SBS online continuing education

user guide

Version 3.2

Powered By
NAIC National Association of Insurance Commissioners

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GENERAL INFORMATION

- Print this manual by selecting File → Print, then click the OK button.
- Use the controls at the bottom of the window to quickly scroll through the pages.
- The Windows® close button is used throughout this manual as several functions open in a new window.
- Use the application's navigation links and buttons rather than the browser's buttons—especially don't use the "Back" button on the browser when paying a fee.
- Allow time for the application's screens to fully load. This delay is most noticeable in the summary screens, as there may be a lot of information to compile and display. Watch the browser activity button; when it stops moving, the page is fully loaded.
- Return to the ONLINE CE Welcome page (main menu) from almost any screen by clicking the button, or the Home link in the top right corner of the screen.
- IMPORTANT: SBS States can choose the features of ONLINE CE that they wish to use. Therefore, all the features described in this guide may or may not be available in your state.

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Help Desk Information

Please call the SBS Help Desk if you are having any problems using this Internet application.

Speak with a Help Desk analyst by calling 816/783-8990 between the hours of 8 a.m. to 5 p.m. Central time, Monday through Friday (except holidays).

Send an e-mail anytime to: sbshelp@naic.org. If the e-mail message is sent to the Help Desk outside the times listed above, it will be answered the next business day.

SBS System Requirements

- Intel® Pentium® Pro 200 MHz or higher processor and 128+ megabytes of memory
- Microsoft® Windows® Operating Systems: Windows® 2000 or Windows® XP
- Internet browser must be a 32-bit Internet browser such as Microsoft® Internet Explorer 6.0 with Service Pack 1 installed
- Internet browser must be JavaScript™-enabled and set to accept cookies and must accept Microsoft® ActiveX controls to view reports

click to search table of contents

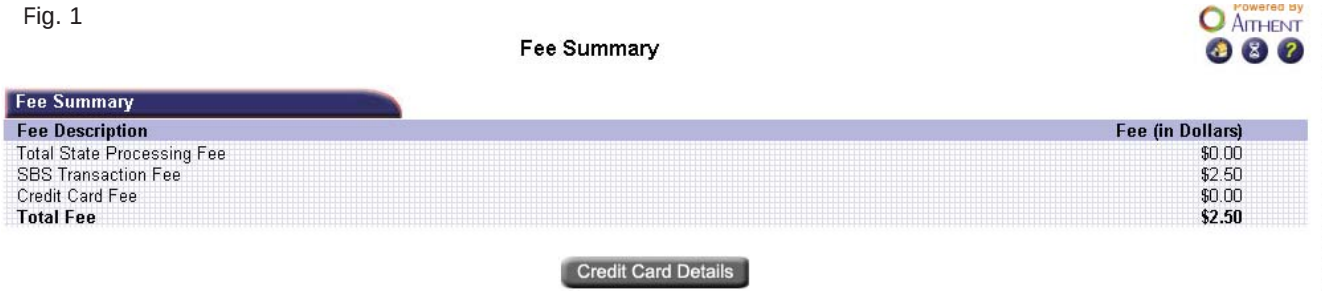
FEE PAYMENT INFORMATION

This set of instructions is generic to the application and appears when the state department of insurance charges a fee for the completed process.

Fee Summary Page

Print this page using the print button on the browser if you need to have the fees itemized as shown in Figure 1 for your records. This is the only page on which the breakdown is shown.

Fig. 1



Fee Description	Fee (in Dollars)
Total State Processing Fee	$0.00
SBS Transaction Fee	$2.50
Credit Card Fee	$0.00
Total Fee	**$2.50**

Credit Card Details

The Fee Summary page is first. This page itemizes the fees for performing certain functions such as adding a course, and the total amount you must pay by credit card.

Click **Credit Card Details** to enter the credit card information.

click to search table of contents

Credit Card Details Page

Fig. 2

Credit Card Details

Credit Card Details

Credit Card Number *		Card Type *	
Card Holder Name *		Amount (in $)	2.50
Billing Street Name*			
Billing City *		Billing State *	
Billing Country	United States	Billing Zip Code *	
Email *		Expiration Date *	

* Denotes Required Field

Having a Problem?

Process Cancel

All fields are required*, but the Amount field is read only as it is pre-populated with the total amount from the previous page, and the Billing Country field defaults to “United States.”

Click **Process** to continue.

Click **Cancel** to void the transaction and quit. Returns to the Fee Summary page, so just click to return to the ONLINE*CE* Welcome page and discard all forms.

click to search table of contents

Credit Card Details Confirmation Page

Fig. 3

Credit Card Details Confirmation

Credit Card Details Confirmation

Credit Card Number	5555555555555555
Holder Name	Progressive Ins Co
Amount	$ 2.50
Credit Card Type	Master Card
Street Address	123 Street Ave
	Kansas City DE 98546
Country	United States
Email	fakename@fakedomain.com
Expiry Date (mm/yyyy)	07/2008

ALL FEES ARE NON-REFUNDABLE AND WILL APPEAR AS A CHARGE FROM THE NAIC ON YOUR MONTHLY CREDIT CARD STATEMENT.

The Transaction is not final until you click the 'Process' button.

Click the 'Back' button to change any information.

Do not click the 'Process' button more than once, on this page, or else it can result in duplicate payment.

Process Back

This page just confirms the information input in the Credit Card Details page. Follow the directions and make note of the information at the bottom of this page.

Click **Process** to process this transaction. Do not push this button more than once.

Click **Back** to go back one page and edit the credit card details.

click to search table of contents

Success Screen

Fig. 4

Your record has been submitted successfully.

Dear PROGRESSIVE INS CO,

Thank you for using NAIC's State Based Systems Continuing Education Provider services, offered on behalf of **Insurance Department.**.

ALL FEES WILL APPEAR AS A CHARGE FROM THE NAIC ON YOUR MONTHLY CREDIT CARD STATEMENT.

Renewal Details for Provider and its courses / instructor licenses
Transaction reference number: 1420250
Card Number: XXXXXXXXXXXX5100
Amount: 2.50
Authorization Number: V79F0B5B7361
Transaction Date: 05/18/2007

Your application has been successfully submitted and is in pending status. Please contact the State / District Insurance Department with questions.

Click here to print application receipt

Close

The success screen consists of a letter with the pertinent transaction data and information, and a self-explanatory link, Click here to print application receipt.

Click the Close link to close the application and exit.

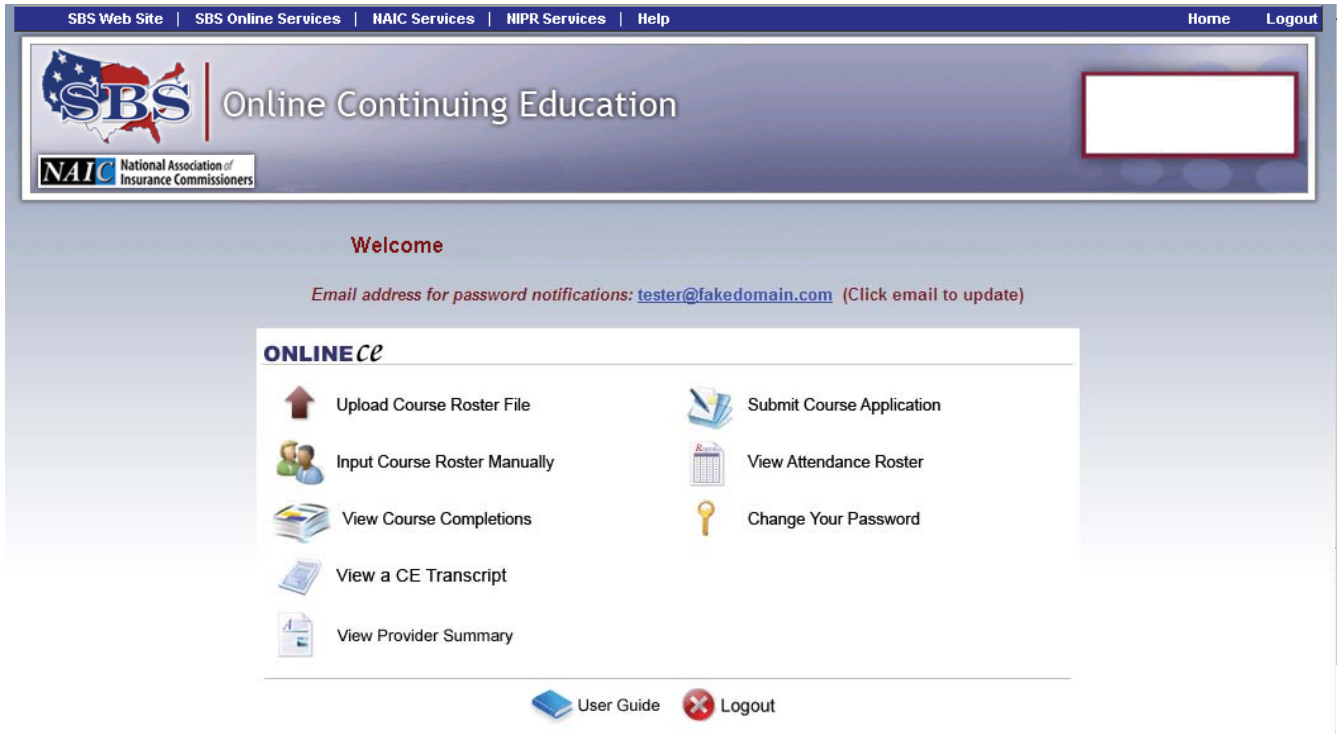
Click to return to the ONLINE *CE* Welcome page.

click to search table of contents

Return to this Welcome page by clicking the Home link in the upper right corner.

