctor. However, providers may choose to require a proctor.

35. Internet/online courses must contain:

(a) Material that is current, relevant, accurate, and that includes valid reference materials, graphics and interactivity.
(b) Clearly defined objectives and course completion criteria.
(c) Specific instructions to register, navigate and complete the course work.
(d) Technical support/provider representative(s) available during business hours and provide a response within 24 hours of initial contact.
(e) Instructors/subject matter experts must be available to answer student questions during provider business hours.
(f) Process to authenticate student identity such as passwords and security prompts.
(g) Method for measuring the student’s successful completion of the course, which includes the material, exam and any proctor requirements (if the provider requires a proctor).
(h) Process for requesting and receiving CE course completion certificate and reporting student results to Prometric.
Requirement that each agent/adjuster enroll in the course before having access to course material.
Prevention from access to course exam before review of course material.
Prevention from downloading any course exam.
Review questions at the end of each unit/chapter and prevention from access to the final exam until each set of questions is answered at a 70% pass rate.
Final exam questions that do not duplicate unit/chapter questions.
Prevention from alternately accessing course materials and course exams.
A monitor affidavit containing specific monitor duties and responsibilities printed for the monitor’s use to direct the taking of the final exam. Monitor will complete the affidavit after the exam is completed (if the provider requires a monitor).

36. Procedures to determine credit hours:

Word Count/Difficulty Level
- Divide total number of words by 180 (documented average reading time) = number of minutes to read material
- Divide number of minutes by 50 = credit hours
- Course difficulty level is identified by the CE provider on the CER form and should be based on the NAIC CE Standardized Terms-Definitions for basic, intermediate and advanced course difficulty levels***.
- Multiply number of hours by 1.00 for a basic level course; 1.25 for an intermediate level; 1.50 for an advanced course for additional study time = total number of credit hours (fractional hours rounded up if .50 above and rounded down if .49 or less).

Interactive Course Content
- Elements included in the online course, in addition to text, such as video, animation, interactive exercises, quizzes, case studies, games and simulations.
- Interactive elements should be applicable to course material and facilitate student learning.
- Only mandatory interactive elements should be included in the calculation of CE credit hours.
- Calculation of CE credit hours should be based on the run time of the interactive elements.
- CE providers will indicate run time of the interactive elements in the course content and upon request provided access to the state for review of the course.

Professional Designation Courses
- Course that is part of a nationally recognized professional designation
- Credit hours equivalent to hours assigned to the same classroom course material

Final Assessment
- Time spent completing the final assessment should not be used in the calculation of CE credit hours.

***Course Difficulty Level Definitions:
Basic – A course designed for entry-level practitioners or practitioners new to the subject matter
Intermediate – A course designed for practitioners who have existing competence in the subject area and who seek to further develop and apply their skills.
Advanced – A course designed for practitioners who have a strong foundation and high level of competence in the subject matter.
Webinars

37. Webinar courses qualify only when there is a method of monitoring attendance, by way of a random question and answer segment throughout the course, or a monitor at each location. A final examination is not required in Webinar courses.

38. Webinar courses must be submitted as classroom courses and a separate course submission is required for each course.

39. Webinar courses must follow the standard classroom policies in addition to the following guidelines. These guidelines apply to courses conducted and viewed in real time (live) in all locations. These guidelines do not apply to courses that have been recorded and are viewed at a later time.

   (a) Each student is required to log in to the webinar using a distinct username, password and/or email. Students that view webinars in group settings, which is two or more individuals, should verify their participation in the form of sign-in and sign-out sheets submitted by a monitor with an attestation or verification code.
   (b) All students and the instructor are not required to be in the same location. The course pace is set by the instructor and does not allow for independent completion.
   (c) Students in all locations must be able to interact in real time with the instructor. Students should be able to submit questions or comments at any point during the webinar session.
   (d) The provider will verify the identity and license number, or National Producer Number (NPN) of all students.
   (e) A provider representative, using computer-based attendance-monitoring technology must monitor attendance throughout the course.
   (f) The provider must have a procedure that informs each student in advance of course participation requirements and consequences for failing to actively participate in the course.
   (g) The provider must have a process to determine when a participant is inactive or not fully participating, such as when the screen is minimized, or the participant does not answer the polling questions and/or verification codes.
   (h) For webinars not given in a group setting, no less than two polling questions and/or attendance verification codes must be asked, with appropriate response provided, at unannounced intervals during each one-hour webinar session to determine participant attentiveness.
   (i) The provider will maintain an electronic roster to include records for each participant’s log-in/log-out times (chat history and polling responses may be included).
   (j) When the course monitor deems a student inactive or not fully participating in the course for failure to enter the appropriate polling question response or verification codes, continuing education credit (CE) is denied.
   (k) One credit hour will be awarded for every 50 minutes of webinar/webcast instruction, and the minimum number of credits that will be awarded is one credit hour. Instruction time is considered the amount of time devoted to the actual course instruction and does not include breaks, lunch, dinner, or introduction of speakers.
FAQs about Credit for Agent Association Membership

