



Board of Behavioral Sciences

1625 North Market Blvd.
Suite S-200
Sacramento, CA 95834
(916) 574-7830
TTY (800) 326-2297
Fax (916) 574-8625
www.bbs.ca.gov

MEETING NOTICE

Continuing Education Provider Review Committee May 31, 2012

Department of Consumer Affairs
El Dorado Room
1625 North Market Blvd., #N220
Sacramento, CA 95834

9:30 a.m.

- I. Introductions
- II. Purpose of the Committee
- III. Discussion Regarding Continuing Education Provider Accrediting Entities
 - a. National Association of Social Workers
 - b. Association of Social Work Boards
 - c. National Board of Certified Counselors
 - d. National Association of School Psychologists
 - e. American Psychological Association
 - f. American General Dentistry Program Approval for Continuing Education
- IV. Public Comment for Items Not on the Agenda
- V. Suggestions for Future Agenda Items
- VI. Future Meeting Dates
- VII. Adjournment

Public Comment on items of discussion will be taken during each item. Time limitations will be determined by the Chairperson. Items will be considered in the order listed. Times are approximate and subject to change. Action may be taken on any item listed on the Agenda.

THIS AGENDA AS WELL AS BOARD MEETING MINUTES CAN BE FOUND ON THE BOARD OF BEHAVIORAL SCIENCES WEBSITE AT www.bbs.ca.gov.

NOTICE: The meeting is accessible to persons with disabilities. A person who needs a disability-related accommodation or modification in order to participate in the meeting may make a request by contacting Christina Kitamura at (916) 574-7835 or send a written request to Board of Behavioral Sciences, 1625 N. Market Blvd., Suite S-200, Sacramento, CA 95834. Providing your request at least five (5) business days before the meeting will help ensure availability of the requested accommodation.



Governor
Edmund G. Brown Jr.
State of California
State and Consumer
Services Agency
Department of
Consumer Affairs

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Continuing Education Provider Review Committee

The Continuing Education Provider Review Committee was appointed in November 2011. The Committee will conduct a holistic review of the Board's continuing education program and evaluate the issues regarding continuing education and continuing education providers.

The Committee's work will focus on assessing the Board's current continuing education program and various continuing education models throughout the state and country. Stakeholders and interested parties will be given an opportunity to provide input, feedback, and express their concerns regarding continuing education and continuing education providers.

The Committee, stakeholders, and interested parties will evaluate relevant data and information to establish a model that provides the Board the authority essential to an effective continuing education model.

The Committee anticipates submitting its recommendation to the Board in 2013.

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BBS CE Provider Issues

1. Current Scope of Approval Authority

The law gives the Board authority to revoke or deny a provider based on not ensuring quality of content, however, it does not allow the Board to approve or deny specific courses by a provider. The Board has no authority to *approve* individual CE courses. Language expressly permitting the review of course content and instructor qualification relates only to an initial approval application. This review of coursework content and instructor qualification does not extend to renewal or maintenance of a CE Provider's approval, except through the audit process (as discussed in a subsequent section). The Board also does not have the authority to approve an instructor.

The Board's CE Provider application (Attachment C) only requires a sampling of the provider's course content and instructor qualifications.

In order to renew, a CE provider must submit the renewal form with the required fee.

2. Review of Coursework/Content

As discussed above, courses and content by a CE Provider are not Board approved; a provider is approved based on the content of courses and qualification of instructors presented in the initial application package. For example, a CE Provider may apply to the Board for approval, submit coursework content and instructor information and receive approval based on the information submitted. However, the CE Provider is now approved and any course that the provider adds that meets the general requirements described in the previous section (direct/indirect patient care) by the approved provider will be accepted for credit by the Board.

Providers are not required to inform the Board of any changes in courses offered or any new courses added. Providers are also not required to inform the Board of any new instructors. Therefore, licensees obtaining CE hours from approved providers assume that the coursework meets the Board's requirements because the course is offered through an approved provider.

3. Expired Provider Approval

16 CCR Section 1887.7(e) prohibits a provider whose approval has expired from presenting a course for CE credit to licensees of the Board. However, 16 CCR Section 1887.13 states that upon application for renewal of an expired approval, a provider must submit a letter stating that during the time of expiration no courses were presented *but* if courses *were* presented during the expired period the letter shall state "that all participants have been notified that the providers approval status at the time of completion of the continuing education was expired and that continuing education hours will not be disallowed by the Board if the provider renews within one year after the expiration." In addition to this being contradictory it seems to spawn unaccountability and shows a lack of standards for those licensees required to receive mandatory education in the pursuit of continued competent practice of a profession.

4. Self-Study Versus Online Learning

Board regulations define a CE course as "...a form of systematic learning at least one hour in length including, but not limited to, academic studies, extension studies, lectures, conferences, seminars, workshops, viewing of videotapes or film instruction, viewing or participating in other audiovisual activities including interactive video instruction and activities electronically transmitted from another location which has been verified and approved by the continuing education provider, and self-study courses."

A self-study course is defined as "...a form of systematic learning performed at a licensee's residence, office or other location including, but not limited to, listening to audiotapes or participating in self-assessment testing (open-book tests that are completed by the member, submitted to the provider, graded and returned to the member with correct answers and an explanation of why the answer chosen by the provider was the correct answer)."

In 2003, the Board amended the definition of CE courses found in 16 CCR Section 1887 to include online education which was previously included in the definition of a "self-study course." This change allowed licensees to effectively gain all CE hours through online means. In 2008, the Board proposed to delete the regulatory provision which allowed CE credit for courses obtained through self-study. However, through a number of public meetings on the proposed revisions and in response to public and stakeholder comments, the Board instead maintained the category of self-study courses but raised the limit of the amount of hours credited through the completion of self-study courses from 12 hours to 18 hours (half of the biennial CE hour requirement).

Because of the proliferation of online providers, advancements in technology and increased access to computers, there has been much confusion for staff and licensees taking online courses (unlimited amount of hours credited) and how they differ from self-study courses (18-hour limit).

5. Cite and Fine CE Providers

Currently, if the Board finds that a CE Provider applicant or current CE Provider is in violation of the law relating to the provision of CE, the Board has authority to either deny an application or revoke a provider's approval; the Board does not have the authority to take less serious action, such as to cite and fine a provider and allow the provider to resolve any issues. In 2006, the Board began the regulatory process to allow the Board to cite and fine approved CE Providers; however, the rulemaking failed to move forward.

6. CE Credit for Examination Development

Currently the Board develops all examinations for LMFT, LEP, and LCSW licensure. Additionally, the Board develops the Law and Ethics examination for LPCCs. The Board will facilitate, with the Office of Professional Examination Services, 57 workshops in fiscal year 2011-12. Each workshop has seven to nine licensees that act as subject matter experts (SMEs) in every segment of the examination development including: item writing, item review, exam construction, and setting a passing score. SMEs are provided standard travel expense reimbursement and a payment for services rendered. Licensees that participate in item writing workshops are paid a rate of three-hundred dollars (\$300) a day and all other workshop participants are paid at a rate of two-hundred dollars (\$200) per day. Workshops are typically two to three consecutive days

with the same participants. The rate of pay for SMEs has not been increased since 2004.

The Board does not give CE credit for SME participation in examination development. Both the Dental Board and Psychology Board give CE credit for participation in examination development.

Examination development is an integral part of the licensure program and it is imperative that the Board continues to have a competent and committed pool of SMEs.

7. CE Provider Approval through an Accrediting Body

Many Boards within DCA accept courses provided through “sponsors” approved by specified accrediting entities. These accrediting entities establish stringent requirements for CE provider applicants, including administrative and financial accountability, program development and implementation criteria, and established performance measures for determining program effectiveness. Many of these accrediting entities also perform periodic reviews of approved “sponsors.”

By accepting CE from “sponsors” approved by an accrediting entity, boards are not involved in the approval or maintenance of the CE “sponsors.” Rather, the board relies on the accrediting entity’s standards to ensure the quality of CE provided to licensees.

8. Continuing Competency

In 2010, DCA began the discussion of transitioning healing arts boards from a continuing education model to a continuing competency model for licensure renewal. Continuing competency, at its most basic level, is a model that goes beyond imposing mandatory CE courses and requires that the licensee’s knowledge, skills and clinical performance be assessed to determine areas of needed improvement. Education under the continuing competency model may be gained through different paths beyond the traditional classroom or coursework structure, such as through an examination.

The integration of continuing competency concepts should be part of the larger discussion of CE and CE providers to be considered by the Committee.

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ACCREDITATION AGENCIES

PROVIDER APPROVAL PROGRAM COMPONENTS

	NASW	ASWB	NBCC	APA	PACE	NASP
Initial Application	X	X	X	X	X	X
Identify Program Goals	X	X	X	X	X	X
Specific Program Management Criteria (CE Director, complaint process procedures, etc.)	X	X	X	X	X	X
Educational objectives	X	X	X	X	X	X
Instructor Qualifications	X	X	X	X	X	X*
Relevant Course Content	X	X	X	X	X	X
Program Evaluation	X	X	X	X	X	X
Course Credit Criteria	X	X	X	X	X	X
Course Advertising Criteria		X	X	X	X	X
Approves Individual Courses		X				
Local CE Provider Approval					X	

	NASW	ASWB	NBCC	APA	PACE	NASP
Maintains Licensee CE Records			X		Providers must submit credit for AGD members	
Renewal	Annual	3 years (after 1 year initial period)	Annual Update or Five-year renewal	Annual Fee/Renews approval every 5 years	1-4 years	Every 4 years
Audits/Reviews	Summary evaluations submitted within sixty days of program conclusion	Summary report after first year and every renewal thereafter	At least three courses per year. ACEP provides summary.	Annual Report	Reviews at Random	Annual Report

***General instructor requirements only**

ACCREDITATION AGENCIES

	NASW	ASWB	NBCC	APA		PACE		NASP
				Division, State, or Regional Association	Others	National	Local	
Provider Initial App Fee	\$125 one time organizational fee (\$200 per Program Title; \$315 per Conference/Seminar; \$1250 for Symposiums/Certificate Programs)	\$450	\$300	\$180	\$300	\$575	Varies by State (California - \$75)	\$400
Provider Renewal Fee	\$200 per Program Title; \$315 per Conference/Seminar; \$1250 per Symposium/Certificate Program	\$900 (after one year probationary period and every renewal thereafter)	\$100 ACA/ University \$200 ACEP	\$240	\$400	\$200	Varies by State	\$100
Frequency	Annual	3 years	Annual	Annual	Annual	Annual	Annual	Annual (Must re-apply every four years)
Other Provider Fees								
Recognition Fee				\$360	\$600			
Frequency				One time - due upon preliminary approval	One time - due upon preliminary approval			

FEEES

	NASW	ASWB	NBCC	APA		PACE		NASP
				Division, State, or Regional Association	Others	National	Local	
Inactive Status Renewal Fee				\$120	\$200			
Frequency				Annual	Annual			
Late fee assessed after 90 days			\$50					
Additional delivery method of CE activity*			\$200					
Approval Extension Fee**		\$150 per course						

*NBCC categories CE activities into four delivery methods. Initial provider approval is limited to one delivery method. Additional delivery methods require an additional fee.

**Each additional course not approved in initial application.

1625 North Market Blvd., Suite S-200
Sacramento, CA 95834
(916) 574-7830, (916) 574-8625 Fax
www.bbs.ca.gov

To: Committee Members

Date: May 21, 2012

From: Steve Sodergren
Assistant Executive Officer

Telephone: (916) 574-7830

Subject: National Association of Social Workers Approval for Continuing Education

Program Information

The National Association of Social Workers offers formal social work continuing education (CE) approval for programs that meet the requirements put forth in NASW Standards for Continuing Professional Education. This NASW CE Approval Program extends to national, regional, and multi-state continuing education providers. Programs may include, but are not limited to, workshops, conferences, home study, and internet based learning.

All providers who offer continuing education programs that are relevant to social workers may submit an application. In reviewing the applications, NASW looks for learning objectives that have the following characteristics: (1) the specified action by the learners must be observable; (2) serve as guidelines for content, instruction, and evaluation; (3) the specified action must be done by the learners. The provider must also demonstrate that they have a continuing education attendance monitoring system in place.

In order to monitor provider programs, NASW requires the provider to have an evaluation form that participants can use to assess the programs they complete. The provider must send the NASW a summary of these reports within 60 days after a programs conclusion. For Distance Learning courses the provider must supply NASW with a copy of the post-test used in the program. No more than 10% of the post-test questions can be true/false questions and the minimum passing requirement is 80%.

The provider is responsible for maintaining all program records for a minimum of six years.

Requirements that the providers must meet for approval are found in the NASW Standards for Continuing Education. In the application the provider must attest that they meet these standards by confirming their program has the following components:

- A means of responsibility for control over all aspects of programs to ensure objectives and standards are met, and
- A system for selection and supervision of qualified instructors, and
- A BSW, MSW, DSW or PhD Social Worker involved in the planning and evaluation of the program.
- A system for evaluation of programs
- A system for monitoring attendance

- A means of maintaining program and participant records for a minimum of 6 years

Once NASW approves a program it can be hosted as many times as the provider chooses within the twelve month approval period.

The NASW CE Approval Program is currently endorsed by 46 state licensure boards, but not California.

Aspects of the Program that Respond to Concerns Regarding the BBS CE Program

The NASW CE Approval Program is based upon a set of comprehensive standards that assists in assuring that the provider's programs are relevant and administered appropriately. Also, the NASW approval process allows for the review of currently approved courses to ensure that they are meeting the needs of participants.

NASW also includes specific criteria for self-instruction and electronically mediated programs, including limits on the number of CE credit hours awarded.