WELCOME PAGE

Fig. 5



Links at the top of the ONLINE *ce* Welcome page feature one-click access to several key NAIC, SBS, or NIPR Web sites and services.

SBS Web Site – Explore the various services available to the insurance industry through SBS. Click on the Industry tab at the top of the SBS Home page to discover all the ways SBS can benefit you.

click to search table of contents

SBS Online Services – Mouseover this menu item to display a list of states currently licensing SBS, then hover on the state abbreviation to expand the list of SBS services available in that state. Click the service name to go there.

NAIC Services – Mouseover this menu item to reveal two choices: the NAIC Web site (click on the Industry link on the right-hand side of the NAIC Home page to access lots of information, resources, and tools) and the NAIC Portal (search the NAIC or member department sites with a souped-up search engine). Choose either for a wealth of information pertaining to the insurance industry.

NIPR Services – Go to the National Insurance Producer Registry Web site, or apply for (or renew) a nonresident producer license.

Help – Click for information on how to contact the SBS Help Desk by telephone or e-mail for this NAIC technology product.

This page is the main menu page for ONLINE *CE*. Simply click the picture for the function you wish to perform.

The Having a Problem? link displays the contact information for the SBS Help Desk.

Fig. 6

SBS System Requirements

- Intel® Pentium® Pro 200 MHz or higher processor and 128+ megabytes of memory
- Microsoft® Windows® Operating Systems: Windows® 2000 or Windows® XP
- Internet browser must be Microsoft® Internet Explorer 6.0 Service Pack 1
- Internet browser must be JavaScript™-enabled and set to accept cookies and must accept Microsoft® ActiveX controls to view reports

Please call the SBS Help Desk if you are having any problems using this Internet application.

- Speak with an SBS Help Desk analyst by calling **816-783-8990** between the hours of 8 a.m. to 5 p.m. Central time, Monday through Friday (except holidays).
- Send an e-mail anytime to Help Desk If the e-mail message is sent to the Help Desk outside the times listed above, it will be answered the next business day.

The system may be inaccessible during routine maintenance between **12:00 midnight** and **12:30am** CST.

Close

Click the Close button or close the window by clicking ☒ .

click to search table of contents

SUBMIT COURSE APPLICATION

Click Submit Course Application to add a new course to the provider's curriculum.

Add New Course Page – Part A

Fig. 7

Add New Course

Provider Summary

Provider Number

Provider Name PROGRESSIVE INS CO

Provider Type Provider

Courses

Click the 'Add Row' button to add a new course. To remove one or more of the newly added courses, click the Delete checkbox next to the desired course. You cannot delete courses that have already been approved.

Delete	Status	Course Type	Course Num	Course Name	Course Schedule	General Credits	Ethic Credits	Flood Credits	LTC Credits	Total Credits	Private?

Add Row

Submit Reset

Press Submit to Continue

Provider Summary

Read-only information: Provider Number, Provider Name, and Provider Type.

Courses

Click **Add Row** to add a new course.

click to search table of contents

Add New Course Page – Part B

Fig. 8

Add New Course

Provider Summary

Provider Number
Provider Name: PROGRESSIVE INS CO
Provider Type: Provider

Course Details

Course Number | Is the course private? ☐
Course Name*
Course Group*: Life Accident And Health / Accident And Health Only | Course Type: CL On-line Training (facilitated)
Mode Of Instruction: At Home | Application Date*: 05/18/2007
General Credits | Ethics Credits
Flood Credits | Long Term Care Credits
Optional Exam ☐ | Optional Exam Credits
Total Credits | Nationally Recognized Course ☐
Course Description

Click the '(Upload Attachment)' link to add a course synopsis, course syllabus or any other supporting documentation that pertains to this course.

(View All Attachments) **Attachment Details** (Upload Attachment)

File Name	File Description	Attached By	Attach Date	View

Ok

Provider Summary

Read-only information: Provider Number, Provider Name, and Provider Type.

click to search table of contents

Course Details

Course Number: Assigned by the system.
Is the course private? ☐ : Click to add a checkmark to this box if the course is private.
Course Name*: Input the name of the course (required*).
Course Group*: Choose from those categories approved for this provider. Hold down the Control key [Ctrl] to select more than one category (required*).
Course Type: Choose from: (CL= Classroom, SS = Self Study)

- CL Online Training (facilitated)
- CL Seminar/Workshop
- Classroom
- SS Correspondence
- SS Online Training (self study)
- SS Teleconference
- SS Video/Audio/CD/DVD
- SS Textbook Instruction

Application Date*: Read-only field displaying today's date.
General/Ethics/Flood/Long-term Care Credits: Fill in the appropriate number of credits granted for successful completion of this course.
Optional Exam ☐ : Click to insert a checkmark in the box if there is an exam for the participant to take/not take, depending on individual preference.
Optional Exam Credits: Enter the number of credits granted for successful completion of the optional exam.
Total Credits: Read-only field that totals from all the "credit" fields: General Credits, Ethics Credits, Flood Credits, Long-term Care Credits, and Optional Exam Credits.
Nationally Registered Course ☐ : Click to insert a checkmark if this is a nationally recognized course.
Course Description: Brief synopsis of what knowledge will be gained from taking this class. (200 characters maximum)

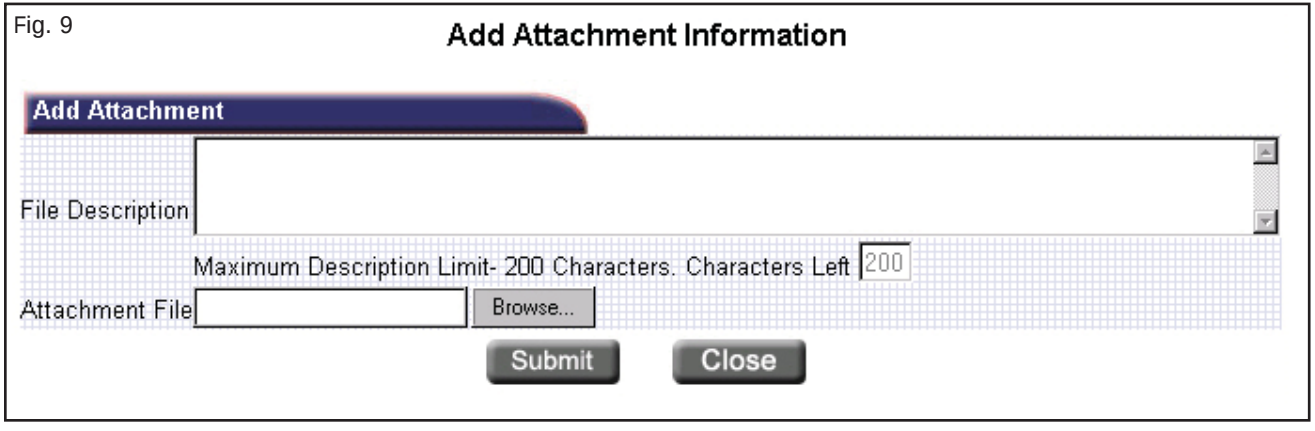
click to search table of contents

Attachment Details

Click the Upload Attachment link to add documents to this course, such as course descriptions, prerequisites, or syllabus, for example. Any attachment (electronic file) must be in a state department of insurance approved format.

Add Attachment Information Page

Fig. 9



File Description: Required*. A succinct synopsis of the attachment and/or its pertinence to the course. (200 characters maximum—character counter below indicates how many characters can still be input)

Attachment File: Required*. Include the entire path to the file, or click the Browse button to select from your available drives and directories. Browse and select as you would in Windows® Explorer.

Click **Submit** to attach file to course.

Click **Close** to close the window and discard the form. Does not attach the file.

click to search table of contents

Back at the Add New Course page, the new attachment is shown in table form as seen in Figure 10 below. Click on the View icon to open the attached file.