Q. Can CE credit be awarded for membership in an agent association?

A. Yes, but only under certain conditions. In accordance with 11 NCAC 06A.0802 (p), four credits may be awarded per biennial compliance period for active membership and activity as well as for attending a national meeting on an annual basis (i.e., National Convention or Legislative “Day on the Hill” in Washington, D.C.). The credits are not automatically awarded and not all associations qualify. Currently these organizations may award such credits to members:

- Professional Insurance Agents (PIA)
- NC Association of Health Underwriters (NCAHU)
- National Association of Insurance and Financial Advisors (NAIFA)
- Independent Insurance Agents of North Carolina (IIANC)
- Surplus Lines Association (NCSLA)
- Claims Adjuster Association

Q. How does an association become eligible for its members to receive the CE credit?

A. The professional insurance association shall be approved as a continuing education provider, shall have been in existence for at least five years, and shall have been formed for purposes other than providing continuing education. The professional insurance association shall provide the Commissioner with the association’s Articles of Incorporation on file with the N.C. Secretary of State.

Q. If a licensee is a member of more than one association, can credit be received for membership in all associations?

A. Pursuant to 11 NCAC 06A .0802 (p), a licensee may receive no more than four ICECs during the biennial compliance period or two credits annually. If the licensee is a member of multiple associations, the licensee may only receive four credits during the biennial compliance period. The CE credits are applied on a “first come, first served” basis.

Q. Will each organization have to submit the roster under its own course name and course number?

A. No. Prometric will provide the course name and course number. Courses will be created under the provider name “NC Insurance Association”. One course will provide 2 General credit hours annually and another course will provide 4 General credit hours every other year (or biennially).

Q. When should the association file the credits for the licensee?

A. The association should file the credits for the licensee after December 1st and by January 15th annually. Please note only 4 CE credits will be granted in any biennial compliance period.

If the association files duplicate credits for a licensee during a licensee’s biennial compliance period (including the pro-rated period) the duplicate credits will not be applied to the licensee’s record. If a licensee is a member of multiple organizations, the licensee should choose one association for filing of the credit because the licensee can only receive a maximum of four credits per biennial compliance period.

If the roster is submitted after January 15th, the roster will be returned to the association. The association may make an appeal to the Department for the late submission of credit.
Q. How should the rosters be submitted – paper or online?

A. Rosters should be submitted to Prometric via paper along with the per person roster fee of $1.00 per credit hour. The roster submission must clearly indicate that the requested credit hours (2 General credit hours annually or 4 General credit hours biennially) are to be applied towards the current year’s association credit. Roster fees can be paid by either a check made payable to Prometric or by credit card authorization. Rosters and roster fees should be sent to:

Prometric  
Attn: Continuing Education Administrator  
7941 Corporate Drive  
Nottingham, MD 21236  
Email: ceprocessing@prometric.com

Q. If the State Office of the Association submits a roster to Prometric, what documentation must the association maintain as proof the licensee’s membership was active during the biennial compliance period, the licensee attended a national meeting on an annual basis, the licensee attended 50 percent of the regular meeting and the licensee attended a statewide or intrastate regional educational meeting on an annual basis, where the regional meeting covered an area of at least 25 counties of the State?

A. The associations should maintain membership records and attendance records for their regular meetings and intrastate regional educational meetings for a three year period to show that the licensee meets these qualifications. The State Office of the Association shall file the credits and attest to the participation of the licensee on a form prescribed the Commissioner based on reports made by the local chapters (if applicable). The roster form for the 2-hour course can be found [here](#). The roster form for the 4-hour course can found [here](#).

Q. What if the association does not hold local meetings but does hold statewide meetings or does not hold a statewide meeting but does hold local meetings? In other words, does the individual have to meet all requirements? i.e. – does he/she have to attend the local meetings and the statewide educational meetings?

A. The credits are awarded based on active membership and participation by the licensee in the associations during the biennial compliance period. If the association does not have both state and local meetings, the association may give the member credit as long as the member has participated in the association in one of the following ways:

1. Certify to the Commissioner or Administrator that the licensee attended 50 percent of the regular meetings; or
2. Certify to the Commissioner or Administrator that the licensee attended a statewide or intrastate regional educational meeting on an annual basis, where the regional meeting covered an area of at least 25 counties of the State; or
3. Certify to the Commissioner or Administrator that the licensee attended a national meeting on an annual basis (i.e., National Convention or Legislative “Day on the Hill” in Washington, D.C.)

The Department requires that the State Office of the Association file the CE credits with the CE Administrator and establish a reporting system with the local chapters (if applicable) for members who should receive the credit.
Appeals on actions by Prometric must be made within 15 days of the decision.

There are times when a CE Provider may appeal a decision regarding the outcome of a course application or the findings of a CE audit. If a disagreement arises, the Department recommends the following procedures be followed in the sequence listed below.

1. Call Prometric and discuss the disagreement with a CE Evaluator/Auditor, who will go over the findings with you and try to resolve the issue by phone.