Attachments

- A. NASW Continuing Education Approval Program Guidelines
- B. NASW Continuing Education Approval Program Application
- C. NASW Continuing Education Approval Program Information
- D. NASW Continuing Education Renewal Form
- E. NASW Continuing Education Renewal Instructions

NATIONAL ASSOCIATION OF SOCIAL WORKERS



CONTINUING EDUCATION APPROVAL PROGRAM GUIDELINES

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750 First Street, NE, Suite 700
Washington, DC 20002-4241*

GUIDELINES FOR CONTINUING EDUCATION APPROVAL

1. INTRODUCTION

The National Association of Social Workers (NASW) offers formal social work continuing education (CE) approval for programs that meet the requirements put forth in NASW *Standards for Continuing Professional Education*. Social workers are ethically bound to lifelong learning as a means to ensure both practice competence and professional growth. Continuing education credits may be used for licensing renewal, toward professional credentials, or to remain current with the most current research, best practices, or the application of new theory in practice.

2. ELIGIBILITY

All providers who offer continuing education programs that are relevant to social workers may submit an application. These include, but are not limited to, providers of workshops, conferences, home study programs, and internet-based distance-learning education. The NASW CE Approval Program extends to national, regional, and multi-state continuing education providers.

State or local continuing education providers should contact our NASW state chapters except where no state approval programs are in place. Application for continuing education approval must be made by the sponsoring organization (provider), not by individual participants who attend the program.

3. SOCIAL WORK LICENSURE BOARD ENDORSEMENT

The NASW CE Approval Program is currently endorsed by 46 state licensure boards. Providers, however, are still responsible for following the states' rules and regulations regarding licensure. For example, several states do not recognize distance-learning programs as valid continuing professional education. For a listing of state social work boards, and their contact information, visit www.aswb.org.

4. NASW STANDARDS

The standards for organizations applying to the NASW CE Approval Program are contained in the NASW *Standards for Continuing Professional Education*. Applicants must **review** the standards and **comply** with the requirements. See the APPENDIX for the excerpt for Standards for Assessing Providers of Continuing Professional Education or for a copy of the complete *Standards*, visit www.socialworkers.org/practice/standards/cont_professional_ed.asp.

5. DETERMINING THE NUMBER OF CONTINUING EDUCATION CREDITS FOR YOUR PROGRAM

NASW awards **contact hours** for approved programs. One contact hour equals one hour of face-to-face instruction. Distance learning contact hours are determined based on content, time to review the content, and an appropriate number of test questions that reflect whether the learning objectives have been met. The number of contact hours is determined prior to the beginning of the program and is based on the objectives, content, format, methods of instruction, and program schedule. A workshop or program must be a minimum of one hour in length. Continuing education providers and licensees should be aware that some social work licensure boards require a minimum of three-hour programs.

Time devoted to announcements, welcoming speeches, scheduled coffee breaks, lunch, and other social events is not included in the number of hours considered. Credit is usually given at 50% of the allotted time for an educational program connected with a meal function. The continuing education provider is instructed to estimate the number of contact hours on their application. NASW determines the final number of contact hours for a program.

6. CONTINUING EDUCATION LEARNING OBJECTIVES

Learning objectives provide direction in the planning of a learning activity. They help to (1) focus on learners' behavior that is to be changed; (2) serve as guidelines for content, instruction, and evaluation; (3) identify specifically what should be learned; and (4) convey to learners exactly what is to be accomplished.

In reviewing your application, NASW will be looking for learning objectives that have the following characteristics: (1) the specified action by the learners must be observable; (2) the specified action by the learners must be measurable; and (3) the specified action must be done by the learners. The ultimate test when writing a learning objective is whether or not the action taken by the participant can be assessed. If not, the outcome probably does not meet all three of these characteristics. If this is the case, we will ask you to re-submit this information.

7. ATTENDANCE MONITORING

When programs have been approved, only those individuals who satisfactorily complete the program will receive credit for attendance. NASW needs to be aware of the organization's continuing education monitoring attendance system. It is the responsibility of the organizer of the program to document that the participant met this standard.

Examples of monitoring attendance include: distribution of participant sign-in/sign-out sheets, use of electronic name badge readers, and the issuing of unique session codes to participants at the conclusion of programs, or at each session.

8. EVALUATION DATA

Providers must have in place an evaluation form that participants can use to assess the value of the providers' educational content. Some criteria for that evaluation form could be changes in the attitude and approach of the learner to the solution of problems, presentation of new knowledge or updating obsolete information in specific content areas, the introduction to and/or mastery of specific skills and techniques, and improvement in the selective responses of the learner. Also, consider additional feedback such as:

- The quality of instruction and teaching ability (did the instructor present materials in a clear or orderly fashion, gear materials to a level appropriate to the audience, respond to questions and needs of the audience?)
- The instructor's level of knowledge and expertise.
- The usefulness of the program content for meeting each of the programs' stated objectives.
- The adequacy of the physical facilities (comfort, accessibility, space, visual and auditory support).

Compile all of your participant information into a summary evaluation. The summary evaluation must be sent to NASW within 60 days after the program's conclusion.

DO NOT send NASW the individual participation evaluations.

9. POST-TEST REQUIREMENT FOR DISTANCE LEARNING

All providers must supply NASW with a copy of the post-test used in a distance learning program. No

more than 10% of the post-test questions can be true/false questions. Be aware that the minimum passing requirement is an 80% passing score.

10. PERMANENT RECORDS

It is the responsibility of the provider to maintain program, attendance and financial transaction records for all participants. Such records should be kept for a minimum of six years and must be made available to participants.

11. PROGRAM QUALITY

Representatives of the target audience, social workers, must provide input during the program planning to ensure the suitability of the subject matter to the level of application. Planning, administration, presentation, and evaluation functions must be a constant concern of the providers.

12. APPLICATION FEES

Refer to the Payment Form for specific rates and information.

- When using a package option, the expiration date of the first approved program title applies to all programs within the package.
- In addition to the per title program, conference, or package fee, there is a one-time organizational review fee of \$125.00 for all new providers applying for the NASW Continuing Education Approval Program
- Fees for each continuing education program are required for new and renewal titles.
- Once the program is approved, it may be hosted as many times as you like within the twelve-month approval period. NASW also offers Symposium/Certificate Program (all single subject program more than 30 clock hours) and Large Catalog Providers (first 40 titles) and two conferences.

If a new program is denied CE Approval, or it is withdrawn when the application process has begun, NASW will retain the non-refundable \$125.00 one-time application fee, as well as 50% of the program fee* charged. Notification to withdraw an application must be submitted in writing to ceu@naswdc.org within 48 hours of the application submission date. Withdrawn or denied renewal application fees are non-refundable.

If additional information is requested to approve the program, you will be notified. Missing or revised material must be received within 10 business days of notification. If the requested information is not received within this period, NASW will retain the non-refundable \$125 one-time application fee, as well as 50% of the program fee(s).* After 10 business days, the application with missing or revised materials requested will need to be resubmitted at a later date with the applicable fees for reprocessing the application. Late and expedited processing fees are non-refundable for applications where additional information has not been received within the allotted time unless otherwise designated by NASW.

**Program fees include but are not limited to: one or more program titles for new programs, conferences, program packages, and symposium/certificate programs.*

Applications for CE Approval must be submitted no less than six (6) weeks prior to your program. If you request NASW to approve a program that is scheduled to occur within six weeks of the application, the payment submitted must include an additional late fee and expedited processing fee.

We do not process applications after a continuing educational program has occurred.

Once the program is approved, it will be listed on the NASW CE Search Portal available on our website under the exact name shown on the application and approval letter.

13. SUBMITTING APPLICATIONS TO NASW

- A. Ensure you are using the most current CE Approval Application, available at www.socialworkers.org/ce/approval.asp.
- B. Complete the CE Approval Program Payment Form.
- C. Prepare check payable to NASW or provide credit card information based on total figure on Payment Form.
- D. Complete Application for CE Approval, and email materials to ceu@naswdc.org or mail to:

**National Association of Social Workers
ATTN: ACCOUNTING OFFICE
(CE Approval Program)
750 First Street, NE, Suite 700
Washington, DC 20002-4241**

If you have questions, please call (202) 336-8295

E-mail: ceu@naswdc.org

For additional information on NASW, please visit us online at www.socialworkers.org/ce/approval.asp

APPENDIX A

EXCERPT FROM NASW STANDARDS FOR CONTINUING PROFESSIONAL EDUCATION: STANDARDS FOR ASSESSING PROVIDERS OF CONTINUING PROFESSIONAL EDUCATION

For a copy of the complete Standards, visit

www.socialworkers.org/practice/standards/cont_professional_ed.asp.

The standards and guidelines in this section are directed to the social worker who wants to be an informed continuing education consumer and to the provider who wants to meet professional expectations for continuing education. The social worker can use this section as a guide in assessing the provider's qualifications before enrollment in any given offering. The provider can use this section as a tool for self-evaluation, leading to continuing education of higher quality for social workers.

STANDARD 4: Providers of continuing professional education shall have a written statement of mission and philosophy that reflects the values and ethics of the social work profession.

Interpretation

By examining the provider's statement of mission and philosophy, the social work consumer can determine the direction and leadership afforded by the provider. A clearly articulated statement serves as the basis for the provider's educational goals and objectives. In addition to the values and ethics of the social work profession, the statement should reflect the broad tasks of social work education: promoting quality instruction, knowledge, and skills building and improving service provision.

STANDARD 5: Providers of continuing professional education shall plan an organized educational experience.

When planning a continuing education activity (face-to-face or distance education) for social workers, the provider needs to consider six essential program elements. The guidelines that follow delineate those elements and establish respective professional expectations of providers. The social work consumer, in turn, can use these guidelines as the basis for inquiry about a provider's qualifications, leading to better decisions about which offerings to pursue.

- **Program Development**—Adequate and responsive continuing education program development requires interaction among sponsoring administrators, the instructor or educational leader, and potential social work consumers. The provider needs to involve social workers in the identification of learning needs, in the selection and development of educational events to meet those needs, and in the establishment of appropriate evaluation mechanisms. Involvement of social workers with content expertise and an understanding of the educational objectives are recommended as well.
- **Program Content**—Continuing education events for social workers should clearly relate to social work practice, theory, and methodology; to the level of social work education; to social policy; or to administration, planning, and research related to human services. As a guide for participation, learning objectives and content designed to meet those objectives should be specified for each event. The way in which the content will meet the learning needs of social workers also should be made clear. Such information should be provided on promotional materials or upon request.

- **Participants**—Selection of participants for continuing education events must not discriminate by reason of gender, age, race, ethnic background, sexual orientation, physical abilities, or other characteristics. Promotional materials should state clearly the educational level of the social worker for whom the event is geared but not limited to, as well as any prerequisites.
- **Program Format and Instructional Methodology**—The provider should be able to demonstrate that the format and methods selected for continuing education were influenced by contemporary adult learning theory; the identified learning needs of the participants; and the learning objectives, the educational content, and the size and composition of the participant group. Methodologies need to be diverse and encourage the active participation of the learner in the educational process. A variety of teaching techniques should be considered; any assignments, such as readings or structured exercises, should be related to the conceptual content, and any audio-visual resources should be used in a planned manner.
- **Qualified Instruction**—The sponsor of a continuing education event must make sure that the instructor, speaker, or educational leader is qualified. Individual providers have responsibility for offering only those events for which they are qualified. Specific qualifications include competence in the subject matter ability to transmit the educational content to the participants' understanding of continuing education objectives knowledge and skill in instructional methodology, learning processes, and the use of emotionally laden material capacity for self-evaluation and modification of future offerings in response to evaluations conducted by self, sponsor, and participants maintenance of an appropriate certification, credential, or license for subject matter.
- **Program Evaluation**—Formal evaluation of each continuing education event is essential for maintaining or improving the quality and effectiveness of future events. Measures of evaluation need to be established during the planning phase and linked directly with the event's learning objectives. Two distinct but related measures of evaluation may be appropriate. The first is the instructor's, sponsor's, and participants' assessment of the event with respect to content, format, methodology, instruction, and facilities. The second is assessment of the knowledge acquired by participants and is based on
 - demonstration of a taught skill
 - an oral or written test
 - a project or report
 - a self-assessment checklist
 - another instrument designed to collect data on changes in participant knowledge or performance attributed to the educational experience.

The instructor and sponsor together should review the evaluation outcome and revise subsequent events accordingly.

STANDARD 6: Providers of continuing professional education shall conform to responsible administrative practices.

Interpretation

A quality continuing education activity (face-to-face or distance education) must be built on administrative practices that facilitate the learning experience and assure recognition for continuing education participation. The guidelines that follow illustrate ways this standard can be met by the continuing education provider and assessed by the social work consumer. Administrative practices include

- designation of a director for the continuing education program and a contact person for each offering

- provision of **accessible** and adequate space, physical facilities, and support services conducive to learning
- a system, established by the continuing education sponsor, for responsible recruitment, selection, supervision, and evaluation of instructors and/or educational leaders
- a system for maintaining and verifying records on each continuing education event, including financial accounting, registration and cumulative attendance records, course outlines, objectives, bibliographies, and completed evaluation forms
- establishment in advance of the event of performance requirements for the awarding of relevant continuing education recognition or certificates of recognition to participants including, at a minimum, requirements for attendance (at least 80 percent of the instructional hours for conferences) and evaluation
- a system for making records of attendance available to the participants of continuing education events
- accreditation of the continuing education event by NASW or its chapters in the states that have established a provider approval program.