Fig. 10

Add New Course

Provider Summary

Provider Number
Provider Name: PROGRESSIVE INS CO
Provider Type: Provider

Course Details

Course Number | Is the course private? ☐
Course Name*
Course Group*: Life Accident And Health / Accident And Health Only | Course Type: CL On-line Training (facilitated)
Mode Of Instruction: At Home | Application Date*: 05/18/2007
General Credits | Ethics Credits
Flood Credits | Long Term Care Credits
Optional Exam ☐ | Optional Exam Credits
Total Credits: 0 | Nationally Recognized Course ☐
Course Description

Click the '(Upload Attachment)' link to add a course synopsis, course syllabus or any other supporting documentation that pertains to this course.

(View All Attachments) **Attachment Details** (Upload Attachment)

File Name	File Description	Attached By	Attach Date	View
FontTest.doc	Font test for testing attachment feature.	Provider Provider	05/18/2007	

Ok

Click **OK** to add the new course onto the listing of courses on the Add Course Page – Part A.

click to search table of contents

Fig. 11

Add New Course

Provider Summary

Provider Number

Provider Name: PROGRESSIVE INS CO

Provider Type: Provider

Courses

Click the 'Add Row' button to add a new course. To remove one or more of the newly added courses, click the Delete checkbox next to the desired course. You cannot delete courses that have already been approved.

Delete	Status	Course Type	Course Num	Course Name	Course Schedule	General Credits	Ethic Credits	Flood Credits	LTC Credits	Total Credits	Private?
☐	Pending	CR		How to Sell Life Insurance	Schedule	4	1			5	N

Add Row

Submit Reset

Press Submit to Continue

The course is now ready for submission to the state insurance department for approval. Click the Add Row button to add another course.

> This is the only time you can delete the course. Once approved, it can not longer be deleted. To delete the course before submitting, simply click in the first column labeled “Delete,” placing a checkmark in the checkbox before clicking the Submit button. Only select those for deletion that need to be deleted. All others are submitted.

Click **Submit** to submit the course(s) for approval.

Fee payment instructions begin on page 5.

click to search table of contents

Success Screen

Your record has been submitted successfully.

CE Course Application

Dear BT Kloughn,

Thank you for using NAIC's State Based Systems Continuing Education Provider services, offered on behalf of the **Insurance Department.**.

Your application has been successfully submitted and is in **PENDING STATUS**. Please contact the State / District Insurance Department with questions.

Provider Name: CKNBIC
Provider ID: 11274

Course Name	Total Credits
Healthy, Happy Clowns	4

Please Note:
ALL FEES WILL APPEAR AS A CHARGE FROM **NAIC State Based Systems** ON YOUR MONTHLY CREDIT CARD STATEMENT.

Receipt

CE Course Application Details
Transaction reference number: 001421314
Card Number: XXXXXXXXXXXX5100
Amount: 2.59
Authorization Number: 010101
Transaction Date: 07/17/2007

Click here to print application receipt

Home

click to search table of contents

UPLOAD COURSE ROSTER FILE

First, create the upload file.

This file is a text-only file that has one header row, one trailer (end) row, and one or more student rows. The first line must be the header, the last line (for each course) must be the trailer, and any number of student rows can be inserted between these two. The file can contain more than one class roster, but each must follow the same format.

In the following charts, the rows are explained in detail. The gray area of the chart are descriptive labels for the chart only; the bold column headings are the field names of the row segments.

Header Record

Note: There are five fields in this row, all of which are mandatory.

Field	Record Type	State	Provider ID	Course ID	Completion Date
Format	Alpha Char (1)	Alpha Char (2)	Number (6)	Number (10)	yyyymmdd
Constraint	Mandatory	Mandatory	Mandatory	Mandatory	Mandatory
Sample	H	DE	123456	1234567	20070717
Explanation	Indicates that this is a header record.	Standard two-letter state abbreviation.	Cannot upload course without the provider ID number.	Cannot upload course without the course ID number.	Cannot upload course without the course completion date.

EXAMPLE: H|DE|123456|1234567|20070717

click to search table of contents

Student Record

Note: There are nine fields in each student's row.

Field	Record Type	NPN	State License Number	SSN	License Class	Course Credits	First Name	Middle Initial	Last Name
Format	Alpha Char (1)	Number (10)	Number (10)	Number (9)	Alpha Char (3)	Number (2)	Alpha Char (40)	Alpha Char (4)	Alpha Char (40)
Constraint	Mandatory	Mandatory	Optional	Optional	Optional	Optional	Optional	Optional	Mandatory
Sample	S	1234567	123456	123456789	PRO	08 or 20	ELLISON	B or B.	CAREY
Explanation	Indicates that this is a student record.	Cannot upload student without a valid National Producer Number.	Not required.	Not required.	Not required.	Credits awarded are the maximum for this course if this field is left blank. Type in the number of partial credits only.	Not required.	Not required.	Last name must match last name of the student associated with the NPN on this row.

EXAMPLE: S|1234567|123456|123456789|PRO|08|ELLISON|B|CAREY

click to search table of contents

Trailer Record

Note: There are only two fields in the trailer (end) row.

Field	Record Type	Record Count
Format	Alpha Char (1)	Number (4)
Constraint	Mandatory	Mandatory
Sample	T	23
Explanation	Indicates that this is the trailer (ending) record.	Cannot upload the course unless this number exactly matches the number of students in this course submission.

EXAMPLE: T|23

Create the table first (or import into table form from a database), then convert the table to text—automatically separating the cells with the pipe character. This procedure inserts the correct number of pipe characters even if a cell is blank; however, you need to remove the extra pipes at the end of the first and last rows (header and trailer rows) as shown in the sample files below. There should not be any pipe characters after the last field in any of the three types of rows.

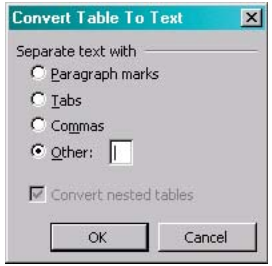
Fig. 12 Microsoft® Word Table—Showing Gridlines

H	DE	11274	25963	20070707				
S	1234567				2	ELLISON	B	CAREY
S	7654321					JUDITH	A	MILLER
S	1234567					MARGUERITE		BROOKS
S	7654321							FARNELL
S	1234567					RAYMOND		MANISCALCO
T	5							

click to search table of contents

The pipe character (also referred to as a vertical line, or a vertical bar, can be typed by using the key on the standard keyboard (Shift + \, located underneath the Backspace key) or by typing Alt + 124 if it's not on your keyboard.

Fig. 13



Sample Files

The following text file was created using the table on previous page, converting the table to text using the pipe character (|) to separate the cells (see Figure 13), and then removing the extra pipe characters from the end of the first and last rows. Note that not all of the columns are filled out in the table, and then note the result below when the table is converted to text.

Sample File 1

```
H|DE|11274|25963|20070707
S|1234567||||02|ELLISON|B|CAREY
S|7654321|||||JUDITH|A|MILLER
S|1234567|||||MARGUERITE||BROOKS
S|7654321||||||FARNELL
S|1234567|||||RAYMOND||MANISCALCO
T|0005
```

Any number of courses can be included in a single file, simply append the next course to the first one by starting with a new header row on the line following the trailer row from the previous one as in Sample File 2, next page.

click to search table of contents

Save as type: Plain Text (*.txt)

Sample File 2

```
H|DE|11274|25963|20070707
S|1234567||||02|ELLISON|B|CAREY
S|7654321|||||JUDITH|A|MILLER
S|1234567|||||MARGUERITE||BROOKS
S|7654321||||||FARNELL
S|1234567|||||RAYMOND||MANISCALCO
T|5
H|DE|11274|26359|20070717
S|1234567||||02|ELLISON|B|CAREY
S|7654321|||||JUDITH|A|MILLER
S|1234567|||||MARGUERITE||BROOKS
S|7654321||||||FARNELL
T|4
H|DE|11274|59236|20070710
S|1234567||||02|ELLISON|B|CAREY
S|7654321|||||JUDITH|A|MILLER
S|1234567|||||MARGUERITE||BROOKS
S|7654321||||||FARNELL
S|1234567|||||RAYMOND||MANISCALCO
T|5
```

This file can be created in Notepad, or any other word processing program. Tables can be created in word processing programs; however, Notepad or Wordpad doesn't provide this function.

Finally, save the file in a plain text/text-only (.txt) format or type on a drive/storage media that is accessible to your computer. In the next step, you will be browsing through files to choose this file for uploading.

