**Section 3119.30 Provider Responsibilities**

a) Each provider shall submit a certification to the Director for each course it intends to offer for pre-licensing or continuing education credit. Certification is to be submitted to the Department of Insurance at least 30 days prior to the first date the course will be offered. Certification must be accompanied by the appropriate fee (see 215 ILCS 5/500-135(a)(6) or (7)), be signed and dated by the provider, and contain: the provider's name; Federal Employer Identification Number (FEIN) and/or Social Security number of the individual provider; contact person and that person's telephone number; published provider telephone number; course title; first date course will be offered; whether the course is for public education; class of insurance to which the course is applicable; and type of course instruction (see 215 ILCS 5/500-35(b)(1)). The certification format and content have also been posted to the Department's website at: www.insurance.illinois.gov/Producer/producer\_information.asp and will be made available upon request from the Department. Use of the National Association of Insurance Commissioners (NAIC) Midwest Zone Form is also permissible for purposes of certification.

b) Each provider shall submit a new certification when there is a significant change in the course. No provider shall submit the same or substantially the same course content for more than one course.

c) Each provider shall maintain a copy of all instructional materials for each course. If the provider ceases to offer a course or makes a significant change in the course materials, the provider shall maintain the original material for 1 year from the date the course was terminated or significantly changed.

d) Each provider shall maintain the following records for 3 years at a central location:

1) Classroom or seminar – roster for each classroom course or seminar identifying the instructors, the student, the course, the location, the date and hours of attendance, the completion date, the examinations and the results of any examinations administered.

2) Self-study online – name of student, name of course, date of completion, the examinations, the results of examinations, and other applicable proof of completion.

e) Each provider shall provide to the Director a list of students who have successfully completed a pre-licensing or continuing education course. The list shall contain course number; credit hours; course title; reporting week being submitted; provider name; FEIN and/or Social Security number for the individual provider; and student data (including student name and Social Security number, date course completed and either class of insurance for pre-licensing or credit hours for continuing education). The information shall be submitted by an electronic method of transfer prescribed by the Director and in the specifications established by the Director. Each list shall be received by the Director within 10 days following the end of the week in which the course was completed. The list shall be compiled pursuant to the criteria established in Section 3119.50(b) and (e) or Section 3119.65. The date of completion for a course with an examination shall be the date the examination is graded by the provider. Other than the original course fee, no additional fee shall be charged to the student for reporting the student's successful completion to the Department. If the initial report contains an error, no additional charge shall be given for re-reporting the credits to the Department.

f) Instructors shall have either a Bachelor's degree or 3 years experience in the course subject matter. Providers must maintain evidence of such qualifications while the instructor is actively engaged in instructing the course and for 1 year thereafter.

g) Providers shall, upon the request of the Director, provide a copy of all course material, provider records, and evidence of instructor's qualifications to the Director. All such requests shall be subject to a warrant of the Director and for the express purpose of gauging compliance with the Code and Department of Insurance regulations pertaining to the Code.

h) The Director may make arrangements, including contracting with an outside service administrator, for the purpose of administrating and collecting the educational data from the providers. Under such an arrangement, all or a portion of the reporting requirements of the provider shall be made to the servicing administrator.

i) Providers may not advertise a pre-licensing or continuing education course unless it has been approved by the Department of Insurance.

(Source: Amended at 34 Ill. Reg. 5856, effective April 7, 2010)