STANDARD 7: Providers of continuing professional education shall collaborate with major stakeholders in the community. Major stakeholders include, but are not limited to, NASW chapters, local accredited programs of social work education, social work state licensure boards, social work employers, consumer groups, and allied professionals.

Interpretation

To facilitate implementation of this standard, it is expected that NASW chapters and local accredited programs of social work education will take a lead role in establishing mechanisms for collaboration between each other and among other stakeholders and providers. By working together providers are able to refine their individual offerings and also contribute to the development of a comprehensive program of continuing social work education. Suggested mechanisms for collaboration include

- joint committees on continuing education
- advisory panels with cross-cutting expertise on specialized subject matters
- co-sponsorship of assessment studies to determine the learning needs of social workers
- exchanges of faculty and staff for the purposes of training, consultation, and instruction
- cooperative efforts in publicizing continuing education events.

APPENDIX B - NASW CE APPROVAL PROGRAM GLOSSARY

Annual Fee: Administrative charge for the annual review of each continuing education program.

Approval Period: The one year period of time in which an approved program may be hosted, starting from the date listed of the approval notice.

Approved Program: A continuing education program that has met the approval guidelines established by the National Association of Social Workers.

BSW: Acronym for Bachelor of Social Work, a professional degree.

Certificate Program: A learning program in which attendees participate in a series of sessions based on core sets of knowledge. A key component of a certificate program includes an element of evaluation in which learners must demonstrate the acquisition of new knowledge (testing) or skills (demonstration) prior to the award of a certificate.

Conference: A meeting held by an organization consisting one or more days comprised of concurrent

Contact Hour: Time equal to one clock hour of participation in a continuing education program.

Continuing Education: Training provided for professionals to remain current with industry trends.

Continuing Education Certificate: An official document given to participants upon completion of a continuing education program.

Cosponsoring Organization: A group or organization that has assumed joint responsibility with other organization(s) to provide a continuing education program.

Course: A series of lectures or lessons on a particular topic.

Distance Education and Learning: The acquisition of knowledge and skills through mediated technologies at a distance characterized by:

- physical separation of place and/or time between instructor and learner
- interaction between learners and learning resources conducted by media
- processes employing a multiple set of delivery methods in the learning experience such as correspondence study, interactive audio, video, computer, or other electronic technologies.

DSW: Acronym for Doctor of Social Work or Doctor of Social Welfare, a professional degree.

Evaluation Process: The measurement of overall program outcomes such as learner satisfaction and attainment of learning objectives.

Forum: a meeting of experts for panel discussions or lectures that can also include dialogue with the audience.

Learning Objective: Learning objectives provide direction in the planning of a learning activity. They help to (1) focus on learners' behavior that is to be changed; (2) serve as guidelines for content, instruction, and evaluation; (3) identify specifically what should be learned; and (4) convey to learners exactly what is to be accomplished.

MSW: Acronym for Master of Social Work, a professional degree.

NASW Chapters: The state and jurisdictional entities of NASW that provide member services on a state and local level.

National Association of Social Workers (NASW): The largest membership organization of professional social workers in the world.

Needs Assessment: The process of gathering information that provides the basis for program planning and development.

Onetime Application Fee: Initial organizational review fee applied to all new providers applying for the NASW Continuing Education Approval Program. If your organization does not have a reference number beginning with 88, then you will be considered a new provider. Please include your provider reference number on the CE Application when applying or you will be charged the initial organizational review fee.

Program: An umbrella term covering a series of activities, continuing education courses, distance learning, or conferences.

Provider: The organization responsible for the design and delivery of a continuing education program.

Sign In/Sign Out Sheets: A document used to track participant attendance and completion of programs.

Social Work Licensure Board: The regulatory body within the U.S. states and jurisdictions responsible for enacting laws governing the practice of social work.

Sponsor: The term used synonymously with provider and continuing education organization.

Symposium: An intensive program that brings together diverse speakers and related knowledge around a single topic. For the purposes of the NASW CE Approval Program, intensive or advanced training comprised of 30 or more hours will be considered a symposium.

Workshop: The acquisition of knowledge and skills through face-to-face continuing education training.



CONTINUING EDUCATION APPROVAL PROGRAM



APPLICATION

*©2010 National Association of Social Workers. All Rights Reserved.
750 First Street NE • Suite 700 • Washington, DC 20002-4241*



APPLICATION FOR NASW CE APPROVAL

Please complete and return the completed application including attachments. Submit application information at least **SIX (6) WEEKS** prior to each program. We suggest that you submit a typed form, as **illegible applications will not be accepted**. Applications will not be reviewed until payment is received and **all** information is included on the application below.

A. PROVIDER INFORMATION

Name of Organization:			
Are you a new provider?	<input type="checkbox"/> Yes	<input type="checkbox"/> No, Current Provider Reference #: 88 _____	
Staff contact person:		E-mail address:	
Job Title:		Web address:	
Phone number:		Fax:	
Mailing address:			
Mission Statement of Organization:			
Name and credentials of social worker involved in planning and evaluation of program			
Name/Credential(s):	Name of Employer:	Job Title:	
Phone Number:	Business Mailing Address:	Email Address:	
Description of the responsibilities of social work staff/consultant:			
1. Describe the criteria for selection of instructors for your courses:			
2. Has your organization been approved as a continuing education provider or had program approval with other professional associations? No <input type="checkbox"/> Yes <input type="checkbox"/>			
If yes, list full titles of organizations:			
3. Has your organization been denied approval as a continuing education provider or had a program denied approval? No <input type="checkbox"/> Yes <input type="checkbox"/>			
If yes, provide name(s) of other business(es):			



4. Has your organization done business under another company name within the past 3 (three) calendar years?
 No Yes

If yes, explain:

5. Does your organization plan to co-sponsor programs in the upcoming year? No Yes

Attachment A - If your organization has a co-sponsorship program, attach a copy of your co-sponsorship policy, which outlines the financial and programmatic responsibilities of the participating organizations. Also, include a list of the names, organizational affiliation, and addresses of your co-sponsors.

6. Do you require an affidavit statement from the participants upon completion of your program?
 No Yes

B. PROVIDER AFFIRMATION OF COMPLIANCE WITH NASW CE STANDARDS
 BY CHECKING THE BOXES BELOW, YOU AGREE AS A PROVIDER OF A CONTINUING EDUCATION PROGRAM WITH CE APPROVAL FROM NASW TO THE FOLLOWING:

Submit a complete application and include applicable fees

Comply with the **NASW Standards for Continuing Professional Education** and affirm that my organization has:

A means of responsibility for control over all aspects of programs to ensure that educational objectives and standards are met.

A system for selection and supervision of qualified instructors.

A BSW, MSW, DSW, or PhD Social Worker involved in the planning and evaluation of the program.

A system for evaluation of programs by participants

A system for monitoring attendance.

A means of maintaining program and participant records for a minimum of 6 years.

Print Name:		Date:	
Job Title:		Name of Organization:	

Signature: _____ Date: _____

What led you to apply with NASW?		
<input type="checkbox"/> Renewing Provider:	<input type="checkbox"/> NASW Reputation:	<input type="checkbox"/> Received Marketing Letter/Packet:
<input type="checkbox"/> Internet Search:	<input type="checkbox"/> Colleague/Word of Mouth:	<input type="checkbox"/> Other:

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C. PROGRAM INFORMATION

PLEASE DUPLICATE SECTION C IF YOUR ORGANIZATION WISHES TO HAVE MORE THAN ONE PROGRAM APPROVED.

† Program Title:		Credit Hrs. Requested:	
Provider Organization:	Provider Ref ID:	<input type="checkbox"/> Check if you DO NOT want this program to appear on the NASW CE Search Portal	

REQUIRED - ALL COURSES

- Attachment B-1** - Attach a copy of program public relations brochure, publication, or link to detailed information on website. If final copy is not yet available, submit draft. Items marked with an Asterisk are often listed in quality promotional brochures and can be so referenced on this form.
- Attachment B-2** - Attach a copy of presenters resume. For events with more than 5 presenters, please complete all information in Table 1. You may attach an Excel spreadsheet with the same information
- Attachment B-3** - Include a sample of the certificate that will be issued to participants who complete the course of training
- Attachment B-4** - Include a copy of the evaluation form that will be used for attendees to provide feedback

I. Presentation Format: Complete A or B

- A. Date Specific Live Event Workshop Conference Symposium or Certificate Program

*Location(s) City, State):	*Date/Time

B. <input type="checkbox"/> Self-Directed Learning Web Address: 1. <i>Brief Description of the method used to determine requested credit hrs:</i> 2. <input type="checkbox"/> Attachment B-5 REQUIRED <i>Attach a copy of the post-test used in your program (post-tests are required for all distance- learning products). Be aware that the minimum passing requirement is an 80% passing score.</i>	<u>Date Specific:</u> <input type="checkbox"/> Webinar <input type="checkbox"/> Teleconference <input type="checkbox"/> Live Broadcast	<u>Distance Learning:</u> <input type="checkbox"/> On-line course (available on an ongoing basis) <input type="checkbox"/> Home Study Publication, DVD, or mailed media <input type="checkbox"/> Downloadable/Transportable Formats (eg: podcast, AV file)
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Distance-Learning Courses (if applicable): Distance-learning providers must include one copy of their program, i.e. DVD/CD, or print publication for review by NASW. If the sponsoring organization offers Internet courses, include complete text of the course and course Web address. You may also contact us to provide an "NASW Test" log-in registration to view content if preferable.



II. *PRESENTER NAME AND CREDENTIALS:			
III. *Speaker BIOGRAPHICAL SUMMARY			
IV. * † LEARNING OBJECTIVES:			
V. Who is the TARGET AUDIENCE for this program? Check as many as apply	Social Workers in settings that provide: <input type="checkbox"/> Behavioral Health <input type="checkbox"/> Health Care <input type="checkbox"/> Addictions Treatment <input type="checkbox"/> Community Services / Resource Dev. <input type="checkbox"/> Educational Services	Who serve in the role(s) of: <input type="checkbox"/> Case Mgmt <input type="checkbox"/> Counseling/Therapy <input type="checkbox"/> Supervision/Admin. <input type="checkbox"/> Policy/Planning <input type="checkbox"/> Research	With populations that include: <input type="checkbox"/> Children/Youth/Families <input type="checkbox"/> Aging <input type="checkbox"/> End-of-Life Issues/Grief & Loss <input type="checkbox"/> Victim or Protective Svcs <input type="checkbox"/> Physical/Intellectual Challenges
VI. *COURSE AGENDA:			
VII. Teaching Methods (check as many as apply)	<input type="checkbox"/> audio/video <input type="checkbox"/> case study <input type="checkbox"/> panel presentation <input type="checkbox"/> paper presentation, <input type="checkbox"/> lecture <input type="checkbox"/> group discussion <input type="checkbox"/> experiential <input type="checkbox"/> other (describe):		
VIII. Description of attendance monitoring system to be used.	<input type="checkbox"/> Sign-in/Sign out <input type="checkbox"/> Code announcements <input type="checkbox"/> Electronic Badge-reading System <input type="checkbox"/> Time-tracking Software (on-line courses) <input type="checkbox"/> Other, describe:		

* It is generally recommended that this information be included as part of your promotional materials. If included in a [draft] brochure, it is not necessary to replicate on the application.

† When applying for a conference, please define objectives based on the over-arching goals of the conference. Workshop descriptions and presenter qualifications should be included in the registration brochure.

STATEMENT OF UNDERSTANDING – COMPLIANCE STANDARDS

NASW STANDARDS

The standards for all organizations approved through the NASW CE Approval Program are contained in the *NASW Standards for Continuing Professional Education*. Applicants must **review** the standards and **comply** with the requirements. For a copy of the *Standards*, visit www.socialworkers.org/practice/standards/cont_professional_ed.asp.

Name of Organization: _____

Renewing NASW Provider Number: _____

As a representative of the above-named organization, I agree to comply with the **NASW Standards for Continuing Professional Education** and affirm that my organization has:

- A means of responsibility for control over all aspects of programs to ensure that educational objectives and standards are met
- A system for selection and supervision of qualified instructors
- A Social Worker involved in the planning and evaluation of the program [BSW, MSW, DSW, or PhD]
- A method of monitoring attendance and participation
- A system for evaluation of programs by participants
- A process for maintaining all program-related data for a period of not less than six years
- I understand that NASW may send out renewal notifications however it is the responsibility of the provider organization to maintain renewal schedules.
- I further understand that we are obliged to report any change in contact information regarding electronic or mailing addresses, staff contact information, or dissolution of the organization.
- I understand that this approval applies only under conditions where this organization maintains presentation of the titles approved. NASW CE Approval is non-transferrable.

Submit signed *Statement of Understanding*, payment page, and applicable fees.