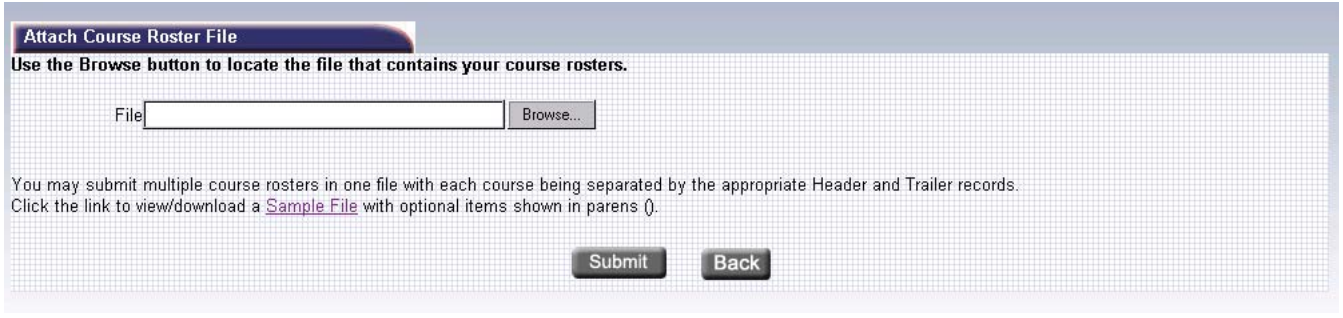
click to search table of contents

Next, let's upload the file.

Click the Upload Course Roster menu item on the Welcome page.

Attach Course Roster File Page

Fig. 14

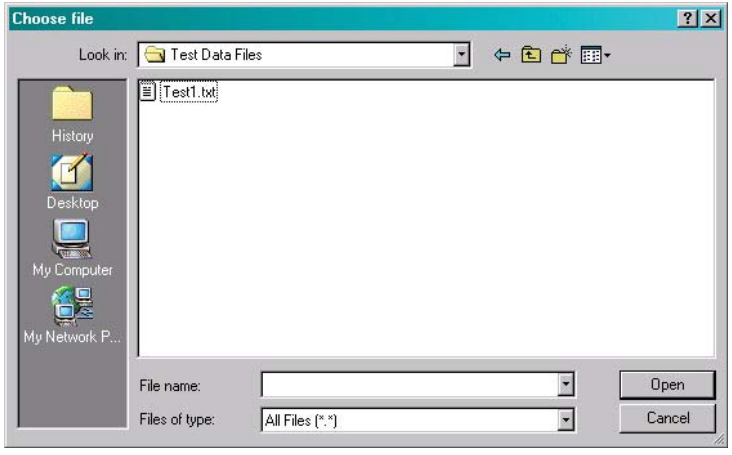


Attach Course Roster File

Insert the file name (and its complete path, for example: c:\My Documents\Upload\completion-12-17-06.txt) where "completion-12-17-06.txt" is the file that has been created for the upload, or click the Browse... button to search for the file to insert.

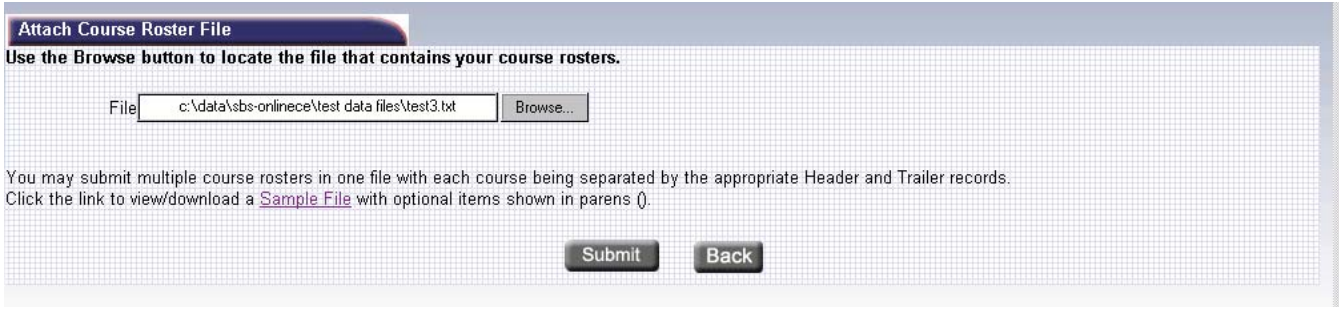
click to search table of contents

Fig. 15



Select the file and click Open .

Fig. 16



Once the whole filename/path is populated on the Attach Course Roster File page:

Click **Submit** to continue.

Click **Back** to go back to the home page and cancel the upload.

click to search table of contents

Course Roster Upload Results Page

Fig. 17

Course Roster Upload Results

Upload Results

Provider ID	Course ID	Course Name	Completion Date					Error	Delete?
		AIC 36	20070110						☐
NPN	Lic. Nbr	SSN	Lic. Class	Credit	First Name	Mid-Name	Last Name		
1234567					PAMELA		AALBERS		☐
1234567					PERRY		AALGAARD		☐
1234567					MARK		AASEN		☐

Provider ID	Course ID	Course Name	Completion Date					Error	Delete?
		CLAIM BASICS	20080110						☐
NPN	Lic. Nbr	SSN	Lic. Class	Credit	First Name	Mid-Name	Last Name		
1234567					DANIELLE		AASTRUP G	Student last name and NPN not match;	☐
1234567					TERESA	L	ABBAS		☐
1234567							ABBAS		☐
1234567					REESE		ABBE		☐

Submit Home

Upload Results

If there are any errors in the data file (in this example, the last name is misspelled and doesn't match the last name on file for the NPN), the row on which the error occurs is highlighted in yellow, and the error is detailed in the Error column. The data can be corrected here without having to go back and edit the original text file. Simply put the cursor into the applicable white box and make the correction. When the Submit button is clicked, the data is corrected.

click to search table of contents

The row(s) can also be deleted from this screen. Simply click in the last column (checkbox) to place a checkmark in the box. When the Submit button is clicked, the row(s) selected in this manner are deleted. Make sure you absolutely want to delete the row as there is no second chance or “Are you sure?” message.

The multiple course upload feature shows two courses in this particular file, each in a separate table. The number of courses that can be uploaded is limitless and is considered a single submission with one Transaction ID number. (More about the Transaction ID later.)

Check this page carefully, correct any errors, then...

Click **Submit** to continue.

Click **Home** to return to the Home page and discard the upload.

click to search table of contents

Course Roster Fee Summary Page

Fig. 19

Course Roster Fee Summary

Course Id	Student Count	Total Credits	Fee Amount
31488	3.0	78.0	$78.00
38641	4.0	40.0	$40.00
Roster Fee Total			$118.00
Miscellaneous Fees			$0.00
Credit Card Fees			$0.00
Grand Total			$118.00

Credit Card Details Home

This chart summarizes the student count, the total credits and the total amount being charged for this upload itemized by course. The grand total is the fee charged in dollars.

Click **Credit Card Details** to pay the fee.

Click **Close** to close the application and discard this submission.

Fee payment instructions begin on page 5.

click to search table of contents

Success Screen

Fig. 20

Your record has been submitted successfully.

Dear INSURANCE,

Thank you for using NAIC's State Based Systems Continuing Education Provider services, offered on behalf of **Insurance Division**.

Course Id	Student Count	Total Credits	Fee Amount
31488	3.0	78.0	$78.00
38641	4.0	40.0	$40.00
Roster Fee Total			$118.00
Miscellaneous Fees			$0.00
Credit Card Fees			$0.00
Grand Total			$118.00

ALL FEES WILL APPEAR AS A CHARGE FROM THE NAIC ON YOUR MONTHLY CREDIT CARD STATEMENT.

Course Roster Upload Detail
Transaction reference number: 3368195
Card Number: XXXXXXXXXXXX5100
Amount: $118
Authorization Number: V19F0D58E57A
Transaction Date: 01/24/2008

Your rosters have been successfully uploaded (Transaction Id: 3368195). Please contact the State / District Insurance Department with questions.