2. If the appeal cannot be resolved by phone, write to Prometric with the reason(s) for disagreement and reconsideration of the decision. Prometric will respond to the request within 15 business days of the receipt. Send requests to:

   Prometric Operations Center
   Attn: NC Continuing Education Processing
   7941 Corporate Drive
   Nottingham, MD 21236
   Email: CE-Appeals@prometric.com

3. If you disagree with Prometric’s response to your written request, you should then address your request, in writing, to the North Carolina Department of Insurance. State your reason for disagreeing with Prometric’s response and include copies of any correspondence. Send your request within 15 days of receiving Prometric’s action to:

   North Carolina Department of Insurance
   Agent Services Division
   1204 Mail Service Center
   Raleigh, NC 27699-1204

Sanctions for Noncompliance (11 NCAC 06A .0811)

The Commissioner may suspend, revoke, or refuse to renew a course provider’s or instructor’s authority to offer courses for any of the following causes:

1. Advertising that a course is approved before the Commissioner has granted such approval.
2. Submitting a course outline with material inaccuracies, either in length, presentation time or topic content.
3. Presenting or using unapproved material in providing and approved course.
4. Failing to conduct a course for the full time specified in the approval request submitted to the Commissioner.
5. Preparing and distributing certificates of attendance or completion before the course has been approved.
6. Issuing certificates of attendance or completion before the completion of the course.
7. Failing to issue certificates of attendance or completion to any licensee who satisfactorily completes a course.
8. Failing to notify the Commissioner in writing of suspected or known violations of the North Carolina General Statutes or Administrative Code within 30 days after suspecting or knowing about the violations.
9. Violating the North Carolina General Statutes or Administrative Code.
10. Failing to monitor attendance and attention of attendees.

The Commissioner may require any one of the following upon finding a violation of this section:

1. Refunding all course tuition and fees to licensees.
2. Providing licensees with a course to replace the course that was found in violation.
3. Withdrawal of approval of courses offered by the provider, presenter or instructor.
North Carolina Department of Insurance
Continuing Education Program

Instructions for Completing the Provider Application

Organizations providing insurance continuing education for North Carolina must be reviewed and approved by Prometric, according to the guidelines set by the North Carolina Department of Insurance. Prometric will assign a provider number that will allow courses to be tracked by provider.

You may apply as a provider when you send your first course for review.

Completing the Provider Application Form

Provider Name
Print or type the full legal name of the organization providing the education.

FEIN Number
Provide the Federal Employer Identification Number for the provider.

Names and Titles of Owners/Officers
List all individuals who have a significant financial interest in your organization. For partnerships, list all partners. For corporations, name all officers, as well as any shareholders, who have a 25% or greater interest.

Address
A complete street address, including zip code, is required. A post office box may also be provided in addition to but not in place of a physical street address.

Contact Person and Title
Please provide the name and title of one individual with whom we should communicate for all business matters. Where several people may be applicable, give the name of the one who knows the contact person for each type of issue that may arise.

Voice Phone, Fax Number and E-mail Address
Provide the voice phone number where the contact person may be reached. Also provide a fax number and e-mail address.

URL
Provide the organization’s URL. Prometric will provide a link to this address on the list of approved courses available to the public.

How Long in Business
Provide the number of years your organization has been in the business of providing CE courses.

Courses Open to the Public
Courses not open to the public will not appear on lists of approved courses for licensees.

Type of Organization
Check the type that best describes your organization.

- A Professional Organization is a not-for-profit association of insurance professionals whose primary function is to foster professionalism through training, fellowship, and communication.
- Insurance Agency includes independent and exclusive agencies, wholesalers, E & S brokers, and MGAs.
- Training Company offers courses of training to insurance professionals.
- Insurance Company is an insurer, a company that underwrites and issues policies.
• The Other category is intended to cover organizations that do not fit into the previous categories. If you use the Other category, briefly describe your organization; your application may be assigned to another category.

Former Names and Locations
If your organization has ever operated under a different name, list all names. If a sole proprietorship or partnership, indicate the names of all training companies of which the proprietor or any partner has been a proprietor, partner, or held at least 50 percent ownership interest. If a corporation, for each owner who holds at least 50 percent of the voting stock, please list all training companies of which any of these owners have been proprietors, partners, or have held at least 50 percent of the voting stock.

Certification
You must certify that your organization will abide by all North Carolina laws and Department of Insurance regulations, policies, and program requirements regarding insurance continuing education.

Submission
All applications must be submitted via Sircon’s Compliance Express.

Fees are nonrefundable.
## North Carolina Department of Insurance
### Provider Approval Application

**PLEASE PRINT OR TYPE. PHOTOCOPY AS NEEDED.**

<table>
<thead>
<tr>
<th>Provider Name</th>
<th>FEIN</th>
<th>Prometric Use Only</th>
</tr>
</thead>
</table>

**Names and Titles of Owners or Officers (list below)**

<table>
<thead>
<tr>
<th>Name</th>
<th>Title</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<tr>
<td></td>
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<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Address**

<table>
<thead>
<tr>
<th>City</th>
<th>State</th>
<th>Zip Code</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
<td></td>
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<td></td>
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<td></td>
</tr>
</tbody>
</table>

**Contact Person**

<table>
<thead>
<tr>
<th>Voice Phone #:</th>
<th>Ext.</th>
<th>Fax #:</th>
<th>E-mail Address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
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<tr>
<td></td>
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</tr>
</tbody>
</table>