Contact Name :

Date:

Email Address:

Title:

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ANNUAL RENEWAL FOR NASW CE APPROVAL (SOCIAL WORK)

Name of Organization: _____

NASW Provider Number: _____

Proposed date(s), time(s), city(ies), and state(s) of program: _____

Renewal Program Title(s) (add additional titles on last page)		Total Number of Renewal(s): _____
Program Expiration Date: _____		Number of Requested CEs _____
Program Expiration Date: _____		Number of Requested CEs _____
Program Expiration Date: _____		Number of Requested CEs _____
Program Expiration Date: _____		Number of Requested CEs _____
Program Expiration Date: _____		Number of Requested CEs _____

Description	Full Price	Discount Rate	New Pricing	Quantity	Amount
1 Program	\$200.00	0.0%	\$200.00	_____	\$0.00
5 Program(s)	\$ 1,000.00	10.0%	\$900.00	_____	\$0.00
10 Program(s)	\$ 2,000.00	12.5%	\$1,750.00	_____	\$0.00
20 Program(s)	\$ 4,000.00	15.0%	\$3,400.00	_____	\$0.00
30 or more Program(s)	\$ 6,000.00	17.5%	\$4,950.00	_____	\$0.00
Conference/Event (1) – multiple workshops unified on a single theme			\$315	_____	\$0.00
* Expedited Processing Fee – for expedited processing if submitted within (6) six weeks of expiration			\$250	_____	\$0.00
*Late Fee – for renewals submitted within 6 weeks of expiration			\$100	_____	\$0.00
+ Organization Name Change – fee not required for change of contact information			\$ 25	_____	\$0.00
TOTAL – amount enclosed/attached					\$0.00

Check #: _____

(There is a \$35 fee for returned checks) *or*

Cardholder Name: _____

Credit Card: Please Select _____

Card #: _____

Exp. Date: _____

Authorized Signature: _____

NASW Accounting ONLY

Date Received	Batch ID	Order Number	Invoice Number	Amount Due

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ANNUAL RENEWAL FOR NASW CE APPROVAL (SOCIAL WORK)

RENEWAL GUIDELINES

1. Summary evaluations are required within 90 days following presentation.
 - a. Submit compiled information only. **DO NOT send individual evaluations.**
 - b. Approved organizations that provide web-based learning on a continuous basis should submit quarterly evaluations
 - c. Evaluations should be sent electronically to: ceu@naswdc.org
 - d. A paper summary evaluation form should be FAXed to 202.336.8308 or mailed directly to:



NASW CE Approval Program
Evaluation Summary
750 First Street NE, Suite 700
Washington, DC 20002

2. The NASW CE Approval Program does not backdate new or renewal programs. It is the provider organization's responsibility to submit information in a timely manner. If there is a lapse between expiration and renewal, the credits will not be valid for presentations during the lapsed dates.
3. It is the responsibility of the provider to maintain program, attendance and financial transaction records for all participants. Such records should be kept for a minimum of six years and be made available to participants.
4. NASW has temporarily suspended printing CE Certificates for providers. Provider prepared certificates may be print or electronic and must include the program date and title along with the following items:
 - Approval Statement: *"This program is approved by the National Association of Social Workers (# _____) for _____ social work continuing education contact hours."* **Use of your provider number and the unique identification number is required on all certificates.** (The unique identification number is the four digit number preceding the approval number on the NASW CE Approval Letter.)
 - Specialized category credit (e.g.: ethics, clinical, mandatory reporting, social work) Name and credentials of the presenter. (Exception: not required for conferences issuing a single certificate.)
5. Once the program is successfully renewed, it may be hosted as many times as you like within the twelve-month approval period. It will be posted on the NASW Web site and administered under the **exact name** shown on the application and approval letter. Changes in program title are not permitted and must be submitted as a new program.

FEES & SUBMISSION

- 1 Application for renewal of NASW CE Approval must be submitted in no less than six (6) weeks prior to your program.
- 2 If you request NASW to renew a program within six weeks of the annual expiration, you must submit the \$100.00 late fee and expedited processing fee of \$250.00.
- 3 If you wish to change the name of your organization, there is a \$25.00 charge.
- 4 Fees for each continuing education program, or conference, are paid by both new providers and renewing providers on an annual basis.
- 5 All fees are to be submitted with the application and are nonrefundable. Please refer to the payment form for specific rates and information.
- 6 If using one of our package options, the expiration date of the first program approved applies to all programs within the package.
- 7 If additional information is requested to approve the program, you are required to respond within 10 business days. If this information is not received within the time allotted, your program may move into lapsed status.
- 8 **Please refer to payment page for current rates.**

STEPS:

- A. Complete the Payment Form and include all fees for renewal
- B. Prepare check payable to NASW or provide credit card information based on total figure on Payment Form.
Note: For faster processing, credit card payment preferred
- C. Complete and sign Statement of Understanding for CE Approval
If emailing, a business email address is acceptable as "signature"
- D. Send entire packet of CE renewal materials to:

Secure Fax : 202-336-8308
E-mail: Ceurenewal@naswdc.org

National Association of Social Workers
ATTN: ACCOUNTING OFFICE
(CE Approval Program)
750 First Street, NE, Suite 700
Washington, DC 20002-4241

If you have questions, please contact CEU@naswdc.org
For additional information on NASW and the NASW CE Approval Program,
Visit us online at <http://www.socialworkers.org/ce/approval.asp>

1625 North Market Blvd., Suite S-200
Sacramento, CA 95834
(916) 574-7830, (916) 574-8625 Fax
www.bbs.ca.gov

To: Committee Members **Date:** May 18, 2012
From: Steve Sodergren **Telephone:** (916) 574-7830
Assistant Executive Officer
Subject: The Association of Social Work Boards Approval for Continuing Education

Program Information

The Association of Social Work Boards (ASWB) began their Approved Continuing Education (ACE) program in 1998 to assist its member boards with information about quality providers of continuing education. Through the ACE program, ASWB review applications for approval of continuing education providers on a national and international basis. Members of the ASWB's ACE Committee are appointed by the ASWB president and approved by the Board of Directors. The ACE Committee is responsible for developing selection criteria, reviewing applications and recommending continuing education providers to the ASWB Board of Directors for approval.

To apply for an ASWB ACE Provider Number the provider must meet specific eligibility requirements which include the following:

- Applicant must have been operational for a minimum of six months
- Applicant has planned and presented three continuing education activities appropriate for social works
- Applicant has a licensed social worker involved in the planning, implementing and monitoring of social work continuing education
- Applicant can supply evaluation and documentation or programs

If the provider is approved, they will then complete a one year probationary period in which they are required to submit additional information following an outline that is provided by ACE. Once the probationary period is successfully completed they will then be required to renew every three years.

ACE has eight selection criteria that approvals are based upon:

- **Continuing Education Administration**
The provider must have a visible and identifiable continuing educational director as well as a mission and goals for the provision and evaluation of continuing education.
- **Co-Sponsorship**
There is certain criteria that pertains to providers that pair up with the applicants in the delivery of a program.

- **Program Development**

The Program Development Criterion is broken down further into the following main components:

Content: The course content must be pertinent to social work theory, methods and practice, reflecting current research and best practice. To facilitate this the program must have a social work consultant who: assesses the educational needs of social workers; plans, administers and monitors the organization's continuing education courses; and assists the organization in infusing cultural competence and diversity in all programs. The course outline, objectives and learning objectives must be made clear to participants.

Distance Education: If the course is a distant learning course it must meet additional ACE approval requirements that assist in validating a student's participation in a course.

Instructors: In addition to being with their professional regulatory board, the provider's instructors must meet on or more of the following criteria: be a faculty member of an undergraduate or graduate school; have received specialized graduate or postgraduate level training in the subject taught in the program; and/or have extensive experience to include no less than five years of practical application or research involving the subject taught in the course.

Evaluation: Stress is put on the evaluation process because it is the method in which the effectiveness and relevancy of a course is determined. Relevancy is assessed on three levels; 1) by individual participant evaluation, 2) by course evaluation, and 3) by program evaluation. There are required survey elements for each of these evaluations.

- **Record Keeping**

Ace approval status is contingent on providing AWSB with a summary report for review and approval by ACE Committee at the end of the first approval year, and every three years after. The provider must maintain course records for at least seven years and shall allow ASWB full access to the information. The ACE Committee retains the right review the provider's records and to perform audits and monitors programs.

- **Attendance**

The provider must have procedures for documenting participation including a certificate that must have certain components that are defined by the ACE Committee.

- **Assigning Credit**

Each course must be a minimum of one continuing education hour (60 minutes with no less than 50 minutes of continuous instruction). Instructor must adhere to published time schedule in order for full credit to be given. Also, distant learning courses must be field-tested for determine credit hours.

- **Promotion and Advertising**

ACE providers must promote and advertise each course in keeping with social work ethical conduct and core values. The ACE program has specific requirements as to what must be included in all advertisements. There are also additional requirements for Applicants that are acting as an independent contractor.

- **Participant Grievances**

The ACE provider must have written policies and procedures in place for handling grievances. It also requires the social worker consultant to be involved in all grievance resolutions.

Aspects of the Program that Respond to Concerns Regarding the BBS CE Program

ASWB has the authority to review programs and course content after initial approval. The first year after approval is a probationary phase in which the provider must demonstrate the efficacy of the courses they provide. Also, renewal of provider and course approval is contingent upon the review of a summary report of each course.

ASWB includes specific criteria for self-instruction and electronically mediated programs, including limits on the number of CE credit hours awarded.

Attachments

A. ASWB Approved Continuing Education Provider Guidelines

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ACE Provider Guidelines

Table of Contents

Page Numbers	Subject
1	Table of Contents
2	Instructions for completing application
3	Introduction
4	Statement of Purpose
4-6	The ACE Program: Eligibility, Approval & Required Records
6-12	ACE SELECTION CRITERIA
6-7	Criterion 1; Administration
7	Criterion 2; Co-Sponsorship
7-10	Criterion 3; Program Development: Content, Distance Education, Instructors, Evaluation
10	Criterion 4; Record Keeping
10-11	Criterion 5; Attendance
11	Criterion 6; Assigning Credit
11	Criterion 7; Promotion and Advertising
12	Criterion 8; Participant Grievances
13-17	Explanation of Terms
18	Appendix: Fees

Instructions for Completing ASWB Approved Continuing Education Provider Application

- **Use a word processing program or type your responses.** Do not write your responses. Handwritten applications will be returned.
- Please provide the information requested in the required field. **Attachments cannot be substituted** for the requested information.
- **All fields must be completed.** Indicate no or n/a if the question is not pertinent to your course offerings. **Incomplete applications will not be reviewed.** Check with the ACE office if you are unsure.
- **Submit the original and 4 copies** of the application, all materials included as samples and all supporting documentation for your application to be considered.
- **Web site pages** referenced in application must be printed and submitted in hard copy.
- Attachments referenced in the application sections must be clearly numbered and labeled according to the section(s) they support. Include attachments in order as an appendix.
- Refer to “Explanation of Terms” for definitions of terms followed by an asterisk (*).
- Materials submitted in the application process are not returnable. **Application fee is non-refundable.**
- Application must be reviewed and signed by your social work consultant prior to submission to ASWB.
- Depending on meeting schedules and the number of applications being processed, a decision on the application usually takes at least three months, but less than six.
- This application form expires **three months** from the date you initially printed it, or the date on the cover letter accompanying it. Please contact ACE program staff for a current update.
- ACE approval does not extend to licensure examination preparation courses. CE providers who offer social work licensure examination preparation courses must use the following disclaimer language in all public relations brochures, web site pages and other materials used as part of or to promote or advertise such licensure examination preparation courses:

“This licensure preparation program and materials associated with it were not included in the Association of Social Boards’ Approved Continuing Education (ACE) review and are not approved by ASWB for continuing education nor endorsed by ASWB in any manner.”

ACE Application Guidelines For Continuing Education Providers

Guidelines, criteria and instructions for filing an application for approval status from the Approved Continuing Education (ACE) Program of the Association of Social Work Boards

The Approved Continuing Education (ACE) program of the Association of Social Work Boards (ASWB) began in 1998 as a way to assist ASWB's member boards with information about quality providers of continuing education. The association also saw the approval of continuing education providers as a way to meet one of its goals, which is to bring greater standardization to social work regulation.

Through this program, CE providers can earn the recognition of a social work organization that is national and now increasingly international in scope.

This manual will explain in detail what ASWB is, and how the ACE program works. It will list guidelines and criteria that ACE-approved providers must meet in order to be recognized by the program.

Consistent with the important public protection mission of ASWB, its Approved Continuing Education staff and committee both take very seriously

the responsibility of reviewing the organization, staffing, and adherence to professional ethics and standards of all ACE providers. This is not an easy application, and takes time and attention. Staff at ASWB will work with your organization if necessary to assist you in completing it, and in making any improvements that might be needed.

ASSOCIATION OF SOCIAL WORK BOARDS

The Approved Continuing Education Program is sponsored by the Association of Social Work Boards, the non-profit association made up of social work regulatory boards from 53 jurisdictions in the United States, and Canada.

STATEMENT OF PURPOSE

Formed in 1979, the Association of Social Work Boards was created to help state social work regulatory boards share knowledge, and to increase the protection of the public through better evaluation of social work professionals. The continuing purpose of ASWB and its members, social work regulatory bodies, is expressed in its mission statement:

"The mission of the Association of Social Work Boards is to assist social work regulatory bodies in carrying out their legislated mandates, and to encourage jurisdictional efforts to protect a diverse public served by social workers who are regulated through common values, ethics, and practice standards. The Association will help to foster public and professional understanding of the value, competency, and accountability of regulated social workers."

ASWB encourages and aids collaborative efforts among member social work licensure boards in developing compatible standards and cooperative procedures for the legal regulation of social workers, toward the goal of simplifying and standardizing the licensing process. The association's member boards have a longstanding interest in sharing information on continuing education requirements for licensure. ASWB monitors and documents trends in continuing education, including the various criteria of all member jurisdictions, such as hours for renewal, definitions, and documentation.

THE ACE PROGRAM

The Approved Continuing Education (ACE) Program is a specific service offered by ASWB. Through this program, ASWB reviews applications for approval of continuing education providers on a national and international basis.

Members of the ASWB Approved Continuing Education Committee (ACE) are appointed by the ASWB president and approved by the Board of Directors. This diverse group is made up of social workers with practice or academic backgrounds; most also have regulatory board experience.

The ACE Committee is responsible for developing selection criteria, reviewing applications and recommending continuing education providers to the ASWB Board of Directors for approval. ACE approved providers include universities, professional associations, and non-profit and for profit organizations offering continuing education programs for social workers.