Click here to print application receipt

Home

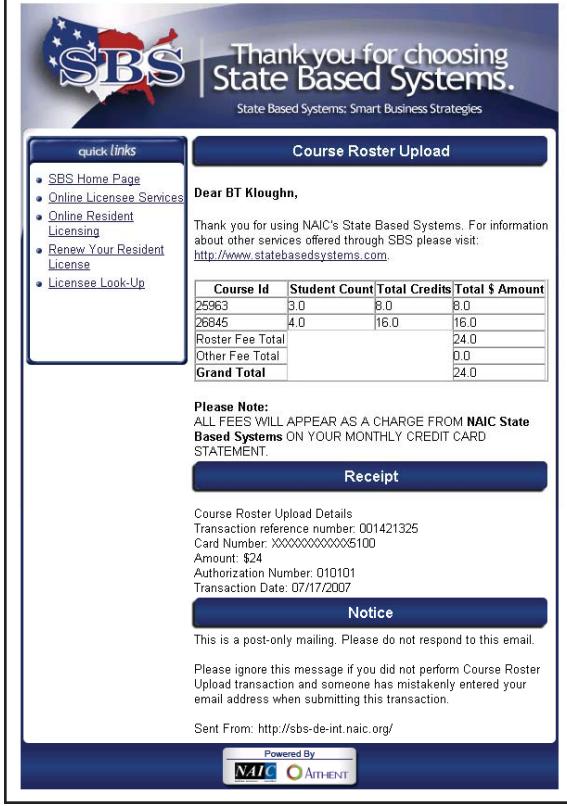
click to search table of contents

After the fee is paid successfully, this page displays with all of the information pertinent to this upload. Click the Click here to print application receipt link at the bottom of the page to print this page for your records. A combination confirmation of upload and receipt (Figure 21) is simultaneously sent to the e-mail address entered on the Credit Card Details page.

Click the Close link to close the application.

Click (top right) to return to the Welcome page.

Fig. 21



click to search table of contents

VIEW COURSE COMPLETIONS

Use this menu item to see a report for a single licensee's completed courses.

Course Completions by Licensee Page

Fig. 22

Course Completions by Licensee

Enter the National Producer Number (NPN) or the License Number for a licensee.

Click **Search** to load the report.

Click **Reset** to blank the fields and start over.

Click here to see an example of the Course Completions by Licensee report in Appendix 4, page 47.

click to search table of contents

INPUT COURSE ROSTER MANUALLY

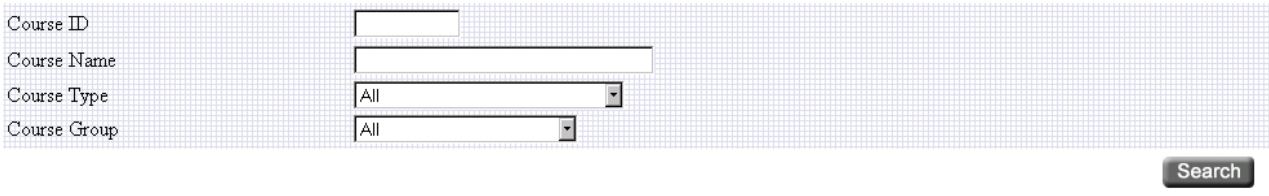
Course Roster Data Entry and Update Page

Fig. 23

Input the Course Number in the first text field. If unknown, click the magnifying glass icon to search for a course.

Course Search Page

Fig. 24



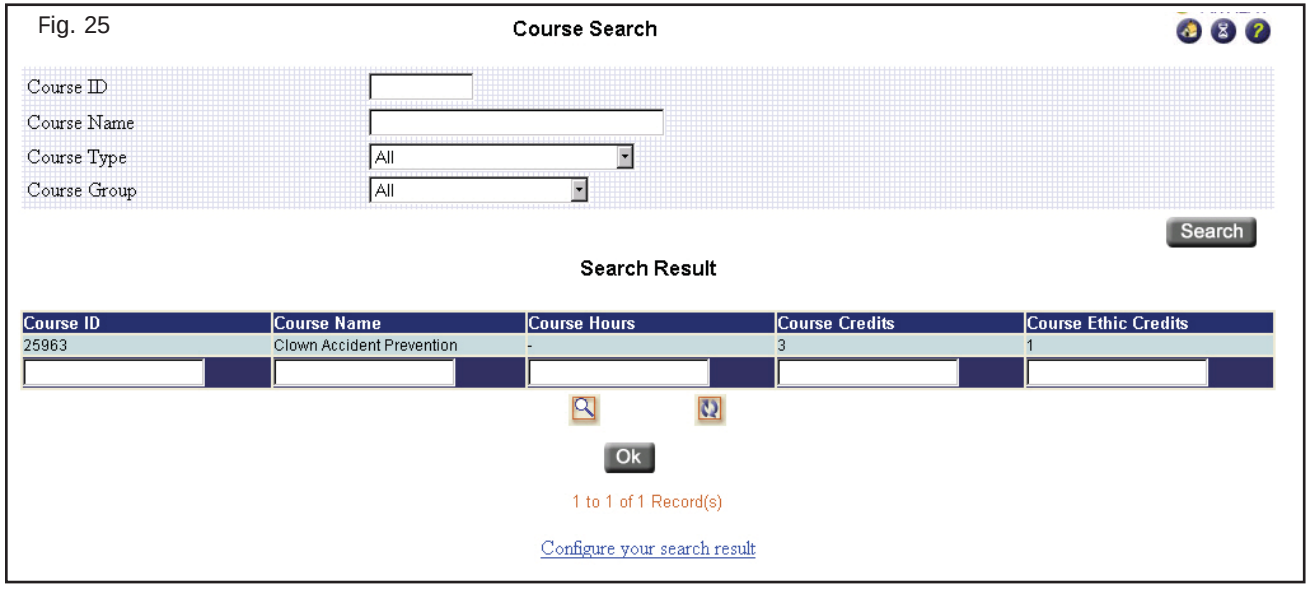
Enter the Course ID or Course Name if known. To view a list of all courses for this provider, leave those two fields blank.

Select a Course Type and/or a Course Group from the dropdown boxes for these two fields, or do nothing to leave them at the default of All to see all courses for this provider.

Click **Search** to execute the search.

click to search table of contents

Fig. 25



Search Result

Results of the search are displayed in table form under the criteria selection field. Do a more/less refined search, if desired, without leaving the page.

Select the course by clicking anywhere in the row of the desired course. The row turns light blue when selected, then click the OK button. The Course Search page then closes and the system populates the selected course number into its proper field.

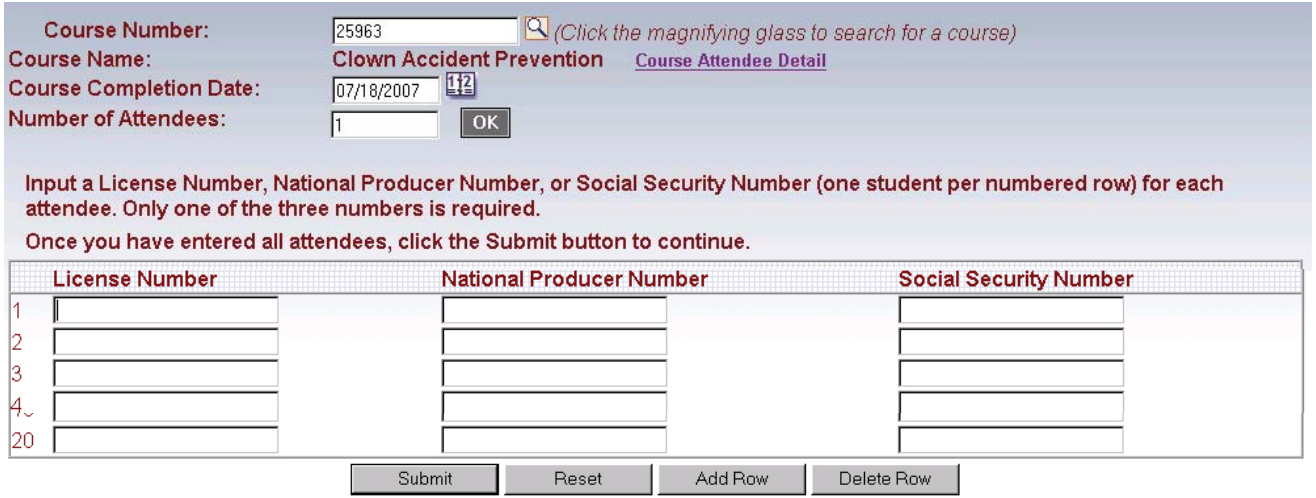
Enter the Course Completion Date in mm/dd/yyyy format or select the date from a pop-up calendar by clicking .

Enter the number of attendees on your roster that you are inputting this session.

Click OK .

click to search table of contents

Fig. 26

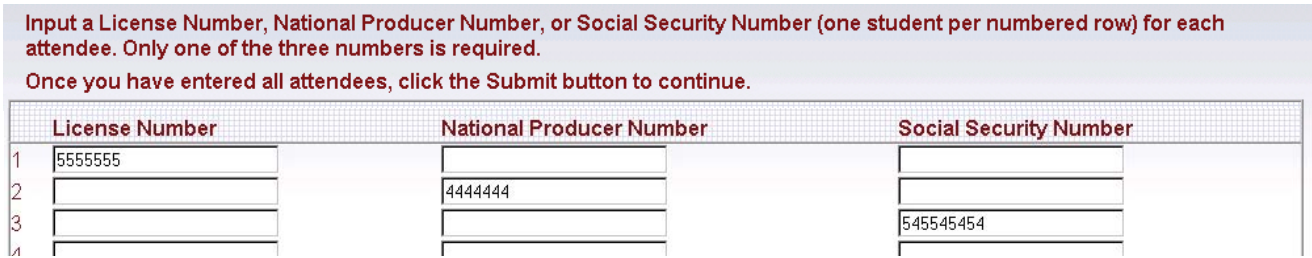


The Course Name is now displayed in read-only format, and there is a Course Attendee Detail link beside it. Click this link to view a report of previously entered/uploaded attendees.