**URL:** http:\\  
**How long have you been in business?**

- [ ] Yes  
- [ ] No

**Are your courses open to the public?**

- [ ] Yes  
- [ ] No

**Type of Organization:**

- [ ] Professional Organization  
- [ ] Insurace Agency/  
- [ ] Brokerage/ Wholesaler  
- [ ] College/University  
- [ ] Training Company  
- [ ] Insurance Company  
- [ ] Other ___________________

**Have you operated under any other name?**

- [ ] Yes  
- [ ] No

<table>
<thead>
<tr>
<th>Name</th>
<th>Address</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td></td>
</tr>
<tr>
<td></td>
<td></td>
</tr>
</tbody>
</table>

---

I certify that I have read the provider requirements for North Carolina Continuing Education providers and agree to abide by them and will abide by North Carolina insurance laws and regulations. Additionally, I certify that any instructors I utilize to teach courses meet the qualifications specified in 11 NCAC 06A .0808 and 11 NCAC 6A .0705(a) and that they will abide by all program requirements. I am aware that any failure to abide by the requirements may result in the termination of this provider’s authorization to offer courses and that all course approvals will be simultaneously withdrawn.

__________________________  __________________________
Applicant’s Signature     Date

__________________________  __________________________
Print or Type Name          Title

NCP-01 (01/2013)
North Carolina Department of Insurance  
Continuing Education Program  

Instructions for Completing the Course Approval Application

Only courses that have been reviewed and approved by Prometric may be offered for North Carolina CE credit.

North Carolina participates in the NAIC CE Reciprocity Agreement. If you are a provider domiciled in a participating state, you may submit course approval applications based on this reciprocity. Information and instructions are on Pages 22.

Completing the Form

**Provider Name**
Print or type the full legal name of the organization providing the course.

**Provider Number**
Enter the provider number assigned to your organization by Prometric. If your organization is applying now to be an approved provider, leave this space blank.

**Course Title**
Enter the title (maximum of 40 characters, including spaces).

**Course Number**
Please leave blank; Prometric will assign a number.

**Course Type**
Mark the format that will apply for this course. Classroom includes single and multiple-session classroom courses, seminars, conferences and conventions at which attendance is monitored. Classroom courses approved for eight or more credits must provide an exam. Self-study courses are courses for which attendance is not monitored. Self-study courses must be followed by an exam and proctored by a disinterested third party. Credit may be given for self-study courses only when the student passes the exam.

**Number/Type of credit hours requested**
This is to give Prometric an indication of what is desired. Prometric will review the course and assign the credit hours based on North Carolina standards.

**CE Course Rating**
This is to provide an indication to students about the relative complexity of the course and will appear on lists of approved courses for licensees.

**Name(s) of Instructor(s)**
Provide the name(s) of the instructor(s) who will teach the course.

**Attachments**
Be sure to include all required items with the submission. Prometric may disapprove a course if the submission is incomplete.

**Submission**
All applications must be submitted via Sircon’s Compliance Express.

Prometric will review and approve or disapprove course applications promptly. If a course application is not approved; you will be informed of the reason(s). If a course is approved, Prometric will send a course approval certificate indicating the assigned credits.
### North Carolina Department of Insurance
Continuing Education Program
Course Approval Application

**PLEASE PRINT OR TYPE. PHOTOCOPY AS NEEDED.**

<table>
<thead>
<tr>
<th>Provider Name</th>
<th>Provider Number</th>
</tr>
</thead>
<tbody>
<tr>
<td>Course Title (maximum 40 characters)</td>
<td>Course Number (Leave Blank)</td>
</tr>
<tr>
<td><strong>Course Type:</strong> &lt;br&gt;(check one)</td>
<td><strong>Number &amp; Type of credit hours requested:</strong></td>
</tr>
<tr>
<td>___ Classroom &lt;br&gt; ___ Self-study</td>
<td>_______ General &lt;br&gt; _______ Ethics &lt;br&gt; _______ Flood &lt;br&gt; _______ Long Term Care Partnership</td>
</tr>
<tr>
<td>(total word count)</td>
<td>The provider of a classroom course approved for 8 (eight) or more Long Term Care Partnership credits may request an exemption from the classroom exam requirement. You must check the box to request the exam exemption</td>
</tr>
<tr>
<td>___ Expedited &lt;br&gt;(additional $55.00)</td>
<td>Course Rating (experience level)</td>
</tr>
<tr>
<td><strong>Name(s) of Instructor(s) for this course:</strong></td>
<td></td>
</tr>
</tbody>
</table>

**Submissions received without the required supporting material may be returned as incomplete.**

**For all courses:** Attach tuition and refund policy. Include statement for whom the course is designed and course objectives as well as names & duties of those involved in official capacity with the course. Include a copy of the course completion certificate.

**For Classroom courses:** Attach a comprehensive course outline and bibliography as well as method of presentation and copy of the exam if applicable. Course offering schedule must be included.

**For Self-Study courses:** Include study materials, exam procedures and sample exam along with total word count (total word count does not include table of contents, glossary, appendices, indexes and exam). Include electronic copy of course content and exam for Internet course. **Failure to include the electronic copy of the course content and exam may result in the disapproval of this application.**

**Has this course been previously approved by Prometric in another state?**

<table>
<thead>
<tr>
<th>Yes</th>
<th>No</th>
</tr>
</thead>
</table>

If so, provide Prometric-issued course number and state.