The work of the committee in approving providers of CE is confidential, subject to disclosure within the association and to ASWB member boards, upon request, necessary to comply with assessment criteria. Disclosure outside the association will be subject to legal mandate, as advised by ASWB counsel or a court of competent jurisdiction.

When reviewing an application, the committee reserves the right to seek expert advice and relevant information from other external sources, provided that such information is kept confidential by the committee and the advisor.

ELIGIBILITY

Any organization responsible for the overall development and implementation of continuing education in social work may apply for an ASWB ACE Provider approval number. Specific eligibility requirements include:

- Applicant has been operational for a minimum of six months
- Applicant has planned and presented three continuing education activities appropriate for social workers
- Applicant has a licensed social worker* involved in the planning, implementation and monitoring of social work continuing education
- Applicant can supply evaluation and documentation of programs

APPROVAL

ASWB cautions CE providers that the final authority for recognizing any continuing education activity rests with the jurisdiction where the participant is licensed. Applicants for ACE approval should consult the ASWB website at www.aswb.org to determine each jurisdiction's requirements. Licensed social workers are responsible for contacting their individual board to review continuing education requirements for licensure renewal.

An ACE provider's approval is considered probationary for the first year of activity after successfully completing the ACE approval process. During this probationary period, the provider submits additional information following an outline provided by ACE. After the first probationary year, application for renewal occurs at three-year intervals. All application fees are non-refundable, covering application processing and the approval period, if granted.

In the event that ASWB denies an application for initial approval or extension of approval, or terminates recognition, the applicant/provider may appeal the decision to the ASWB Board of Directors. Appeals must be made in writing to the Executive Director of ASWB at the association's current address, and must include the non-refundable administrative appeal fee.

Approved providers must conspicuously place the following statement on all publications for social work continuing education courses:

*“This organization (provider name and approval number) is approved as a provider for continuing education by the Association of Social Work Boards
400 South Ridge Parkway, Suite B, Culpeper, VA 22701. www.aswb.org. ASWB Approval Period: _____ (dates). Social workers should contact their regulatory board to determine course approval.*

Social workers will receive _____ continuing education clock hours in participating in this course.”

REQUIRED RECORDS

Approved providers are required to collect and maintain the following records:

- Organizational changes
- Co-sponsored events, including co-sponsoring agreements
- Personnel records for continuing education directors and social worker consultants.
- Instructor information for each course offered
- Participant attendance
- Social worker attendance
- Participant evaluations
- Number of credits issued for each course
- Grievances and resolutions
- Requests made for accommodations for persons with disabilities and such services provided to participants

ACE approved providers must submit summaries of these records at the time of approval renewal and/or as requested by ASWB.

ACE SELECTION CRITERIA

Criterion 1 CONTINUING EDUCATION ADMINISTRATION

The continuing education director must be a visible, identifiable authority, charged with ensuring that each program to be presented by the provider or presented under the provider’s ACE approval number meets the requirements of the ASWB Approved Continuing Education Program.

The applicant must provide a statement setting forth the organization’s mission and goals for the provision and evaluation of continuing education.

Administrative stability must be demonstrated. The applicant must demonstrate a procedure for the smooth and orderly transfer of administrative responsibilities from one individual to another in the event of an administrative change, including due notification to ASWB of such changes. Care must be taken during transitional periods to assure that the new administrator is thoroughly familiar with ASWB standards for ACE-approved continuing education providers.

The applicant must provide ASWB with written notification, within 10 days, of any change in the continuing education director, address, web site address or telephone number (see application, section A).

Distance education provider applicants must include email and web site address on their ACE application. Applicants must demonstrate that interactive web sites are secure. ASWB will periodically monitor web site security.

Criterion 2 CO-SPONSORSHIP

ACE approved providers who work with other providers in the development, distribution and/or presentation of continuing education courses engage in co-sponsorship. Co-sponsorship is an opportunity for an ACE approved provider to work closely with another provider (approved or not) to arrange quality continuing education courses in full accord with ACE standards. On a limited basis and under specified conditions, ASWB ACE approved providers may co-sponsor with other reputable providers of continuing education for programs that otherwise meet ACE criteria.

Under a co-sponsorship arrangement, the ACE approved provider assumes responsibility for compliance with all ACE program requirements. Early in the planning, the functions of each party shall be identified and documented, including but not limited to financial, administrative and instructional. Failure to abide by ACE standards may subject the ACE approved provider to adverse action by the association and may jeopardize the ACE provider's approval status. Appropriate fees will apply.

Information, recognition numbers and indicators of ACE approved providers are not transferable to any other entity and may not be used or displayed on promotional material, websites or used in any manner that may be misleading to the public. Only ACE approved providers may use the ACE identifying information and recognition numbers.

Criterion 3 PROGRAM DEVELOPMENT

Content

Course content must be pertinent to social work theory, methods and practice, reflecting current research and best practices*. Materials originally designed for audiences other than social workers must be carefully reviewed and modified as necessary. All continuing education courses, regardless of format, must meet ACE requirements.

Applicants for ACE approval are required to review the educational requirements of the social work boards in jurisdictions where they provide continuing education to determine if course offerings meet the needs of social workers in those jurisdictions.

The social work consultant* must participate in the following:

- Assessing the educational needs of social workers for the purpose of course development.
- Planning organization's continuing education courses.

- Administering organization's continuing education courses.
- Monitoring organization's continuing education courses.
- Assisting organization in infusing cultural competence* and diversity* in all programs.

Identify the licensure categories and/or skill levels at which this program is targeted. Does the course offer a beginning, intermediate or advanced treatment of this particular topic? In the particular content area, course content must be appropriate as stated on materials, for beginning, intermediate, or advanced level practitioners of social work (MSW plus post degree experience).

A syllabus or general outline of the course must be made available to participants at the beginning of each course offered.

Continuing education programs must include written educational goals and specific, measurable learning objectives as the basis for evaluation of course effectiveness. The use of a post-testing procedure is strongly encouraged to determine how effectively learning objectives were met. Post-tests are required in distance learning courses.

Instructional materials used (e.g. training manual, handouts, outlines, background materials, audiovisual aids, etc.) must enhance the participant's understanding of the topic(s). Include bibliographies and supplemental materials for additional reading by participants. If research is referenced, study and source information must be provided. Appropriate equipment and quality materials must be used.

Include the Following Course Materials in the Application:

- Include hard copy of web site, if applicable
- Course or session promotional materials, including website flyer, etc. if applicable
- Course or session outline, including timeline
- Course or session learning objectives
- Course or session presenter(s) including license information and/or credentials, experience and education
- All course or session handouts, including bibliography or references
- Pre or post tests, if applicable

Definition of Clinical Social Work Practice

Clinical Social Work, Practice of: (ASWB, Model Social Work Practice Act. Pg. 13.)

A specialty within the practice of Master's Social Work requiring the application of social work theory, knowledge, methods, ethics, and the professional use of self to restore or enhance social, psychosocial, or bio-psychosocial functioning of individuals, couples, families, groups, organizations and communities.

The practice of Clinical Social Work requires the application of specialized clinical knowledge and advanced clinical skills in the areas of assessment, diagnosis and treatment of mental, emotional, and behavioral disorders, conditions and addictions.

Treatment methods include the provision of individual, marital, couple, family and group counseling and psychotherapy. The practice of Clinical Social Work may include private practice and the provision of clinical supervision.

CE providers may designate clinical content on the course certificate of completion and promotional materials:

You may designate “clinical hours” if both 1 **and** 2 below are met:

1. The content of coursework meets the definition of clinical social work practice (above).
2. The content of coursework meets the criterion described in question 5.b. below.

For online courses: In addition to the materials listed above, provide instructions, including passwords and codes, to allow reviewers to access the online course material, pre and/or post-tests, and evaluation for course submission.

Distance Education

Distance education* is an alternative method to face-to-face contact for the delivery of continuing education for social workers. All ACE approval criteria apply. Not all jurisdictions currently approve distance-learning courses. In addition to meeting ACE approval requirements, distance education providers must:

- Provide a field-tested* method of determining credit hours
- Provide scheduled access* to a contact person
- Provide scheduled interaction* between instructor and participant
- Have the capacity for completed assignments to be faxed, mailed, or e-mailed to qualified instructors for correction, grading, comment, and subject matter guidance
- Return corrected assignments to participants in a timely manner
- Provide a method for verifying that the individual participated in the continuing education activity, and that all work was done by the person awarded the credit
- Employ electronic security measures, and reliable technology
- Post-tests, containing questions appropriate to content and credits are required in distance learning courses.
- Provide e-mail and website address information on ACE application

Instructors

The quality of continuing education courses and the value of those courses depend on the ability and the expertise of instructors. Instructors for each continuing education course must have professional qualifications in good standing with their professional regulatory board, if applicable, and meet one or more of the following:

- Be a faculty member of an undergraduate or graduate school of social work
- Have received specialized graduate or postgraduate level training in the subject taught in the program
- Have extensive experience to include no less than five years of practical application or research involving the subject taught in the course

Instructors providing social work ethics courses must be licensed social workers* in good standing.

In the ACE application, applicants providing distance education course work must document instructor availability to participants. Applicants/instructors must possess the technical expertise to communicate their subject matter effectively.

Evaluation

An evaluation is an important component of continuing social work education. Effective continuing education courses must be professionally relevant. Relevancy is assessed on three levels: 1) by individual participant evaluation, 2) by course evaluation, and 3) by program evaluation.

The applicant must develop and implement participant evaluations; both course and program evaluations are recommended.

1) Participant Evaluation

The ACE approved provider is required to collect an evaluation document from each participant who expects to receive CE credit. This evaluation must include the following elements:

- Learning goals and objectives
- Course appropriateness to participant's education, experience, and licensure level
- Effectiveness of the presentation
- Relevance to practice
- Currency of information
- Instructor's knowledge of subject matter, and clarity of delivery
- Instructor's responsiveness to participants
- Instructor's ability to utilize course-appropriate technology to support participant learning
- Suitability and/or usefulness of instructional materials
- Instructions for requesting accommodations for disability
- Location, facilities, technology, administration of the program

1.a.) Distance Learning Evaluation (In addition to requirements stated above, distance learning course evaluations must include:)

- Author or course effectiveness, presentation, and clarity of subject matter
- Was the technology appropriate to support participant learning?
- (For online courses) User-friendliness of course technology
- (For online courses) Was the technology responsive to participants?
- (For online courses) Rate the technology overall
- Accessibility for distance learning consultation (Were your questions or problems addressed effectively and in a timely manner?)

2) Course Evaluation

ACE providers are expected to use educationally sound methods to evaluate courses. Evaluations may be analyzed, summarized, interpreted and used to improve the provider's continuing education courses.

3) Program Evaluation

Course quality reflects program quality. The ACE provider is expected to make modifications based on course evaluation information.

Criterion 4 RECORD KEEPING

ACE approval status is contingent on providing ASWB with a summary report(s) for review and approval by the ACE Committee at the end of the first approval year, and every three years thereafter (e.g. for extension of provider approval).

The following information must be maintained by the provider for at least seven years:

- Personnel records must be kept for continuing education directors and social worker consultants (paid or volunteer). Names and resumes of continuing education directors and social work consultants*
- Participant name, profession, and (if applicable) license/certification/registration number from appropriate jurisdiction
- Course title, date, location and credits awarded
- Course outline/syllabus and learning objectives
- Course instructor's qualifications and professional affiliations
- ADA requests and services provided
- Grievances and resolutions
- Course evaluations

ACE providers must allow full access to this information upon request by ASWB. The ACE Committee retains the right and authority to audit and/or monitor programs and review provider records and course materials. All audit requests must be met within 21 days of receipt of request.

The ACE provider must allow participants access to information about their course participation.

Criterion 5 ATTENDANCE

For on-site and distance learning courses, ACE providers must have procedures for documenting participation; e.g. an attendance roster, sign-in log, and program evaluations completed by attendees.

The ACE provider must issue a completed and signed certificate verifying attendance and credit awarded to each participant who completes the course. These certificates may only be provided after the participant has completed the course, and must be provided within 30 days after the event. Duplicate or replacement certificates must be clearly marked as "replacement copy" or "duplicate copy."

Certificates of credit and/or other means of documenting credit must include:

- Name of the participant, (if applicable) social work license/certification/registration number and license jurisdiction
- Title, location, date(s) of the course
- Amount of credit awarded
- Designation of clinical hours (CEUs) or social work ethics hours, if applicable
- Approved provider sponsoring or co-sponsoring the course

- ACE approval statement

“This organization (provider name and approval number) is approved as a provider for continuing education by the Association of Social Work Boards. www.aswb.org. ASWB Approval Period: _____ (dates). Social workers should contact their regulatory board to determine course approval.

Social workers will receive _____ (clinical or social work ethics) continuing education clock hours in participating in this course.”

Criterion 6 ASSIGNING CREDIT

Providers must adhere to a uniform system for assigning credit based on the continuing education hour, defined as a 60-minute hour with no less than 50 minutes of uninterrupted instruction. The number of continuing education credits must be determined before the course is offered. The course must be a minimum of one continuing education hour, in one block of time.

- Instructors must adhere to the published time schedule in order for full credit to be given.
- Distance learning courses must be field-tested* to determine credit hours.

Criterion 7 PROMOTION AND ADVERTISING

ACE providers must promote and advertise each course in keeping with social work ethical conduct and core values (e.g. as defined under applicable state and federal laws).