The number of rows specified in the Number of Attendees box then displays below the criteria boxes, and is now ready for input of the data.

Enter either a License Number, National Producer Number, or the Social Security Number for each attendee. Only one of the three numbers is required* for each row as shown in Figure 27 below.

Fig. 27



Click here to see an example of the Course Participants report in Appendix 1, page 44.

click to search table of contents

Once you have entered a number, you cannot enter a number in either of the two remaining boxes in that row. If you have entered the number in an incorrect field, you must first delete the incorrect one, then input the number into the correct field.

Click [Submit] to continue.

Click [Reset] to blank all the input fields and begin again.

Click [Add Row] to add additional rows—one at a time—for more attendees.

Click [Delete Row] to delete any unused rows at the bottom of the form.

Data Verification Page

Next is a screen with the newly inputted attendee list in a read-only table. Verify that all attendees were input correctly.

Fig. 28

Verify the list of attendees. If correct, click Submit to continue. If changes are needed, click Edit to go back to the previous screen.

License Number	National Producer Number	Name
0123123	1231231	GEORGE FARNELL
0123123	1231231	JASON MOSHIER
0123123	1231231	MARY RYLEE
0123123	1231231	ANTHONY ZAVARELLI
0123123	1231231	RAYMOND MANISCALCO
0123123	1231231	THOMAS MUNLEY
0123123	1231231	DARLENE WILKINS
0123123	1231231	MARGUERITE BROOKS
0123123	1231231	JUDITH MILLER
0123123	1231231	TED DREW

[Submit] [Edit]

click to search table of contents

Click **Edit** to go back to the input screen and correct/add attendees.

Click **Submit** to add these attendees permanently to the roster.

Success Screen

Fig. 29

The success screen displays a message and three links.

Return to Home Menu link returns the user to the ONLINE *CE* Welcome page.

Course Roster Data Entry and Update Screen link returns the user to the initial roster entry screen (as shown in Figure 22, page 30) to add/update a roster for another course.

Course Attendee Detail link displays a printable report of the attendees that were just added to the roster.

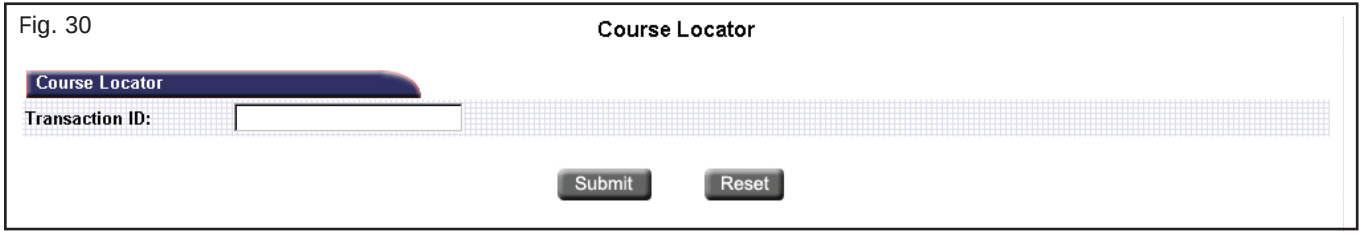
click to search table of contents

VIEW ATTENDANCE ROSTER

Click the Course Attendance Roster Report menu item on the ONLINE *CE* Welcome page.

Course Locator Page

Fig. 30



Course Locator

Enter the Transaction ID from either the upload Success Screen (Figure 20, page 28) or the confirmation/receipt e-mail (Figure 21, page 29) from an upload session.

Click **Reset** to blank the Transaction ID number field and begin again.

Click **Submit** to retrieve the report.

Course Roster Locator Report

The header for this report shows the Report Date, the Total Number of Courses, and the Transaction ID number of this submission.

The report contains the list of licensees with course completions uploaded, the course name and ID, the course type, the date the course was taken, and the date the course was banked (uploaded).

Close the report by clicking ☒.

Print the report by using the browser's print button/menu selection, or use Ctrl + P to print from the Print dialog box.

Click here to see an example of the Course Locator report in Appendix 3, page 46.

click to search table of contents

Click here to view a sample of the Provider Summary in its entirety in Appendix 2, page 45.

VIEW PROVIDER SUMMARY

Click the View Provider Summary button on the ONLINE *CE* Welcome page to view a read-only summary of the information on file with the state insurance department.

Provider Summary Page

Provider Details

Fig. 31

PROVIDER DETAILS			
Provider Name	**Provider Number**	**Effective Date**	**Status**
ACADEMIC CE			Approved
Business Address	**Mailing Address**		
Country: UNITED STATES **Phone:** **Ext:** **FAX:**	**Country:** UNITED STATES **Phone:**		

This section details the information on file about a provider such as: Provider Name, Provider Number, Effective Date, Status, and the Business/Mailing Addresses.

Contacts

This section contains a list of the contacts (designates) for the provider.

Fig. 32

CONTACTS				
Name	**Designation**	**Phone**	**E-Mail**	**Primary?**
BENNY ELLIS	Contact			Yes

click to search table of contents

Courses

Courses are listed in groups of approximately 20-25, and when this page is first accessed, the groups are collapsed. The courses are listed in alphabetical order.

Fig. 33

COURSES

Course Number: (Click the magnifying glass to search for a course) Search

Course Name	Effective Date	Expiration Date	Course Number	Course Group	General Credits	Ethics Credits	Flood Credits	LTC Credits	Private?

⊞ Courses starting with **A BASIC ESTATE PLANNING COURSE FOR EVERYONE**

⊞ Courses starting with **THE FAIR PLAN GENERAL RULES & UNDERWRITING**

Type in the course number or click on the magnifying glass to search for the course number.

Click on the [+] box at the far left of the course name to expand this category of courses as shown in Figure 34 below. Courses are listed alphabetically, and do not necessarily begin with the words as stated. This is structured as such to reduce the amount of space taken on the page with course names. Collaspe the group by clicking the same box, now displaying a [-] .

Fig. 34

(Pending/Rejected Courses Report) APPROVED CE COURSES (add)

Course Number: (Click the magnifying glass to search for a course) Search

Course Name	Application Date	Effective Date	Expiration Date	Course Number	Course Group	General Credits	Ethics Credits	Flood Credits	LTC Credits	Private?	View
⊟ Courses starting with **COMMERCIAL LINES CHANGES**											
COMMERCIAL LINES CHANGES	08/15/1995			1824	PC	3.0	0.0	0.0	0.0	Public	
E & O LOSS PREVENTION	02/01/1994			8548	PC	4.0	0.0	0.0	0.0	Public	
ERRORS & OMISSIONS MOCK TRIAL	08/15/1995			9448	PC	3.0	0.0	0.0	0.0	Public	
PERSONAL LINES HOT SPOTS	08/15/1995			1823	PC	3.0	0.0	0.0	0.0	Public	

Any attachments to this course, such as the syllabus, can be viewed by clicking the paper clip icon in the last column. If the icon is gray as shown above, there is no attachment.

click to search table of contents

Instructors

Fig. 35

INSTRUCTORS		
Instructor Name	Instructor ID	Status

This section lists the approved instructors for this provider. The table displays the instructor's name, ID number, and status—approved, for example.

Fee Details

Fig. 36

FEE DETAILS						
Source	Transaction Date	State Fee	Credit Card Fee	Transaction Fee	Check/CC Date	Check/CC Amount
No Fee Information Found						

This section lists read-only information shown by the column headings for any fees paid by the provider to SBS or to the state insurance department.