**I, the undersigned, do hereby certify that all information provided herein is true and correct. Additionally, I certify that any instructors I utilize to teach courses meet the qualifications specified in 11 NCAC 06A .0808 and 11 NCAC 6A .0705(a) and that they will abide by all program requirements. If this is an online self-study course, I certify that all required security measures (as outlined on page 10) are in place. I am aware that any failure to abide by the requirements may result in the termination of this provider’s authorization to offer courses and that all course approvals will be simultaneously withdrawn.**

_________________________  _____________________  ____________
Printed/Typed Name of Authorized Provider Representative  Signature  Date

NCC-01 (01/2013)
DIRECTORS AND OFFICERS LIABILITY

25 minutes  8:30 - 8:55  I. Recent history of D&O liability exposure
A. Trends in D&O claim frequency and severity
B. Major problem areas
   1. Federal securities laws
   2. Mergers/acquisitions
   3. Pollution claims
   4. Financial institutions claims
   5. Third-party claims
C. Recent large settlements and judgments

25 minutes  8:55 - 9:20  II. Legal concepts underlying the D&O exposure
A. Basic legal duties of directors and officers
   1. Duty of obedience
   2. Duty of loyalty
   3. Duty of care
B. To whom duties are owed
C. Common defenses
D. Recent legislation limiting director liability

9:20 – 9:30  BREAK

50 minutes  9:30 - 10:20  III. Common exclusions
A. Public policy exclusions
   1. Dishonesty
   2. Gaining an illegal profit or advantage
   3. Section 16(b) of the Securities Exchange Act
   4. Return of excessive remuneration
B. Intended to be covered elsewhere
   1. Libel and slander
   2. Nuclear energy
   3. Employment practice

10:20 – 10:30  BREAK

50 minutes  10:30 - 11:20  IV. Case study
Review of ABC Corporation’s stockholder lawsuit alleging mismanagement by the corporation’s board of directors and senior management. Study includes review of facts, company’s defense and participation in defense by the insurer.

Reasons for acceptability:
1. Sufficient detail on subject matter covered.
2. Sufficient detail on amount of time spent on each topic.
3. Insurance policy content is a topic that qualifies for credit.
4. Breaks are noted on the outline. Ten minutes per hour of instruction are recommended.
5. Case study is described. It is useful to include the case study materials with the outline.
ADVANCED WORKERS COMPENSATION SEMINAR

8:00 a.m. – noon
I. Introduction

II. Policy coverages
   A. Benefits to injured workers
   B. Employer liability

III. Writing workers' compensation coverages with Middle Atlantic Life and Casualty
   A. Sales support to agents
   B. Price and service comparisons to competitors

IV. Use of technology by agents to service clients
   A. Wonder Wizard Claim Reporting Software
   B. Visit the Middle Atlantic Life and Casualty interactive Website

Working luncheon

Noon – 1:00 p.m.  V. Reserving

1:00 p.m. – 4:00 p.m. VI. Loss control activities

VII. Case studies

VIII. Panel discussion with experts

Deficiencies in this outline:
1. Insufficient detail on subject matter covered.
2. Insufficient detail on amount of time spent on each topic.
3. Sales and marketing topics are not eligible for credit.
4. Company-specific procedural or marketing content is not eligible for credit.
5. Training for office technology or use of the Internet is not eligible for credit.
6. Course material may not be presented concurrently with meals.
7. Where case studies are used, a description of the case study must be included with the course outline.
8. Where panel discussions are used, a description must be provided along with a description of the topic(s) to be addressed and backgrounds of the panel members.
9. Breaks are not noted on the outline.
Instructions for Providers Eligible for NAIC Continuing Education Reciprocity

As of January 2010, all states or jurisdictions are participating in the agreement **EXCEPT**:

<table>
<thead>
<tr>
<th>American Samoa</th>
<th>Massachusetts</th>
</tr>
</thead>
<tbody>
<tr>
<td>Florida</td>
<td>Puerto Rico</td>
</tr>
<tr>
<td>Guam</td>
<td>Virgin Islands</td>
</tr>
</tbody>
</table>

To obtain North Carolina approval, based on this reciprocity, you must complete all of these steps:

1. Be approved as a provider in your state of domicile.
2. Receive a course approval document from your state of domicile. This may either be a letter of approval or the stamped approved application form that was filed in the resident state.
3. Be approved as a North Carolina provider. This is a separate application that must be completed before you can apply for course approval. This is a one-time approval.
4. Complete the NAIC Standard Continuing Education Filing Form for each course.
5. Submit a photocopy of the course approval document from your home state.
6. Submit a copy of the course outline for classroom courses or the table of contents for self-study courses.
7. Pay the $145.00 course approval fee for each course.

All applications must be submitted using Sircon’s Compliance Express.

North Carolina is not required to accept any topic, provider or instructor that is not eligible for approval under its laws and regulations.
INSTRUCTION SHEET

NOTE: This course may NOT be advertised or offered as approved in the state to which application has been made until approval has been received from the insurance department.

