



**NASBA Continuing Professional Education (CPE) Policies
Insurance Accounting & Systems Association, Inc.
Credit for Continuing Professional Education (CPE)**

National Registry of CPE Sponsors

IASA is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be submitted to the National Registry of CPE Sponsors through its website: www.NASBARegistry.org.

In accordance with the standards of the National Registry of CPE Sponsors, CPE credits have been granted based on a 50-minute hour. Credits awarded are based on actual program length.

IASA NASBA SPONSOR NUMBER: 103191

GROUP LIVE EVENTS

Delivery Method and Program Materials

All programs utilize a combination of lecture, discussion. Program participants can download a copy of their session presentation by going to the IASA website conference grid before the event. A link will be furnished after the conference of all presentations.

IASA's goal is to facilitate the full implementation of program concepts in the work environment and to encourage the sharing of program ideas with others in the workplace of program participants.

Program Level and Prerequisites/Advance Preparation

Our programs are created to accommodate participant groups seeking a basic learning experience. In general, no specific prerequisites and/or advance preparation for technical session is required.

IASA instructors are responsible for ensuring that all participants are present for all technical sessions. This is to be accomplished as follows:

- A formal sign in sheet shall be used for each session. All participants shall individually sign in at the end of the session.
- The instructor shall perform a count of the participants present.

Policy on Program Updates

Each session is required to give a detailed session description and at least 3 learning objectives. All Annual Conference session papers are available to attendees through a private link to download before

and after the event. Session power points are reviewed by the education committee to ensure that all papers are on topic and appropriate for the session

Documentation of Participation

All participants who successfully complete the program will receive documentation of their participation, which includes the following: (1) CPE program sponsor name and contact information; (2) participant's name (if made available); (3) program title; (4) program field(s) of study; (5) date offered or completed; (6) if applicable, location; (7) type of instructional/delivery method used (i.e., group-live; group-internet-based; self-study); (8) amount of CPE credit earned for each field of study; (9) verification by CPE program sponsor representative; (10) National Registry of CPE Sponsors identification number; and (11) time statement reading "In accordance with the standards of the National Registry of CPE Sponsors, CPE credits have been granted based on a 50-minute hour.

Record Retention

Insurance Accounting & Systems Association, Inc. will retain all records related to the program for a minimum period of five years from the program date. These records will include:

- (1) Program outline/materials
- (2) Records of participation
- (3) Date(s) and location(s) of presentation(s) or period during which program was available for purchase
- (4) Number of credits earned by participants
- (5) Results of program evaluations
- (6) Instructors, discussion leaders or program authors names and credentials

Through the initial registration process each attendee confirms the planned education sessions they have selected. Once they arrive at the conference they receive their badge with their full agenda for the conference based upon their prior pre-selected and screened sessions. As each technical session is conducted a mandatory sign up form is completed which each attendee is required to complete. Instructors collect the forms at the end of each program and submit them to IASA. These forms are retained in the IASA International Office for spot audit purposes. Session Attendance Verification sheets are separately completed by each attendee, which show the sessions they actually attended. These forms are signed by the attendee, submitted to IASA and are used as the basis for creation of CPE certificates.

A moderator oversees each technical session.

Evaluation Forms

Evaluation Forms are passed out at each session for the attendees to put their comments and suggestions. I have attached a copy of an evaluation form however after the conference our evaluation forms are tallied and put into an Excel Database for our Education Committee, Board and Speakers to review. After all entries are put in the database the paper is recycled. We have just started doing the evaluations online through a conference app. A person signs in with their id and password and completes the evaluations for each session attended. They still have to sign in at the end of the session.

Complaint Resolution

Any complaints should be directed to IASA using any of the following contact methods:

Office Telephone: (919) 489-0991 Tricia Stillman or e-mail: info@iasa.org

US Mail: IASA, PO Box 51340, Durham NC 27717

In addition, Insurance Accounting and Systems Association, Inc. is registered with NASBA as a sponsor of continuing professional education on the National Registry of CPE Sponsors. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN, 37219-2417. Website: www.nasba.org.

For more information regarding administrative policies such as complaint and refund, please contact our office at 919/489-0991.