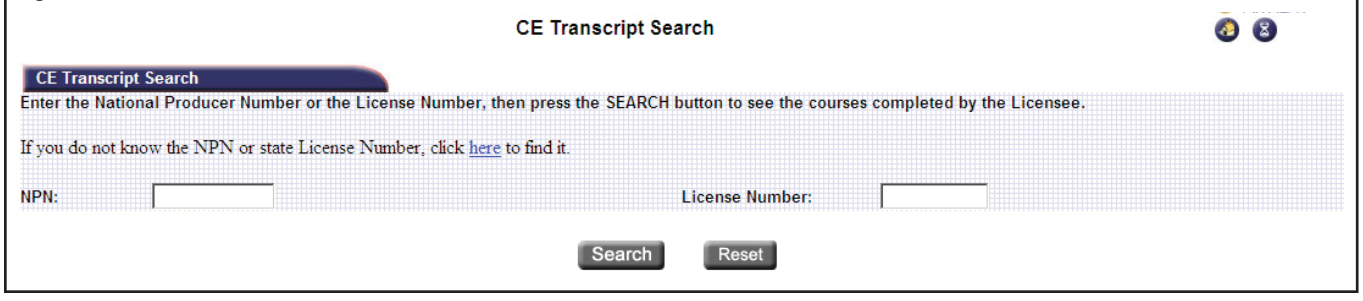
click to search table of contents

VIEW A CE TRANSCRIPT

Click the View a CE Transcript button on the ONLINE *CE* Welcome page.

CE Transcript Search Page

Fig. 37



CE Transcript Search

Input the National Producer Number (NPN) or License Number of the licensee.

Click **Search** to retrieve the transcript.

Click **Reset** to erase the number field and begin again.

To search for an NPN or license number, see next page.

Click here to view a sample of the Continuing Education Transcript in Appendix 5, page 48.

click to search table of contents

To search for an NPN or license number, click the “click here” link as shown in Figure 37, previous page. The Licensee Look-Up page displays.

Licensee Lookup Page

Fig. 38

Search Criteria

Licensee Type:	Individual
First Name*:	holly
Middle Name:	
Last Name*:	smith
Suffix:	
Business Entity Name*:	
FEIN:	
DBA/Trade Name*:	
Is Resident?:	Yes
License Type:	All
License Status:	Active
Line of Authority:	All
License Number:	One or more License Numbers separated by commas.
National Producer Number:	One or more National Producer Numbers separated by commas.
Business Address City:	
Business Address State:	
Business Address ZIP:	
Sort By:	Last Name

*If less than 3 characters are entered exact search is used, otherwise a starts-with search is used.

Search by name, license type, license status, line of authority, or DBA trade name to name a few (see Figure 38 above).

click to search table of contents

TO COPY the number for pasting in the CE Transcript Search form, hold the mouse pointer (arrow) close to the beginning of the desired number until it becomes the I-beam (looks like an I), then click-hold and drag until the entire number is highlighted as shown in Figure 39. Hold down the Ctrl key as you press the letter C to copy.

TO PASTE this number into the CE Transcript Search form, exit from the look-up results, click in the proper text input box (NPN or license number), and hold down the Ctrl key as you press the letter V.

The results display in a report format (opens in a new window).

Jot down the NPN or license number of the desired licensee to then input on the CE Transcript search form, or highlight and copy it for pasting in the input box once you've gone back to the CE Transcript Search form.

Fig. 39

*** Indicates those agents which have branch offices. Click the link to view.**

To view active Company Appointments, click the Licensee's Name.

Look-Up Results

License Number	NPN	Res Status	Full Name *(Click link for Appt)*	License Type	License Status (Status Date)	LOAs (Effective Date)	Expiration Date	DBA Name	Business Address City, State, ZIP	Business Phone
0110202	5712495	Y	LARRY S SMITH	PRODUCER	ACTIVE	1) LIFE(12/04/2001)	02/29/2012		MILFORD, DE, 19963	(302) 422-8662
0166958	7553536	Y	WILLIAM L SMITH	PRODUCER	INACTIVE	NO LOA ASSIGNED (01/21/2003)	02/29/2004		SMYRNA, DE, 19977	(302) 659-3373
0112515	7346299	Y	DEBORAH A SMITH	PRODUCER	EXPIRED	1) LIFE(05/10/2001)	02/28/2010		MILFORD, DE, 19963	(302) 422-6194
									SEAFORD	

click to search table of contents

CHANGE YOUR PASSWORD

Click the Change Your Password button on the ONLINE *ce* Welcome page.

Change Password Page

Fig. 40

Password Details

Password is case sensitive, and must be at least seven letters or numbers in length (or a combination thereof).

> If you forget your password, click the Forgot Your Password? link on the ONLINE *ce* login page. After the User Name is verified, your password is confidentially e-mailed to you.

Type in the Old Password, New Password, and Confirm (new) Password, all of which are required*.

Click **Submit** to save the new password. A success screen displays when finished.

Click **Reset** to blank the inputted fields and begin again.

Click ✕ to return to the ONLINE *ce* Welcome page and discard the form.

click to search table of contents

Appendix 1

Course Participants Report

Course Participants

Report Date: January 24, 2008
Total Number of Courses = 1

Selected Criteria	
Course ID(s) = 31488	**Course Status** =
Course Name =	**Course Group** =
Course Type =	**Sort By** = Course Name
Application Date From =	**Approval Date From** =
Application Date To =	**Approval Date To** =
Taken Date From =	**Taken Date To** =

Course ID	Course Type	Course Name	NPN	License Number	Licensee Name	Date Taken	Date Posted
31488	Classroom	AIC 36			PAMELA J AALBERS	01/10/2007	01/24/2008
					PERRY B AALGAARD	01/10/2007	01/24/2008
					MARK J AASEN	01/10/2007	01/24/2008
					DONNA J KERSTING	11/08/2006	12/12/2006
					NICK W ROGERS	11/08/2006	12/12/2006

back to Input/Update Course Roster

click to search table of contents

Appendix 2

Provider Summary Page

Provider Summary

(Comprehensive History)

PROVIDER DETAILS Provider Certificate (Address Change)

Provider Name	Provider Number	Application Date	Effective Date	Expiration Date	Status
COLLEGE FOR FINANCIAL PLANNING	3	01/01/1900	12/28/2005	12/31/2004	Approved

Business Address
ADMINISTRATIVE OFFICES
8000 E MAPLEWOOD AVENUE STE 200
GREENWOOD VILLAGE, CO 80111
Country: UNITED STATES
Web Site:
Phone: 800-237-9990
Ext:
FAX:
Secondary Phone:
Toll Free Phone:

Mailing Address
ADMINISTRATIVE OFFICES
8000 E MAPLEWOOD AVENUE STE 200
GREENWOOD VILLAGE, CO 80111
Country: UNITED STATES
Phone: 800-237-9990

CONTACTS (add)

Name	Designation	Phone	E-Mail	Primary?
COLLEEN MCARDELL	Contact	303-220-4824	colleen.mcardell@cffp.edu	Yes
CJ HERMANN	Contact	303-220-4809	ce.compliance@cffp.edu	No

(Pending/Rejected Courses Report) **APPROVED CE COURSES** (add)

Course Number: *(Click the magnifying glass to search for a course)* Search

(Pending/Rejected Courses Report) **APPROVED CE COURSES** (add)

Course Number: *(Click the magnifying glass to search for a course)* Search

Course Name	Application Date	Effective Date	Expiration Date	Course Number	Course Group	General Credits	Ethics Credits	Flood Credits	LTC Credits	Private?	View
⊞ Courses starting with AAMS ACCREDITED ASSET MANAGEMENT SPECIALIST											

PENDING CE COURSES

Course Name	Application Date	Effective Date	Expiration Date	Course Group	General Credits	Ethics Credits	Flood Credits	LTC Credits	Private?	View
Healthy, Happy Finances	08/19/2010	08/19/2010		LA	12.0	0.0	0.0	0.0	Public	

CORRESPONDENCE LIST

Recipient Name	Course Name	Letter Type	Category	Created By	Creation Date
No data found.					