Adequate and accurate advance information must be provided to prospective participants. Promotional materials (e.g. brochures, advertisement, memoranda, web sites or other announcements) must include the following:

- Educational goals and specific learning objectives of the course
- Course target audience
- Targeted social work practice levels, e.g. entry-level, intermediate level, or advanced level social workers
- Instructors and their credentials
- Course fees, including what is covered, and deadlines for cancellations and refunds
- Course syllabus, outline or agenda
- Continuing education hours offered
- Clear information about jurisdictional approvals and specific CE requirements
- ACE provider number, approval statement and expiration date
- Approval information by jurisdiction or approver
- Instructions for requesting accommodations for disability *
- Course completion requirements; e.g. completing a course evaluation, participating in all sessions, etc.
- Statement of when and how certificate will be awarded
- Where both educational and non-educational sessions are offered, the courses for credit must be clearly identified
- Instructions for addressing grievances; contact information

Note to Independent Contractors

Applicants acting as independent contractors to present courses through organizations or agencies are responsible for following ACE guidelines.

Include the following information in your promotional materials:

- Contact information for independent contractor/instructor
- Contact information for agency offering the course
- Provide a statement informing participants who to contact for assistance for specific issues. (Example: “If you have questions or concerns about the course content, references or content evaluation, contact (your email address) instructorname@info.net. If you have questions or concerns about registration, facilities or course administration, contact (the contracting agency) independentmgtcorp@info.net).

Criterion 8 PARTICIPANT GRIEVANCES

ACE Providers must respond to all complaints received by the provider, a regulatory board, or ASWB in a timely and ethical manner.

The ACE provider must have policies and procedures for grievance management; e.g. refund requests, complaints about course content and/or facilities, non-receipt of certificates, etc. These policies must be in a written format to assure due process for all complainants.

The social worker consultant* must be involved in all grievance resolutions.

Explanation of Terms

The following terms are found throughout the ACE application and ACE provider guidelines.

ACE Approved Continuing Education program, created by the Association of Social Work Boards to provide a national system to review and approve the providers of continuing education for social workers who are licensed and certified/registered by member boards.

ACE approved provider

An organization or individual offering continuing education to social workers, which has successfully completed the ACE application process and meets ACE requirements.

Accommodations for individuals with disabilities

ACE providers must ensure that individuals with disabilities are not excluded from services, programs, and courses because of existing disabilities. Programs viewed in their entirety must be readily accessible to and usable by individuals with disabilities.

Accessibility accommodations may apply to circumstances other than wheelchair access. ACE providers offering home study and online courses must consider visual and/or auditory impairments, and options available for providing assistance to course participants.

Instructions for requesting **accessibility accommodations** or services must be clearly stated in the registration section of the ACE provider's promotional brochure or on the provider's web page.

Accessibility Accommodations Policy ACE approved providers must publish a statement, in promotional brochures and other material disseminated to the public, instructing potential participants on how to request accommodations. An example of this statement: *"If you require special assistance please contact the registrar to inform her of your special needs by calling 000-0000."*

ADA US federal legislation titled the Americans with Disabilities Act of 1990 (ADA), establishing parameters under which accommodations must be made available to individuals with disabilities by state and local governments, as well as public and private entities. This legislation mandates the removal of architectural, communication or transportation barriers, or the provision of auxiliary aids and services for an applicant seeking accommodations under the ADA.

ASWB The Association of Social Work Boards

ASWB mission statement "The mission of the Association of Social Work Boards is to assist social work regulatory bodies in carrying out their legislated mandates, and to encourage jurisdictional efforts to protect a diverse public served by social workers who are regulated through common values, ethics, and practice standards. The Association will help to foster public and professional understanding of the value, competency, and accountability of regulated social workers."

Audit The ACE Committee retains the right and authority to audit and/or monitor programs and review provider records and course materials. All audit requests must be met within 21 days of receipt of request.

An audit may consist of a review of records in all aspects of provider programming for a specific period, or a review on a smaller scale, such as a specific course.

Best practices Clinical, practical, educational and/or research services based on appropriately documented and accountable professional and scientific materials. Services provided within the context of a defined professional role and within the boundaries of competence based on education, training, and appropriate professional experience/licensure.

Clinical Social Work, Practice of: (ASWB, Model Social Work Practice Act. Pg. 13.) A specialty within the practice of Master's Social Work requiring the application of social work theory, knowledge, methods, ethics, and the professional use of self to restore or enhance social, psychosocial, or bio-psychosocial functioning of individuals, couples, families, groups, organizations and communities. The practice of Clinical Social Work requires the application of specialized clinical knowledge and advance clinical skills in the areas of assessment, diagnosis and treatment of mental, emotional, and behavioral disorders, conditions and addictions. Treatment methods include the provision of individual, marital, couple, family and group counseling and psychotherapy. The practice of Clinical Social Work may include private practice and the provision of clinical supervision.

CE providers may designate clinical content on the course certificate of completion and promotional materials if both 1 and 2 below are met:

1. The content of coursework meets the definition of clinical social work practice (above).
2. The content of coursework meets the criterion described in question 5.b. of the ACE Provider approval application.

Continuing Education Education and training oriented toward maintenance, improvement or enhancement of social work practice.

Code of Conduct/Practice Standards: ASWB. 2002. Standards of Practice/Code of Conduct, Model Social Work Practice Act, contained in *Social Work Laws and Regulations, a comparison guide*, pp. 175 - 204.

Code of Ethics: (Barker, 2003, p 78.) An explicit statement of the values, principles and rules of a profession, regulating the conduct of its members. See also NASW Code of Ethics.

Core values of social work The mission of the social work profession is rooted in a set of core values. These core values are:

- Service
- Social Justice
- Dignity and worth of the person
- Importance of human relationships
- Integrity
- Competence
- Ethical conduct

Co-sponsorship An ACE approved provider works with other provider(s) in the development, distribution and/or presentation of continuing education courses. On a limited basis and under specified conditions, ASWB ACE approved providers may co-sponsor programs meeting ACE criteria, with other reputable providers of continuing education.

- Under a co-sponsorship arrangement, the ACE approved provider assumes responsibility for compliance with all ACE program requirements.
- Early in the planning, the functions of each party shall be identified and documented, including but not limited to financial, administrative and instructional.
- Failure to abide by ACE standards may subject the ACE approved provider to adverse action by the association and may jeopardize the ACE provider's approval status.
- Information, recognition numbers and indicators of ACE approved providers are not transferable to any other entity and may not be used or displayed on promotional material, websites or used in any manner that may be misleading to the public.
- Only ACE approved providers may use the ACE identifying information and recognition numbers. The ACE provider social worker consultant must be involved in all phases of program development, monitoring and evaluation.

(Contact ACE office to request the Co-sponsorship guidelines.)

Course A lecture or a number of lectures, seminars, workshops, home study or other means of providing continuing education. Consists of a period of not less than one hour in length, with clearly defined and outlined learning objectives, ending with an evaluative measure; a series of courses constituting a curriculum.

Course delivery methods

- Workshop/seminar: lecture, discussion, role-play, debate, presentation
- Multi-media presentation: Presenter communicates information using various media.
- Readings, article, online study: Interaction includes questions and answer, links to content and/or post test
- Web enhanced presentation and/or discussion: presentation and interaction online. Interactive online presentation.
- Video or audio conference: Presentation by an individual or discussion by a panel is observed by participant. Discussion takes place through online postings, telephone, video or by moderator.

Course materials

Submit the following required materials for review with your application. Within the body of your application, where appropriate, indicate where in the materials each item can be found:

- Include hard copy of web site, if applicable
- Course or session promotional materials, including website (flyer, etc.) if applicable
- Course or session outline, including timeline
- Course or session learning objectives
- Course or session presenter(s) including license information and/or credentials, experience and education
- All course or session handouts
- Pre or post tests

For online courses: Provide instructions, including passwords and codes, to allow reviewers to access the online course material, pre and/or post-tests, and evaluation for course submission.

Cultural Competence Cultural competence in social work continuing education implies a heightened consciousness of how people experience their uniqueness and deal with their differences and similarities within a larger social context. Courses may reflect:

- Understanding of diversity between and within cultures
- Consciousness of the dynamics inherent when cultures interact
- Understanding of how personal and professional values may conflict with or accommodate the needs of diverse clients
- Understanding of history, traditions, values, family systems and artistic expressions of diverse cultural groups
- Methodological approaches, skills and techniques reflecting understanding of the role of culture in CE course content
- Information in language appropriate to participants

Distance education The acquisition of knowledge and skills through mediated information and instruction, encompassing all technologies. Instructors and students remain at different locations and are linked by a communications medium. An alternative method to face-to-face contact for the delivery of continuing education, distance education includes home study through studying a book, audio or video tape and completing a test, as well as interactive course work completed using the internet.

Diversity Differences in and among societal groups based on race and/or ethnicity, gender, age, physical/mental abilities, sexual orientation, religion, size and other distinguishing characteristics. In social organizations the term usually refers to the range of people who more accurately represent minority populations and people from varied backgrounds, cultures, ethnicities and viewpoints.

Ethical conduct Behavior meeting a community's positive moral standards, distinguishing right from wrong and adhering to the right. For professional social workers, *ethical conduct* also involves adhering to the profession's *code of ethics*, providing the highest and most skillful level of service to clients possible and relating to colleagues, other professionals, all people and society in an honorable manner. The definition of "good moral character" is grounded in public protection, based on the public's right to expect the highest degree of integrity from members of the social work profession.

Field test Process used to determine the length of time it takes a participant to complete a workshop or course by presenting the course in its entirety to a sample group of participants. This method is used by a continuing education provider to assign an accurate number of continuing education credits based on the number of hours required to complete the course. Fifty instructional minutes per sixty-minute hour is the standard for assigning continuing education credits.

Grievance Any complaint made by a participant, potential participant or former participant about a continuing education provider's course offering(s), promotional or educational materials, course site, facilities or technological resources is considered a grievance. The provider must document all grievance reports, whether the complaint was made to the provider, ASWB or another source. In addition, the provider must keep a record of all actions taken by the provider to address the grievance.

Jurisdiction The geographical limits or territory within which specific power, rights or authority may be exercised. This designation may apply to a province, state or territory holding the authority to license and regulate social workers.

Learning objectives The provider must have clear and concise written statements of intended goals or outcomes reflecting what learners will gain from a course or courses. These reflect skills, knowledge, and/or attitudes a learner should be able to demonstrate following the learning experience. Learning objectives are the foundation for planning, instruction and assessment of a learning experience.

Licensed social worker An individual who has met the requirements to practice social work as defined by a governmental authority empowered to regulate social work, and is currently in good standing with that authority. Individual jurisdictions may refer to this as certification, registration or licensing of an individual for the practice of social work.

Licensure “Licensure” as used in ACE materials applies to any grant of formal government authorization to practice social work or to identify oneself as a regulated practitioner of social work. Individual jurisdictions may refer to this as certification, registration or licensing of an individual for the practice of social work. Typical requirements for licensure are that the individual has submitted a written application in the form prescribed by the board, has attained the age of majority, is of good moral character, has graduated and received the Bachelor’s, Master’s or Doctorate degree in social work from an approved social work program, has successfully passed an examination or examinations prescribed by the Regulatory Board and has paid all applicable fees specified by the Board relative to the licensure process.

Scheduled access The publication of scheduled written or verbal access for communication between an instructor (or knowledgeable staff) and student(s), for the purpose of subject matter guidance, correction, grading, comment, or problem resolution. This is especially important in distance education courses, when students remain at different locations and are linked to course and others by a communications medium.

Scheduled interaction The scheduling of written or verbal interaction between an instructor (or knowledgeable staff) and student(s), for the purpose of subject matter guidance, correction, grading, comment, or problem resolution. This is especially important in distance education courses, when students remain at different locations and are linked to course and others by a communications medium.

Social work mission The primary mission of the social work profession is the enhancement of human well-being, helping to meet the basic human needs and empowerment of people who are vulnerable, oppressed, and living in poverty.

Social worker consultant The social worker consultant to an ACE approved continuing education provider participates in and monitors the planning and implementation of educational goals, learning objectives, instructional materials, learning needs assessment, course evaluations and promotional materials. **This individual is licensed, has been or is currently practicing social work privately or within an institutional setting, and is in good standing with appropriate regulatory boards.**

Web site security Access to participant personal information must be protected by password or some other secure method. Credit card transactions must be processed on a secure payment site. “HTTPS” (instead of “http”) in the web address indicates that the site is being processed on a secure server to protect participants submitting confidential information over the Internet. “HTTPS” incorporates a Secure Socket Layer to handle secure internet transactions. Information may be stored on an https format or in a virtual private network.

APPENDIX A

ACE Application and Services Fee Schedule.