Refunds

IASA gives adequate time for cancellations before the event. Cancellations will result in a cancellation fee of registrant and/or guests. No refunds will be given after noted cancellation date on Registration form. Any special circumstances for refunds should be sent to:

IASA
PO Box 51340
Durham, NC 27717
Attn: Angie Gurganus or e-mailed to agurganus@iasa.org

Further Information and Program Registration

For any further information on any IASA programs or to obtain information on registering for sponsoring our programs, please contact IASA directly as follows:

Office Telephone: (919)489-0991 e-mail: info@iasa.org

CPE Follow-up: agurganus@iasa.org
Speaking Opportunities: tstillman@iasa.org
Sponsorships: cgunkel@iasa.org
Or visit our website: www.iasa.org and click on Events

IASA WEBINARS – GROUP INTERNET BASED

RECORD RETENTION

Insurance Accounting & Systems Association will retain all records related to the program for a minimum period of five years from the program date. These records will include:

- (1) Program outline/materials
- (2) Records of participation
- (3) Date(s) and location(s) of presentation(s) or period during which program was available for purchase
- (4) Number of credits earned by participants
- (5) Results of program evaluations
- (6) Instructors, discussion leaders or program authors names and credentials;

REFUNDS/SEMINAR CANCELLATION POLICY

Seminar registration fees are fully refundable up to five (5) business days prior to the actual event date. Cancellations need to be submitted in writing to: tstillman@iasa.org

Complaint Resolution

For information regarding administrative policies such as complaint & refund, please contact our office at 919/489-0991.

Program Update Policy

To gain the knowledge required to prepare the update seminar, presenters are required to attend all National NAIC Meetings and also must participate in NAIC conference calls as they relate to the content of the update seminar. Once the Update Webinar material is prepared, it is then submitted for peer review to our regulatory experts. Any necessary adjustments are then made to ensure the information is accurate and timely.

Records of Participation

IASA works with a professional webinar provider, ON24 that provides tracking options as part of its services. We will track attendance through email address and will be able to track who (what email address) is on the call at the beginning, and the length of time on the call. We will also push out 6 polling questions throughout the 2-hour course and will be able to track responses. CPE certificates will then be awarded, as earned, to those who participate.

Evaluation Form-Group Internet Based

Each Attendee will receive an evaluation sheet at the end of the webinar. The Evaluation will contain the following information. All information will be tallied and inserted on an Excel spreadsheet for committee review.

Program Title

If applicable, program instructor

Program Date

Participant name (optional)

Instruction: Please comment on all of the following evaluation points for this program and assign a number grade, using a 1-5 scale, with 5 as the highest.

1. Were the stated learning objectives met?
2. If applicable, were prerequisite requirements appropriate?
3. Were program materials accurate?
4. Were program materials relevant and did they contribute to the achievement of the learning objective?
5. Was the time allotted to the learning activity appropriate?
6. If applicable, were the individual instructors effective?
7. Were the facilities and/or technological equipment appropriate?
8. Were the handout and/or advance preparation materials satisfactory?
9. Were the audio and visual materials effective?

QAS Self Study

QAS Self Study - Up to 4 programs in the year

Review Questions: Polling questions conducted during the live event will be considered review questions for the self-study course and will be conducted randomly throughout the program, with a minimum of three review questions incorporated.

Final Examination: Participants of self-study programs are required to successfully complete a final examination with a minimum passing grade of at least 75% before receiving CPE credit for the course. At least five questions per CPE credit will be included on the final examination. There are no limits to the number of times that a participant can take the examination.

Record Retention Policy:

Insurance Accounting & Systems Association, Inc. will retain all records related to the program for a minimum period of five years from the program date. These records will include:

- (1) Program outline/materials
- (2) Records of participation
- (3) Date(s) and location(s) of presentation(s) or period during which program was available for purchase
- (4) Number of credits earned by participants
- (5) Results of program evaluations
- (6) Instructors, discussion leaders or program authors names and credentials.

A list of our program offerings will be displayed on our website.

Through the initial online registration process each attendee confirms their request for CPE for the QAS Self Study Program selected. Upon completion of registration the attendee will be granted access to the self-study course. Instructor's names and credentials are provided and retained via the course presentation. Surveys are conducted via survey widget and survey responses are retained in post event reporting. Survey results are retained electronically in the IASA International Office for spot audit purposes and reviewed by IASA's committees for future offerings. Session Attendance is verified via post event reporting which is maintained electronically and verifying all CPE requirements are met. CPE certificates are generated via a certification widget in the ON24 webinar software upon completion of requirements.