(View All Attachments) **Attachment Details** (Upload Attachment)

File Name	File Description	Attached By	Effective Date	Attach Date	View

FEE DETAILS

Source	Transaction Date	State Fee	CC/E-Check Fee	Transaction Fee	Check/CC Date	Check/CC Amount	Check Returned?	Refund?
⊟ Hide Fees								
CE Course Application	08/19/2010	$0.00	$0.00	$0.00		$0.00	☐	☐

back to View Provider Summary

click to search table of contents

Appendix 3

Course Locator Report

Course Roster Locator

Report Date: January 24, 2008
Total Number of Courses = 2

Selected Criteria
Transaction ID =

Course ID	Course Type	Course Name	NPN	License Number	Licensee Name	Date Taken	Banked On
31488	Classroom	AIC 36			MARK, AASEN	01/10/2007	01/24/2008
31488	Classroom	AIC 36			PAMELA, AALBERS	01/10/2007	01/24/2008
31488	Classroom	AIC 36			PERRY, AALGAARD	01/10/2007	01/24/2008
38641	Classroom	CLAIM BASICS			DANIELLE, AASTRUP GROH	01/10/2008	01/24/2008
38641	Classroom	CLAIM BASICS			DANNY, ABBAS	01/10/2008	01/24/2008
38641	Classroom	CLAIM BASICS			REESE, ABBE	01/10/2008	01/24/2008
38641	Classroom	CLAIM BASICS			TERESA, ABBAS	01/10/2008	01/24/2008

back to Course
Attendance Roster Report

click to search
table of contents

Appendix 4

Course Completions by Licensee Report

Course Completions For Josephine L. Icensee

Report Date: January 24, 2008 **NPN:** **License Number**

Date Taken	Course Type	Course Group	Course ID	Course Name	Provider ID	Provider Name	General Credits	Ethic Credits	Flood Credits	LTC Credits
11/01/2007	SS On-line Training (self study)	Property Casualty	24030	OCEAN MARINE INSURANCE	840	360TRAINING.COM INC	8.0	0.0	0.0	0.0
10/02/2007	Classroom	Property Casualty	548	QUALITY UNDERWRITING	854	PROGRESSIVE INS CO	3.0	0.0	0.0	0.0
05/02/2007	CL Seminar/Workshop)	Ethics,Flood,Life Accident And Health,Long Term Care,Property Casualty	25679	2007 NAIFA DELAWARE CAREER CONFERENCE	16	DE ASSOCIATION OF LIFE UNDERWRITERS	3.0	1.0	1.0	1.0
03/19/2007	CL Seminar/Workshop)	Life Accident And Health	24177	MAXIMIZING YOUR COMMUNICATIONS STRATEGY	42	AMERICAN COLLEGE	12.0	0.0	0.0	0.0
01/23/2007	CL Seminar/Workshop)	Life Accident And Health	24159	DELAWARE ADVANTAGED WEALTH MANAGEMENT STRATEGIES FOR 2007	75	SOC OF FINANCIAL SERVICE PROF DE CHAPTER	1.0	0.0	0.0	0.0
11/21/2006	CL Seminar/Workshop)	Life Accident And Health,Accident And Health Only	22251	TAX UPDATE AND YEAR END PLANNING	75	SOC OF FINANCIAL SERVICE PROF DE CHAPTER	1.0	0.0	0.0	0.0
11/16/2006	CL Seminar/Workshop)	Life Accident And Health,Ethics	21534	CURRENT ISSUES IN FINANCIAL PLANNING ETHICS	16	DE ASSOCIATION OF LIFE UNDERWRITERS	0.0	2.0	0.0	0.0
10/17/2006	CL Seminar/Workshop)	Life Accident And Health	21772	SPECIAL NEEDS TRUSTS & OTHER ESTATE PLANNING ISSUES	75	SOC OF FINANCIAL SERVICE PROF DE CHAPTER	2.0	0.0	0.0	0.0
09/19/2006	CL Seminar/Workshop)	Life Accident And Health	21124	REVERSE MORTGAGES	75	SOC OF FINANCIAL SERVICE PROF DE CHAPTER	1.0	0.0	0.0	0.0
09/13/2006	CL Seminar/Workshop)	Life Accident And Health	21091	THE ROLE OF LIFE INSURANCE IN RIA STRETCH-OUT PLANNER	121	NEW CASTLE COUNTY AIFA ASOC EXECUTIVE	1.0	0.0	0.0	0.0
05/02/2006	CL Seminar/Workshop)	Life Accident And Health,Ethics,Long Term Care	18787	2006 NAIFA DE CAREER CONFERENCE	16	DE ASSOCIATION OF LIFE UNDERWRITERS	5.0	1.0	0.0	0.0
04/20/2006	CL Seminar/Workshop)	Life Accident And Health	18534	AN OVERVIEW OF THE DELAWARE FRAUD BUREAU	121	NEW CASTLE COUNTY AIFA ASOC EXECUTIVE	1.0	0.0	0.0	0.0
04/18/2006	CL Seminar/Workshop)	Life Accident And Health	18611	THE CHANGING DYNAMICS OF ASSET ALLOCATION	75	SOC OF FINANCIAL SERVICE PROF DE CHAPTER	1.0	0.0	0.0	0.0
04/01/2006	SS Correspondence	Ethics	7410	ESSENTIALS OF LONG TERM CARE LUTC 255	42	AMERICAN COLLEGE	11.0	4.0	0.0	0.0
						Total Credits by Licensee	50.0	8.0	1.0	1.0

back to Course Completions by Licensee

click to search table of contents

Appendix 5

CE Transcript Report

Insurance Department Continuing Education Transcript

HOLLY SMITH

License Number: 0113522
National Producer Number: 2025111
Date of Birth:

License Type	Authority Description	Status	License Expiration Date	CE Compliance Period	Date Compliance Met	CE Required
PRODUCER	VARIABLE ANNUITY LIFE HEALTH	Active	02/29/2012	03/01/2010 - 02/29/2012	Not Compliant	21.0 GEN 3.0 ETH

COURSES TAKEN DURING THE CURRENT COMPLIANCE PERIOD

PRODUCER CE Compliance Period: **03/01/2010 - 02/29/2012**

Date Taken	Course ID	Course Name	Total Credits Banked	Ethics Credits Banked	License Type	Course Group	Date Banked	Provider ID	Provider Name
Carryover from prior period (5 maximum)			**5.0**	**0.0**					
Total Credits by Licensee			**5.0**	0.0					

COURSES TAKEN PRIOR TO THE CURRENT COMPLIANCE PERIOD: 03/01/2008 - 02/28/2010

Date Taken	Course ID	Course Name	Total Credits Banked	Ethics Credits Banked	License Type	Course Group	Date Banked	Provider ID	Provider Name
02/17/2010	2939	PRINCIPLES OF WELATH MANAGEMENT	**6.0**	0.0		Life/Health	05/07/2010	737	WEBCE
02/17/2010	32598	ETHICS FOR PRODUCERS: CASES AND COMMENTS	**3.0**	3.0		Ethics	05/07/2010	737	WEBCE

back to View a CE Transcript

click to search table of contents

ONLINE *ce* —*QuikStart*

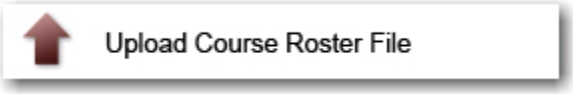
How to Report Continuing Education Course Credits to the Alaska Division of Insurance

There are two methods of processing rosters, the File Transfer method—best for large volume rosters—and the Input Course Roster method, which works great for classes with smaller student participation, or for adding one or more students to an existing roster.

Both of the course roster processing methods happen in real time—no delay in posting. Go to https://sbs-ak.naic.org/Lion-Web/jsp/login/ext_provider_login.jsp. On the Welcome page, once you have logged in, is a link to the Users Guide. Use the page numbers listed here to find the complete instructions.

File Transfer

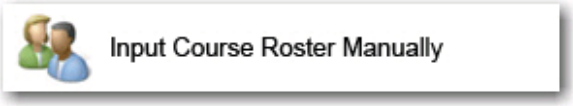
Use for larger course rosters, or to upload multiple course rosters in a single file.



- Create upload file, save as Plain Text (*.txt) format. *(page 18)*
- Login to SBS OnlineCE, using the URL above, and the User Name and Password assigned to you.
- Click Upload Course Roster File. *(page 23)*
- Click the Browse... button to locate the upload file. *(page 23)*
  - -search for file as if opening a document.
  - -select the file (click to highlight) and click Open.
- Click Submit button. *(page 24)*
- Roster(s) display in table form, and if any errors, correct them before proceeding. *(page 25)*
- Click Submit.
- Course Roster Fee Summary. *(page 27)*
  - -summarizes uploaded file
  - -begins fee payment, click Credit Card Details button. *(page 5)*
- Print transaction summary and receipt. *(page 28)*
- Go back to the Welcome page via the Home button.
- View/Print a report of the students/courses added in this session by clicking the View Attendance Roster menu item, enter the transaction ID, and click the Submit button. *(page 35)*

Input Course Roster

Use for small course rosters and for adding students to an existing roster.



- Login to SBS OnlineCE, using the URL above, and the User Name and Password assigned to you.

  Click Input Course Roster Manually. *(page 31)*
- Enter the course number (or search for it), enter the course completion date, and enter the number of attendees. *(page 31)*
- Click OK. *(page 32)*
- Input the student's License Number, National Producer Number, or Social Security Number. *(page 33)*
- Click Submit.
- Verify all data input on this summary screen, then click Edit to go back, or click Submit to continue. *(page 34)*
- Pay fees. *(page 5)*
- Print transaction summary and receipt. *(page 28-29)*
- On the Success Screen, click the Course Attendee Detail link to view/print a report of the students that have completed this course. *(page 35)*

If you have a question about this process, call the SBS Help Desk. The contact information is:

Phone: 816/783-8990
E-mail: sbshelp@naic.org