

ONLINE COURSE AUDIT FORM

Commented [RT1]: The audit items on the form were identified from NAIC Continuing Education Recommended Guidelines for Online Courses, adopted 2015.

| | | |
|---------------|-----------------|--|
| Audit Date | Auditor Name | |
| Provider Name | Provider Number | |
| Course Name | Course Number | |
| | | |

1. Was the course content preceded by the required Course Introduction Statement? YES NO
2. Was course content accessible without viewing the required Course Introduction Statement? YES NO
3. Was the course outline (and/or course summary statement) provided to the auditor? YES NO
4. Auditor logs In to course & notes start time (mm/dd/yyyy 00:00)_____ AM P M
5. Auditor completes course & notes end time (mm/dd/yyyy 00:00)_____ AM P M
6. What was the number of credit hours assigned to this course?_____
7. Did the final exam contain a minimum of 10 questions for 1 credit hour With additional 5 questions for each subsequent credit hour and a score of 70% or greater? YES NO
8. Were the final exam questions duplicated from unit/chapter questions? YES NO
9. Did Proctor, if required by state, verify identify of student by photo identification and process affidavit testifying the student received no outside assistance? YES NO
10. Was the student required to register and pay fees before starting the course? YES NO
11. Was the Final Exam only administered **AFTER** the required number of course hours of study were completed or the entire course reviewed? YES NO

12. Were passwords and security prompts Incorporated into the course to validate the auditor's identity? YES NO
13. Auditor is given exam questions throughout the course? YES NO
12. Auditor Is given exam questions at the end of the course? YES NO
13. Were the exam questions consistent with the questions included with the course approval form? YES NO
14. Was the instructor available to answer student questions during provider business hours? YES NO
15. Auditor confirms the number of sessions allowed to complete the course, If more than one _____
16. Auditor confirms the number of sessions used by them to complete the course _____
17. If completed more than one session; how did the provider confirm the identity of the participant for the subsequent sessions (e.g., unique password selected by the student, unique password assigned by the provider, etc.)? _____
18. Did it take you the same amount of time to complete this course as the number of credit hours for which it was approved? YES NO
19. Please compare the time it took you to complete course to the number of credit hours approved.
- Significantly more time than the hours approved (10% or more time)
 - Moderately more time than the hours approved (5% or more time)
 - No significant difference (+/- 4%)
 - Moderately less time than the hours approved (5% or more time)
 - Significantly less time than the hours approved (10% or more time)
20. Please provide a written comment based upon your background and expertise on how long the auditor feels it would take for the average agent to complete the same course:
- _____
- _____
- _____
21. Did the course cover the materials described In the outline? YES NO

22. Please provide any comments about the content or materials?

23. How did the provider confirm successful completion of the course to you as a student?

24. In your opinion, did the technology used to deliver this course detract or enhance the educational experience?

- | | |
|---|---|
| <input type="checkbox"/> Significantly detracted | <input type="checkbox"/> Moderately enhanced |
| <input type="checkbox"/> Moderately detracted | <input type="checkbox"/> Significantly enhanced |
| <input type="checkbox"/> Neither detracted nor enhanced | <input type="checkbox"/> No opinion |

If your response above was that the educational experience was either significantly or moderately affected by the technology, please provide an explanation.

25. Ask the provider their follow-up process for contacting the students who have purchased their course but have not submitted required paperwork/completed test before the deadline In order to receive CE credit. Providers must follow-up with students within 10 days for online courses and 30 days for self-study courses.

26. List Violations if any. Refer to the [insert state] Provider Handbook.