Provider Approval Application	
Application review and first year approval fee. Covers application development, review and the first year of approval.	\$450.00
Approval Renewal fee. Due at the end of the first year of approval, when provider submits renewal application. Covers approval for three years. Thereafter, due at every three-year renewal date.	\$900.00
Late fee. For applications not received in the ASWB/ACE office by the renewal application due date (within 10 day period).	\$100.00
Review and Reinstatement fee. (Additional). Added to renewal fee for ACE approval extension applications received more than 10 days after the application renewal due date.	\$300.00
Provider appeal fee.	\$900.00
Link to a provider's (one specific) conference or special event web page (for a six month period) from the provider's listing on the ASWB web page.	\$75.00
Approval expansion fee. (Additional course delivery format, add co-sponsorship) Approved providers may expand ACE approval status to cover the addition/development of course formats not included in original application. The provider submits an example of each new type of course (workshop, conference, home study (printed) or distance (online, audio/video, interactive tele-conference), etc.	\$150.00
Provider Co-sponsorship	
No charge for co-sponsorship with another ACE approved provider	\$0
Co-sponsorship of 10 or fewer courses per co-sponsor in an approval period	\$50.00
Co-sponsorships of 11 to 20 courses per co-sponsor in an approval period	\$100.00
Co-sponsorships of 21 to 30 courses per co-sponsor in an approval period	\$150.00

Association of Social Work Boards
400 South Ridge Parkway, Suite B
Culpeper, VA 22701

For more information contact:
1-800-225-6880, ext. 3027 ● jward@aswb.org

1625 North Market Blvd., Suite S-200
Sacramento, CA 95834
(916) 574-7830, (916) 574-8625 Fax
www.bbs.ca.gov

To: Committee Members
Date: May 15, 2012
From: Kim Madsen
Executive Officer
Telephone: (916) 574-7841
Subject: **National Board of Certified Counselors Approved Continuing Education Provider Program**

Program Information

The National Board of Certified Counselors (NBCC) will approve individuals or organizations that provide continuing education and are interested in receiving NBCC approval. There are three provider categories within the NBCC Approved Continuing Education Provider Program (ACEP). These categories are listed below.

- American Counseling Association (ACA), its divisions and state branches,
- Counselor education departments at regionally accredited universities,
- All other organizations, institutes, associations, agencies, academic departments (other than counselor education), hospitals, clinics, and related organizations and individuals.

NBCC divides continuing education into four delivery methods; live programs, traditional home study programs, subscription home study, and online home study. The provider submits an initial application for one delivery method with the \$300 fee. After the initial approval, providers may choose to apply for additional delivery methods. The application fee for an additional delivery method is \$200.

To maintain approval status, ACEPs must submit an annual update form or a fifth-year renewal form, dependent upon the renewal cycle. All forms and supporting documents must be submitted by the deadline. During the renewal process, ACEPs are required to identify up to three programs offered in the previous year. For each program listed, the ACEP must submit a summary of participant evaluations. The fifth year renewal includes review of six instructors, three programs previously presented, and three programs scheduled for the upcoming year. Copies of promotional materials are also submitted.

Renewal fees are \$100 for ACA members and university providers. All other ACEPs pay a \$200 renewal fee. ACEPs have a 90-day grace period. Following this time period a \$50 late fee applies. ACEPs that do not renew after 180 days are identified as not renewing and are no longer approved. NBCC's fee schedule is listed below.

- Initial application fee (includes approval of one delivery method): \$300
- Application for approval of additional delivery methods: \$200
- Annual update/fifth-year renewal fee: \$200

- Annual update fee for ACA and university providers only: \$100
- Late fee for annual update/fifth-year renewal: \$50

NBCC sets forth requirements for instructors and continuing education topic areas. There are two categories of instructors. A level one instructor is permitted to present information concerning the counseling and treatment of clients in the counseling is required to possess a master degree or higher in the mental health field.

A level two instructor must demonstrate the completion of the appropriate education and training regarding the topic presented. A level two instructor may present information concerning one of the eight continuing education topics but may not present information regarding counseling practice or treatment of clients. A level two instructor is not required to possess a master degree or higher in the mental health field. A course regarding the Health Insurance Portability and Accountability Act is an example of a course a level two instructor may present.

NBCC has eight continuing education topic areas that are approved for continuing education presentations. These topic areas and required instructor level are listed below.

- Counseling Theory/Practice and the Helping Relationship – Category 1 instructor required
- Human Growth and Development – Category 1 or a 2 instructor permitted
- Social and Cultural Foundations - Category 1 or 2 instructor permitted
- Group Dynamics, Processing and Counseling - Category 1 instructor required
- Career Development and Counseling – Category 1 instructor required for career counseling topics; Category 2 instructor permitted for other career-related topics
- Assessment - Category 1 or 2 instructor permitted
- Research and Program Evaluation - Category 1 or a 2 instructor permitted
- Counselor Professional Identity and Practice Issues - Category 1 instructor required

Home study programs and online home study programs must meet the above criteria as well additional requirements. Specifically, online programs will not be approved until the website and all program components are complete. Home study programs must have a learning instrument (book, tape, DVD), a reference list for all printed materials, an assessment instrument (test, quiz, essay), an evaluation instrument (assesses user satisfaction), an instruction sheet how to obtain continuing education credit after completion of the home study program, and information to identify all authors, including credentials and name.

All ACEPs are required to keep a roster of attendees and a copy of the agenda for a period of five years. ACEPs must distribute an evaluation form to all attendees at the conclusion of the program. The evaluation form allows the attendee to rate the instructor and program content. NBCC counts actual clock hours for continuing education program credit. For example, one CEU is worth ten clock hours (22 clock hours is worth 2.2 CEUs).

NBCC has an established procedure to receive and review complaints concerning ACEPs. ACEPs determined to be out of compliance with the ACEP program may be issued a Compliance Deficiency Notice with a specified time to respond. There is an appeal process the ACEP may utilize if the ACEP meets specific guidelines.

Aspects of the Program that Respond to Concerns Regarding the BBS CE Program

The NBCC program provides for an annual review of three courses presented in the previous year. Every five years instructors and six courses (three past and three upcoming) are assessed. This review provides NBCC the opportunity to review courses for compliance with their established criteria and review attendee's comments about the programs.

Acceptable continuing education course content must be related to eight topic areas and must be presented by a specific instructor. NBCC permits four delivery methods of continuing education.

However, each delivery method must be approved by NBCC. For example, a provider approved to provide continuing education via live events may not provide online home study programs without prior approval from NBCC.

NBCC also provides a method for participants to submit a complaint about a continuing education provider or program. ACEPs are afforded the opportunity to appeal a decision if found out of compliance with the ACEP program.

The maximum time to renew is 180 days after the deadline. The failure to renew within this timeline results in a late fee and/or discontinuance of NBCC approval as an ACEP.

Attachments

1. NBCC Continuing Education Policies and Procedures
2. NBCC Annual CE Provider Update
3. NBCC ACEP 5th year renewal

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NATIONAL BOARD FOR
CERTIFIED COUNSELORS.

NBCC Continuing Education Policies and Procedures



This document contains policies and procedures covering applicants for approval and approved organizations, individuals, events and programs. Applicants and approved providers and providers of single approved events are responsible for knowing and abiding by the policies contained in this document.

Table of Contents

Page 3	Introduction
Page 4	Provider Categories
Page 4	Approved Continuing Education Delivery Formats and Methods
Page 4	Fees for Approved Continuing Education Providers (ACEPs)
Page 5	Scope and Limitations of Approval
Page 5	Regulations Covering Types of Approval
Page 5-6	Approval Statements Required on Promotional Materials
Page 6	Qualification Requirements for Instructors/Authors
Page 6-7	NBCC Approved Continuing Education Topic Areas
Page 7-8	NBCC Continuing Education Program Approval Criteria
Page 9	Additional Criteria for Approval of Home Study Programs
Page 10	Record Keeping
Page 10	Participant Opinion Evaluations
Page 10-11	Awarding Clock Hours
Page 11-12	Maintaining Approval
Page 12	Cosponsoring Continuing Education Events and Programs
Page 12-14	Use of ACEP Numbers
Page 14	Advertising
Page 14-16	Compliance and Complaint Policies and Procedure

Appendix

Page 18	Sample Certificate of Attendance
Page 19-20	Logo Use Request and Agreement Form
Page 21	Permission to Use the NBCC ACEP Number
Page 22	Application to Add a New Type of Continuing Education Program

Introduction

What is NBCC?

The National Board for Certified Counselors, Inc. and Affiliates (NBCC), an independent not-for-profit credentialing body for counselors, was incorporated in 1982 to establish and monitor a national certification system, to identify those counselors who have voluntarily sought and obtained certification, and to maintain a registry of those counselors. NBCC is the largest counselor credentialing body in the United States.

How does the NBCC recertification program work?

NBCC's primary purpose is to certify masters level, professional counselors. The basic credential is called the National Certified Counselor (NCC) and is a prerequisite for all other NBCC credentials. NBCC has over **48,000 NCCs** in the United States and internationally. All NCCs must earn 100 clock hours of continuing education every five years in order to recertify, and to continue use of the NCC credential. NBCC reviews applications for approval of: single, live continuing education events such as workshops or conferences; and, organizations or individuals seeking to become NBCC-Approved Continuing Education Providers (ACEPs). Organizations applying for ACEP status may seek approval for both live trainings and for certain types of home study programs. **NBCC retains the right to approve or disapprove any continuing education provider or program.**

Why do continuing education providers want NBCC approval?

NBCC will accept approved continuing education hours for recertification purposes, as do most state counselor credentialing boards. For this reason, NCCs, LPCs, LMHCs, LCPCs, and other state credentialed counselors look for NBCC-approved events and home study programs. NBCC approval is a powerful recognition and marketing tool that assists sponsors in attracting credentialed professional counselors to appropriate provider events and programs.

What is contained in this document?

This document contains policies governing the NBCC approval program for single events and the ACEP continuing education approval program, including regulations covering NBCC ACEPs, and the requirements for maintaining approval to award NBCC-approved continuing education credit.

General Information Regarding the NBCC ACEP Program

Provider Categories – ACEP Numbers assigned by category

1. **ACA, its divisions and state branches.** These ACEPs hold approval numbers between 1000 and 2999. All ACA component organizations must complete and return the annual update form that is sent to each provider in this category and satisfy all other ACEP requirements including submission of annual fees.
2. **Counselor education departments at regionally accredited universities.** These ACEPs hold approval numbers between 3000 and 4999. Counselor education programs must complete and return the annual update form that is sent to each provider in this category and satisfy all other ACEP requirements including submission of annual fees.
3. **All other organizations, institutes, associations, agencies, academic departments (other than counselor education), hospitals, clinics and related organizations and individuals.** These organizations/individuals hold approval numbers between 5000 and 6999 and are required to return the annual update or fifth-year renewal form, pay an annual fee and satisfy all ACEP requirements.

APPROVED CE DELIVERY FORMATS AND METHODS

NBCC divides continuing education into four methods or types for those seeking ACEP status. After initial approval, providers may choose to apply for additional categories of approved programs using the form included in this booklet. The Application to Add a New Type of Continuing Education Approval is also on the NBCC Web site.

1. **Live programs** – educational workshops, seminars, conferences, lectures, interactive teleconferences, live Web or phone broadcasts.
2. **Traditional home study programs** – educational programs with quizzes delivered by mail, including books, audio or video tapes, CDs, DVDs with quizzes.
3. **Subscription home study** – home study credit awarded through quizzes contained within professional periodicals.
4. **Online home study** – educational programs with quizzes available on the Internet.

NBCC Approved Continuing Education Provider

Fees for Approved Continuing Education Providers (All NBCC fees are subject to change.)

Initial application fee (includes approval of one Delivery Method):	\$300
Application for approval of additional delivery methods:	\$200
Annual update/fifth-year renewal fee:	\$200
Annual update fee for ACA and university providers only:	\$100
Late fee for annual update/fifth-year renewal:	\$ 50

Policies and Procedures

I. Scope and limitations of NBCC continuing education provider approval

Approved Continuing Education Providers are authorized to award NBCC-approved continuing education clock hours for programs (live events or home study) that meet continuing education program criteria without having to apply to NBCC for individual program approval. Continuing education approval does not imply endorsement of any particular counseling theory or method. ACEPs may not make any statement in any publication or Internet site regarding NBCC approval other than the Approval Statement in Section III.

II. Types of continuing education activities for which ACEPs may seek approval

NBCC categorizes continuing education activities into the following four types:

- A. Live programs or training
- B. Traditional home study programs (book, tape, CD) with quizzes
- C. Subscription home study (quizzes in professional periodicals)
- D. Online home study with quizzes

Applicants for ACEP status may apply for as many types of approval as is appropriate. However, NBCC-approved clock hours may not be awarded for any type of activity for which the ACEP has not received prior approval. To add a new type of approval after the initial application, use the “Application to Add a New Type of Continuing Education Approval” included in this packet or on the NBCC Web site (www.nbcc.org).

III. Approval statements for ACEP promotional materials

- A. **General Statement:** The following statement must appear prominently on promotional literature and in the approval information on the ACEP’s Web site or home study materials:

“(Organization Name) is an NBCC-Approved Continuing Education Provider (ACEP™) and may offer NBCC-approved clock hours for events that meet NBCC requirements. The ACEP solely is responsible for all aspects of the program.”

- B. **Selected Sessions/Programs:** ACEPs offering multiple-session live events or multiple home study programs must clearly identify those that carry NBCC-approved clock hours. The following statement must be published and stated prominently where less than all sessions or programs meet NBCC requirements:

“(Organization Name) is an NBCC-Approved Continuing Education Provider (ACEP™) and may offer NBCC-approved clock hours for events (or programs) that meet NBCC requirements. Sessions (or programs) for which NBCC-approved clock hours will be awarded are identified in the program bulletin (or in the catalogue or Web site). The ACEP is solely responsible for all aspects of the program.”

- C. **Cosponsored Events:** The following statement must appear prominently on promotional

materials for events or programs sponsored by the ACEP and a cosponsor:

“(Organization Name) is an NBCC-Approved Continuing Education Provider (ACEP™) and a cosponsor of this event/program. (Organization Name) may award NBCC-approved clock hours for events or programs that meet NBCC requirements. The ACEP maintains responsibility for the content of this event.”