1. If you are a PROVIDER filing for approval from the Home State:
   1.1 Complete all the fields in the “Provider Information” section except “Reciprocal State” and the adjacent “Provider #” fields.
   1.2 Complete the Course Information Section.
   1.3 In the “Credit Hours Requested and Course/Hours Decision” section, complete the “Hrs. Requested by Provider” columns, detailing in the respective columns the number of hours for sales – and marketing-related instruction and the number of hours for other insurance-related instruction. Please note the following:
      1.3.1 When using this application, which is governed by the NAIC CE Reciprocity Agreement in conjunction with ‘states’ laws, only whole numbers of credit hours will be approved – partial hours will be eliminated.
      1.3.2 States that approve sales/marketing topics will consider the hours in the “sales/Mktg” column and the hours in the “Insurance” column when deciding the number of hours to approve. States that do not permit sales/marketing topics as part of continuing education credit hours will only consider the hours shown in the “Insurance” column when making their credit-hour approval decisions.
      1.3.3 Contact the individual state to determine whether there are any state specific requirements for submitting courses.
   1.4 Submit the application form along with required course materials, a detailed course outline, instructor information, if required, and the required course application fee.

2. If you are a PROVIDER filing for approval from a Reciprocal State:
   2.1 Make a sufficient number of photocopies of the Home State approval form to enable you to submit a copy of this application to each of the Reciprocal States where you are seeking credit.
   2.2 On each application, write the Reciprocal State and the provider number assigned to you by that state in the “Reciprocal State” and adjacent “Provider #” fields.
   2.3 Send the CER application, home state approval, if home state issues one, a detailed course outline, and the required fee to the reciprocal state. If this is a National Course *, the Providers will be allowed to submit an agenda that must include date, time, each topic and event location in lieu of a detailed course outline.
   2.4 Subsequent national course offerings should only be reported for events that are conducted in the “home” state.

* National Course is defined as an approved program of instruction in insurance related topics, offered by an approved provider, and leads to a national professional designation or is a course offered to individuals who must update their designation once it is earned.

3. If you are the HOME STATE or designated representative of the Home State:
   3.1 After reviewing the course materials, complete the “Hrs Approved by Home State” column.
      3.1.1 Multiple types of credit and delivery methods can be approved using one CER Form.
   3.2 Enter the date of approval, course # assigned, course approval expiration date. Sign the CER Form OR attach the home state approval form.
   3.3 If the course is not approved, note it on the bottom of the CER Form.

4. If you are the RECIPROCAL STATE or designated representative of the Reciprocal State:
   4.1 After reviewing “Hrs approved by Home State” complete the “Hrs Approved by Reciprocal State”.
      4.1.1 It is unnecessary for each State to perform a substantive review of continuing education courses that have previously been approved by the Home State.
      4.1.2 Reciprocal states cannot award different credits than the home state unless certain aspects are not allowed by state law.
   4.2 Enter the date of approval, course number assigned, course approval expiration date. Sign the CER Form OR attach the reciprocal state approval form.
   4.3 If the course is not approved, note it on the bottom of the CER Form.
   4.4 The reciprocal state agrees to approve the CER submission within 30 days of receipt.

Substantive Review – A thorough review of the course to confirm compliance with the home state’s applicable laws and regulations for the approval of insurance continuing education. The review includes a determination whether the:

1. Subject matter meets the criteria for insurance education, to include approvable and non-approvable topic guidelines;
2. Provider has procedures for reviewing course material in order to keep it up to date and timely;
3. Course design and instructional strategies are appropriate for the method of delivery;
4. Credit hours are properly calculated based on instruction method;
5. Criteria for completing the course meets the standards applicable to the instruction method.

*Drafting Note*: The instructor information matrix was eliminated in 2018 as this information should be readily available on individual state/jurisdiction websites.
**Provider Information**

<table>
<thead>
<tr>
<th>Provider Name</th>
<th>FEIN # (if applicable)</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Contact Person</strong></td>
<td><strong>E-mail Address of Contact Person</strong></td>
</tr>
<tr>
<td><strong>Phone Number</strong> (  ) - ext.</td>
<td><strong>Fax Number</strong> (  ) -</td>
</tr>
<tr>
<td><strong>Home State</strong></td>
<td><strong>Home State Provider #</strong></td>
</tr>
<tr>
<td><strong>Reciprocal State</strong></td>
<td><strong>Reciprocal State Provider #</strong></td>
</tr>
<tr>
<td><strong>Mailing Address</strong></td>
<td><strong>City</strong></td>
</tr>
<tr>
<td><strong>Submitter Name</strong> (if different from provider contact person above)</td>
<td><strong>Submitter Phone Number</strong></td>
</tr>
</tbody>
</table>

**Course Information**

| **Course Title** | **Date of Course Offering** (if applicable) | **Existing Course Number** (if applicable) |

**Method of Instruction**

**Non-Contact / Asynchronous***

**Self – Study**

- □ Correspondence
- □ On-Line Training (Self-Study)
- □ Recorded Media
- □ Other ________________________

Word Count ________________________

Mandatory Run-time ________________________
(Interactive Components of Course)

**Contact / Synchronous***

**Classroom**

- □ Seminar/Workshop
- □ Other ________________________

**Webinar**

- □ Virtual Class/Webinar/Video Conference
- □ Other ________________________

Measurement used for successful completion:

- □ Attendance
- □ Final Exam
- □ Other

Is this course open to the public?