Refund Policy:

Currently QAS Self Study courses are free and available to IASA members only as a part of member benefit.

In the event that these are offered for purchase refunds would be made in the event of technology issues causing the attendee to not be able to complete the course. Any special circumstances for refunds should be sent to:

IASA
PO Box 51340
Durham, NC 27717
Attn: Tricia Stillman or email at tstillman@iasa.org

Cancellation Policy:

QAS self-study courses are not live events and are available only to members at no charge and do not require a cancellation policy.

For more information regarding administrative policies such as complaint and refund, please contact our office at 919-489-0991.

Complaint Resolution Policy:

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Office Telephone: (919) 489-0991 ext. 202 Tricia Stillman or e-mail: tstillman@iasa.org
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For more information regarding administrative policies such as complaint and refund, please contact our office at 919/489-0991.

Course Update Policy:

Each QAS Self Study course is required to give a detailed session description and at least 3 learning objectives. A presenter bio is included in each course presentation. Presentations are available in pdf format prior to logging in to the course. There are no program prerequisites or advanced preparation required. The program level will be a basic overview on the subject matter, which will be detailed in the promotional material. The webinar delivery method is primarily presentation-based with a presenter or presenters skilled in the subject matter. Each webinar provides an opportunity for Q&A. The "Field of Study" includes Accounting, Computer Software & Applications, Personal Development, Information Technology, Economics, Specialized Knowledge, Behavioral Ethics and Taxes. 1 CPE credit is awarded for each 50 minutes of presentation time. Courses whose content changes frequently will be reviewed annually by a subject matter expert. Courses whose content changes less frequently will be reviewed once every two years.

Program Content and Knowledge level equate to background of intended Participants

All studies state whether the knowledge level is a basic overview or advanced. No prerequisite is required for the self-study programs that are offered and this will be displayed on our website.

The “Field of Study” includes Accounting, Auditing, Personal Development, Information Technology, Economics, Computer Software & Applications, Specialized Knowledge, Behavioral Ethics and Taxes.

Evaluation Survey:

Evaluation -QAS Self Study

Program Title:

Name of program instructor:

Program Date:

Participant name (optional):

Instruction: Please comment on all of the following evaluation points for this program and assign a number grade, using a 1-5 scale, with 5 as the highest.

1. Were the stated learning objectives met?
2. If applicable, were prerequisite requirements appropriate?
3. Were program materials accurate?
4. Were program materials relevant and did they contribute to the achievement of the learning objective?
5. Was the time allotted to the learning activity appropriate?
6. If applicable, were the individual instructors effective?
7. Were the facilities and/or technological equipment appropriate?
8. Were the handout and/or advance preparation materials satisfactory?
9. Were the audio and visual materials effective?

All NASBA mandatory question are included on IASA surveys. IASA includes additional questions for the purpose of planning future events. The survey is mandatory and provided at the end of the self-study course via survey widget.

NASBA REQUIREMENTS TO USE IASA SPONSOR ID

In order to receive Continuing Education Credits the following is required by NASBA. You must include these items on printed material or on your web page or registration form. This information does not have to be all together.



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- **Learning Objectives** – 3 Learning Objectives required
- **Program Content** – Description of Program
- **Prerequisites/ Advance Preparation** – Prerequisites and/or advance preparation for technical sessions is not required.
- **Type of Delivery Method/Program Level** – Our programs are considered a Basic Overview.
- **Recommended CPE Credit** – You must include “Earn up to _____ CPE Credits”. (Credits are 50 minutes per credit hour)
- **Registration Instructions** – You must include registration information with price for event
- **Refund/Cancellation Policy** – Be sure to include your refund policy on printed material or on your registration form with contact information. If Programs are free you must state that, however a cancellation policy is still needed.
- **Compliant Resolution Policy** – For more information regarding administrative policies such as complaint and refund, please contact 919/489-0991

SPEAKERS

Biographies are required for all speakers.

Ethic Speakers: Type of Ethics: Regulatory Ethics or Behavioral Ethics. The bios must describe their relevant experience in his/her bio.

- Name, address and e-mail information required on all speakers so that they can be added to our -Database.