- □ Yes
- □ No

National Designation?

- □ Yes
- □ No

If yes, Designation Type: ____________________________________________________________
<table>
<thead>
<tr>
<th>Course Concentration</th>
<th>Hrs Requested by Provider Sales/Mktg Insurance</th>
<th>Hrs Approved by Home State Sales/Mktg Insurance</th>
<th>Hrs Approved by Reciprocal State Sales/Mktg Insurance</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A. Producer Topics:</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Circle Appropriate Course Concentration)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Life / Health</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Property / Casualty/Personal Lines</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ethics</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General (Applies to all lines)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Insurance Laws</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other (LTC, NFIP, Viaticals, Annuities, etc.)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Hours</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>B. Adjuster Topics</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Circle Appropriate Course Concentration)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General</td>
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<tr>
<td>Workers Comp</td>
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<tr>
<td>Ethics</td>
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<tr>
<td>Other</td>
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<td></td>
</tr>
<tr>
<td><strong>Total Hours</strong></td>
<td></td>
<td></td>
<td></td>
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<tr>
<td><strong>C. Public Adjuster</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Circle Appropriate Course Concentration)</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>General</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Ethics</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Other</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td><strong>Total Hours</strong></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

**Information Below is for Regulator Use Only**

- Approval Date
- Course Number assigned
- Course approval expiration date
- Signature of Home State Regulator/Representative OR ATTACH Provider Home State Approval Form
- Signature of Reciprocal State Regulator/Representative OR ATTACH Reciprocal State Approval Form
Sample

AFFIDAVIT OF PERSONAL RESPONSIBILITY
To be signed by Student

I declare that I personally completed this exam without any outside assistance including course material, other source material or assistance from any person(s).

______________________________  __________________________
Signature (sign in ink only)     Date

AFFIDAVIT OF EXAM COMPLETION
To be Completed and Signed by Exam Monitor

I declare that I personally observed the above named individual during the completion of this examination and also observed that the student received no outside assistance in completing the examination.

______________________________  __________________________
Name of Student                  Name of Course

______________________________
Address where exam was taken

_________________________  _________________  _________________
Date exam was taken     Beginning time     Ending time

MONITOR: DISINTERESTED THIRD PARTY

_________________________
Print name of person administering test

_________________________
Job title of person administering test

_________________________
Company/agency name

_________________________
Business phone number

______________________________
Business mailing address

______________________________  __________________________
Signature of person administering test     Date
Accuracy in roster submission is essential. Key entry errors or transpositions in the National Producer Number (NPN) may result in the need for corrections and delay in credits being recorded. **If an error is made by the provider on the roster submission, it is the provider’s responsibility to resubmit the corrected roster with an additional reporting fee.**

Course completions must be reported to Prometric via Sircon’s website, [www.sircon.com](http://www.sircon.com), within 15 business days after completion. Rosters that are more than 30 days old, must be submitted directly to Prometric on the paper roster form.

Step by step instructions to submit rosters online can be found at [https://sirconwalkup.ertafore.com/apex/Article?Id=kA241000000SUqYCAW](https://sirconwalkup.ertafore.com/apex/Article?Id=kA241000000SUqYCAW).

E-mail [CESupportTeam@Prometric.com](mailto:CESupportTeam@Prometric.com) with questions about roster reporting.

Complete this form and include with all paper rosters.

**Roster fee is $2.05 per credit per student.**

For example:
- 3 students complete a 4-credit course. Fees due would be $24.60.
- 1 student completes a 20-credit course. Fee due would be $41.00.

The enclosed roster contains the following:

<table>
<thead>
<tr>
<th>Student Records</th>
<th>Credit Hours</th>
<th>Fee</th>
<th>Total Fees</th>
</tr>
</thead>
<tbody>
<tr>
<td>x 2.05 = $</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Enclose one credit card authorization or check payable to Prometric for the total fee. Do not send checks from individual students.

*You may also pay using American Express, Visa or MasterCard.*  
*If your card is denied, the transaction will not be processed.*

Card number: ________________________________
Name on card: ________________________________
Expiration date: ________________________________

Send to:

Prometric Operations Center  
Attn: Continuing Education Processing  
7941 Corporate Drive  
Nottingham, MD 21236

*(Any communications that contain credit card information should be sent to the following email address: ceprocessing@prometric.com)*

Provider Number: _____________________  
Provider Name: _____________________

Prepared By: _____________________

Phone Number: _____________________  
E-Mail Address: _____________________
North Carolina Continuing Education Course Roster

*Rosters must be submitted within 15 business days of the course completion date online with Sircon. This form should be used if more than 30 days have passed.*

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**Students**

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NCCR-01 (01/08)
Instructor Qualifications

Courses approved for North Carolina CE credit must be taught by instructors who meet one or more of the qualifications below. There is not an application form or fee for instructors. Providers must verify each instructor’s relevant qualifications and maintain those records in the event of an audit. Providers will certify on their provider and course application forms that their instructors meet the qualifications.

Do not submit supporting documentation for instructors to Prometric or the Department. Providers, however, must be prepared to provide the supporting documentation if requested.

Each Instructor shall have one or more of the following qualifications, which must be verified by the continuing education provider:

1. Accident and health or sickness, Medicare supplement insurance and long-term care insurance:
   - Registered Health Underwriter (RHU); Certified Employee Benefits Specialist (CEBS);
   - Registered Employee Benefits Specialist (REBC); Health Insurance Associate (HIA);
   - Five years of full-time experience as an employee, agent, or broker interpreting or explaining policies covering accident and health or sickness insurance, Medicare supplement insurance or long term care insurance;
   - Holds an associate degree or bachelor's degree in insurance; or
   - Has education and experience that are found by the Commissioner to be equivalent to the qualifications described in 11 NCAC 06A.0703(d)(1) and (d)(2).

2. Life Insurance and annuities:
   - Chartered Life Underwriter (CLU); Chartered Financial Consultant (ChFC); Fellow Life Management Institute (FLMI); Life Underwriter Training Council Fellow (LUTCF); Certified Employee Benefits Specialist (CEBS); Certified Financial Planner (CFP);
   - Five years of full-time experience as an employee, agent, or broker interpreting or explaining life insurance policies or annuities;
   - Holds an associate degree or bachelor's degree in insurance; or
   - Has education and experience that are found by the Commissioner to be equivalent to the qualifications described in 11 NCAC 06A.7003(d)(1) and (d)(2).

3. Property Insurance, casualty insurance and personal lines:
   - Chartered Property and Casualty Underwriter (CPCU); Accredited Advisor in Insurance (AAI); Associate in Risk Management (ARM); Certified Insurance Counselor (CIC);
   - Five years of full-time experience as an employee, agent, or broker interpreting or explaining property insurance, casualty insurance, or personal lines policies;
   - Holds an associate degree or bachelor’s degree in insurance, or
   - Has education and experience that are found by the Commissioner to be equivalent to the qualifications described in 11 NCAC 06A.0703(d)(1) and (d)(2).
Providers must provide the student with a course completion certificate within 15 business days of a student’s successful completion of an approved course.

Providers may create their own forms for course completion certificates, provided all of the same information indicated above is clearly reflected on the certificate.

For self-study courses that require a proctor (or monitor), use the date that the course was proctored as the course completion date.
North Carolina Department of Insurance
Instructions for Completing the Course Offering Schedule

Report all course offerings to Prometric at least 10 days in advance of conducting the course. Notify Prometric immediately of course offering changes or cancellations; this notification must be done before the class.

YOU MAY ENTER, EDIT AND DELETE COURSE OFFERING SCHEDULES ONLINE AT WWW.SIRCON.COM

Changes of Cancellations
Notify Prometric immediately if a reported course offering is changed or is to be canceled. A provider shall not cancel a course unless the provider gives written notification to all students and to Prometric at least five days before the date of the course.

Completing the Form
Schedule information may, at the discretion of Prometric, be accepted in another format. At time of online submission, the sponsor must provide all of the information listed.

Location
Indicate city, state, complete street address with suite number, building name, if applicable, and ZIP code. If the course will be held in a hotel or restaurant, indicate the name of the hotel or restaurant. If the course will be held at an agency or insurance company, give the name of the firm where the course will be held.

Schedule
Indicate the dates held and beginning and ending times for the courses. If the course is part of a longer training session including non-approved material, indicate only the time for the approved section. Weekly classes must give day of week, number of sessions, beginning and ending dates, and any dates class will not be held.

Contact Person and Phone
The contact person at the location is often the instructor or registrar/door monitor. Indicate the phone number at the location of the class, not the sponsor’s office phone.
North Carolina Department of Insurance
Continuing Education Program

Request for Mailing List

Mark the type of list requested:

Licensees **Not Yet Compliant** in Current Period
- [ ] Only Agents
- [ ] Only Adjusters
- [ ] All Licensees

Licensees both Compliant and Not Yet Compliant in Current Period
- [ ] Only Agents
- [ ] Only Adjusters
- [ ] All Licensees

Lists will include the following fields: Name, National Producer Number, License Type, Address Line 1, Address Line 2, City, State, ZIP Code, email address (if provided).

Lists will be produced within five business days of receipt of request and will be emailed.

I certify that this list will be used for the sole purpose of advertising or promoting North Carolina CE courses for this provider. I acknowledge that any other use of the information will result in the withdrawal of all my course approvals as well as disciplinary action against any North Carolina insurance licensee involved in such misuse.

Provider # S________ Provider Name__________________________________________________________

Email Address __________________________________________________________

Printed Name of Provider Representative ____________________________________________

Signature of Provider Representative _________________________________________________

The fee is $150.00 per list. Make checks payable to Prometric or provide a credit card authorization. Fees are non-refundable.

*You may pay using Visa, MasterCard, or American Express.*

Card number: ________________________________________________

Name on card: ________________________________________________

Expiration date: ________________________________________________

*If your card is denied, the transaction will not be processed.*

Send request to: Prometric Operations Center, Attn: Continuing Education Processing, 7941 Corporate Drive, Nottingham, MD 21236, Fax: 1 800.735.7977, Email: ceprocessing@prometric.com