IV. Qualified instructors/authors

ACEP instructors and authors must demonstrate appropriate qualifications and knowledge concerning the topic presented and the program authored, consistent with the following standards:

- A. **Category 1 instructors/authors:** Instructors or authors presenting information concerning the counseling or treatment of clients in the counseling setting. These instructors/authors must hold an advanced degree (masters or higher) in a mental health field.
- B. **Category 2 instructors/authors:** Instructors or authors presenting information that relates directly to one of the nine continuing education topic areas, but NOT concerning counseling practice or the treatment of clients. These instructors/authors are not required to hold advanced degrees in a mental health field, but must demonstrate the completion of appropriate education and training with regard to the topic presented. Approval of Category 2 instructors is considered on a case-by-case basis.

V. NBCC-approved continuing education topic areas with instructor requirements

Topic areas are based on the following NBCC Job Analysis and CACREP content areas:

- A. **Counseling Theory/Practice and the Helping Relationship:** Approved topics in this area include historic and well-established contemporary counseling theories, principles and techniques of counseling and their application in professional counseling settings; information on the use of the current edition of the Diagnostic and Statistical Manual of Mental Disorders (DSM); diagnosis and treatment of mental disorders; the mind-body connection and its applications in the counseling setting; psychopharmacology and the role and effect of psychotropic medications in mental health; burnout prevention designed for helping professionals; counselor self-understanding designed for mental health professionals; crisis/disaster counseling; mediation or coaching training designed for mental health professionals (**Category 1 Instructor required**).

Note: “Well-established contemporary theories, principles and techniques” are defined as those for which acceptable documentation is available that either (a) proves the efficacy of the theory or methods by empirical data; or, (b) shows clear acceptance by the credentialed professional mental health community through well-established publications and presentations at conferences sponsored by recognized professional mental health organizations.

- B. **Human Growth and Development:** Approved topics in this area include the nature and needs of individuals at all developmental levels; normal and abnormal human behavior; personality theory; life-span theory; learning theory; and end-of-life issues (**Category 1 or 2 Instructor permitted**).
- C. **Social and Cultural Foundations:** Approved topics in this area include: societal changes and

trends; human roles; societal subgroups; social mores and interaction patterns; multicultural and pluralistic trends; social or cultural issues affecting individuals, couples and families; differing lifestyles; major societal concerns, including violence, poverty, terrorism, stress, person abuse, substance abuse, religious/spiritual issues, and discrimination; and, methods for alleviating such concerns (**Category 1 or 2 Instructor permitted**).

- D. **Group Dynamics, Processing and Counseling:** Approved topics in this area include group development, dynamics and counseling theories; group counseling leadership styles; basic and advanced group counseling methods and skills; other group counseling approaches; theories of family counseling; family dynamics and roles of family members; and addictions group counseling (**Category 1 Instructor required**).
- E. **Career Development and Counseling:** Approved topics in this area include: Career developmental theories; occupational and educational information sources and systems; career and leisure counseling, guidance and education; lifestyle, career and retirement decision making; career development program planning, resources and effectiveness evaluation; worker behavior and adjustment; and workplace issues affecting worker performance and behavior (**Category 1 Instructor required for career counseling topics. Category 2 Instructor permitted for other career-related topics**).
- F. **Assessment:** Approved topics in this area include: group and individual educational and psychometric theories, and approaches to appraisal; data and information gathering methods; psychometric statistics; factors influencing appraisals; administering appraisal instruments and interpreting appraisal results in helping processes; and, legal issues affecting counselor rights to administer and interpret tests and inventories that assess psychopathology, abilities, interests, and career options (**Category 1 or 2 Instructor permitted**).
- G. **Research and Program Evaluation:** Approved topics in this area include types of academic and professional research; basic statistics; research-report development; research implementation; counseling program evaluation; needs assessment in the counseling setting; publication of counseling research information; and, ethical and legal considerations in counseling research (**Category 1 or 2 Instructor permitted**).
- H. **Counselor Professional Identity and Practice Issues:** Approved topics in this area include philosophic bases of the helping processes; professional roles and functions; professional goals and objectives; professional organizations and associations; professional history and trends; ethical and legal standards in counseling; professional preparation standards; professional credentialing; federal and state laws and regulations affecting counselors; practice management issues for mental health professionals; the counselor as professional consultant; administration and management of counseling programs; clinical supervision of mental health professionals (**Category 1 Instructor required**).

VI. NBCC continuing education program content approval criteria

When an organization is granted the ACEP status from NBCC, it is their ongoing responsibility to ensure that the content of each program offering NBCC-approved clock hours meets the following criteria:

- A. All events or programs must relate directly to one of the eight NBCC-approved continuing education topic areas. (See the approved topic areas listed in section V.)
- B. Programs focusing on the counseling or treatment of clients must be designed for, and taught by, masters or doctoral level mental health professionals (Category 1 instructors). See the descriptions of Category 1 and Category 2 listed in Section IV.
- C. Programs focusing on topics that do not specifically address the counseling or treatment of clients may be taught by either Category 1 or Category 2 instructors. Examples include adoption law, violence in schools, urban gangs, the Health Insurance Portability and Accountability Act (HIPAA) regulations.
- D. In order to qualify for NBCC approval, program topics must be relevant to the continuing education of professional counselors. Programs focusing solely on the physiological, medical (non-psychiatric) treatment of clients, or designed for a profession other than counseling (such as medical nursing or medical rehabilitation), do not qualify for NBCC approval. Programs designed for the training of members of the general public, paraprofessional counselors or lay members of a church, or other helping organizations to do counseling of individuals do not qualify for NBCC approval.
- E. In order to qualify for NBCC approval, at least one identifiable content objective must focus on the mental health professional's use of presented knowledge to aid clients in a professional mental health setting. The objective must be clearly identified in the program or agenda. Programs designed solely to assist the general public with their own personal difficulties and challenges do not qualify for NBCC approval.
- F. ACEPs may not discriminate against any individual or group with respect to any service, program or activity on the basis of gender, race, creed, national origin, sexual orientation, religion, or age, or other prohibited basis. ACEPs may not require counselors/attendees to adhere to any particular religion or creed in order to participate in training, and may not imply that those not adhering to the tenets presented in the training are mentally ill, deviant, or unacceptable in any fashion.
- G. ACEPs must be able to show that their programs train counselors to treat any client in an ethical and clinically sound manner consistent with the NBCC *Code of Ethics* and the current edition of the DSM.
- H. ACEPs must conduct live trainings in barrier-free, Americans with Disabilities Act (ADA) compliant facilities and must be prepared to assist any attendee with a physical, visual or auditory disability.

VII. Additional criteria for approved home study programs

A. All home study programs must include:

1. A learning instrument (examples include: book, tape, CD-ROM, DVD, Internet-based text, video, subscription to professional periodical, volumes of past periodicals).
2. An assessment instrument (quiz, test, essay) to test exposure to the material.
3. An evaluation instrument (for assessing user satisfaction).
4. An instruction sheet or page with clear information regarding how to obtain continuing education credit after completion of the home study program.
5. A reference/citation list for all printed materials.
6. Information identifying all authors, including name and credentials.

B. Age of materials

Program materials must contain current information. Programs containing outdated information must not be offered for NBCC-approved clock hours.

C. Quality of materials

If a home study program has an audio or video component, the sound and visual quality must be sufficiently clear when played on the average electronic device, computer or television. Audio or video taped programs of live workshops must also include all materials used and distributed during the live program in addition to the other elements required of all home study programs (including handouts and slide materials). Program materials must have professional quality print and appearance.

D. Online home study programs

All program and site components of an online program must be completed and fully functioning before application is made before a provider can apply for approval. Incomplete sites will not be reviewed. Web sites allowing electronic payment must utilize appropriate encryption programs to protect the buyer/participant. Providers of these programs must also make provision to mail certificates of completion to any buyer/participant who does not have access to a printer. Ease of navigation and quality of content will be carefully reviewed and judged by NBCC.

E. Program content

Any home study program offered by an ACEP for NBCC-approved clock hours must meet the requirements in this section, as well as those identified in Section VI, "NBCC Continuing Education Program Criteria."

VIII. Record keeping

ACEPs are required to keep a roster of attendees and a copy of the agenda for all programs sponsored or cosponsored for a period of five years. ACEPs must be able to verify the attendance and the number of clock hours earned by participating individuals when the ACEP is requested to do so by NBCC or an attendee.

IX. Participant/attendee evaluations

ACEPs must distribute evaluation forms to all participants for each sponsored or cosponsored program, whether live or home study. The evaluation must include a numerical rating system for the program and the instructor, as well as information concerning the usefulness of the program to mental health professionals. A sample evaluation form is provided in the Appendix to this booklet. **NBCC does not require the use of a specific ACEP evaluation form.** Each year, as part of the annual update process, ACEPs will be required to identify up to three programs offered since the previous April. For each program listed, the ACEP must submit a summary of participant evaluations. ACEPs should design evaluations with this requirement in mind. **Individual evaluations completed by attendees should not be sent to NBCC unless they are requested.**

X. Awarding clock hours

A. Documenting attendance

Certificates or letters verifying attendance or completion must be given to attendees for any activity or home study program offered or sponsored by the ACEP for NBCC-approved continuing education credit. These documents must be produced and distributed by the ACEP awarding the credit. (A sample certificate of attendance is provided in the Appendix.) Certificates must always include the following information:

1. The name and complete contact information of the ACEP.
2. The name and date of the event.
3. The name of the person to whom the hours are awarded.
4. The number of clock hours awarded.
5. A signature of the authorized ACEP contact person or designee.
6. The ACEP Number (indicated on the ACEP approval letter sent from NBCC).

B. Verifying hours for live events

ACEPs must ensure that the hours awarded to each participant represent the actual hours that the person attended a live event. This requirement may be satisfied at single session live events by having attendees sign in and out. This requirement may be satisfied at multisession conferences by having the attendee record his/her own hours and attest by their signature that the hours reported accurately reflect the hours attended or completed. Stationing monitors at sessions to stamp attendance forms is also an acceptable method.

Certificates of attendance may be distributed at the conclusion of the event or mailed to attendees after the event. Names of attendees should be preprinted on the certificates to help ensure the security of the forms. Printed attendance certificates, including continuing education credit,

should never be given to attendees until after the event is over. Certificates of attendance/ completion should NEVER be sent to NBCC, but should always be given or sent to the attendee.

C. Calculating clock hours

1. Live trainings/events

The number of clock hours awarded for an approved event will be based only on actual length of the event, i.e., the actual number of clock hours of presentation time. Mealtime may not be counted. Breaks of more than 10 minutes must be subtracted from the total number of hours. For example, a three hour presentation with a 15-minute break should be counted as 2.75 clock hours of credit.

NBCC counts actual clock hours. If CEU credits will be awarded by the ACEP, the actual clock hours must also be stated on the certificates. One CEU is worth 10 clock hours. For example:

15.5 clock hours (1.55 CEUs)	7 clock hours (.7 CEUs)
22 clock hours (2.2 CEUs)	12 clock hours (1.2 CEUs)

2. Home study programs

Home study-approved clock hours must be calculated in accordance with the following requirements.

The number of hours of credit awarded must be based on an accurate word count for text-based materials, and on an accurate word count plus listening/viewing time for mixed text and audio/visual materials. A reading speed of 66 words per minute is used to calculate the number of clock hours that may be awarded for text-based home study programs. One hour of continuing education credit may be awarded for a minimum of 4,000 words of text.

D. Partial credit

ACEPs may award partial clock hour credit for partial attendance if they judge that it is appropriate. ACEPs may also refuse to give partial credit when they judge that it is not appropriate. In such case, ACEPs must make it clear on promotional material, and the activity materials distributed at the event, that no partial credit will be given. ACEPs may not award more hours than the counselor actually attended. NBCC reserves the right to alter the ACEP's determination with regard to the award or denial of partial credit.

XI. Maintaining approval: Annual update/fifth-year renewal

Depending on the relevant approval cycle, an ACEP will receive either an Annual Update Form or Fifth-Year Renewal Form. To maintain approval, ACEPs must submit: the completed Annual Update Form or Fifth-Year Renewal Form, and supporting documents; and, pay the fee by the deadline. There is a 90-day grace period. After 90 days, a late fee of \$50 will be applied. ACEPs not renewing after 180 days may be identified in the NBCC newsletter as not renewing and no longer approved. An ACEP

failing to satisfy all approval requirements by the applicable deadline will be placed in inactive status and the ACEP cannot offer NBCC-approved ACEP clock hours.

XII. Cosponsoring

- A. In order to cosponsor an approved event or program, the ACEP must have input into the content and delivery of the event or program. Cosponsorship must reflect an actual relationship between the ACEP and the other organization, which includes the ACEP's participation in program content, location, instructors and delivery. This may not be a solely financial transaction.
- B. Cosponsorship may not be sold or advertised as if it were original approval from NBCC. If an ACEP cosponsors an event, the cosponsorship must not be described as "approval" by the ACEP organization. The language must always be "cosponsored" and not "approved". For example, "*This event is cosponsored by ACA, an NBCC-Approved Continuing Education Provider....*"
- C. The ACEP remains responsible for ensuring that all aspects of the program meet NBCC continuing education program criteria. If the ACEP has no control over these aspects of the program, the ACEP **may not** award NBCC-approved clock hours for that event or program.
- D. All cosponsored activity advertisements must satisfy the requirements explained in "Approval Statements," Section III.C.

XIII. Use of ACEP numbers

Except as explicitly provided below, an ACEP may not lend its ACEP number to any other organization outside its own structure, or otherwise permit use of an ACEP number.

***Note:** Any organization lending the NBCC ACEP number to a related organization remains responsible for ensuring that the event or program meets all NBCC requirements and policies.*

- A. American Counseling Association (ACA) and ACA subsidiary/affiliated organizations:

State branches and divisions of ACA (e.g., Idaho Counseling Association and Association for Counselor Education and Supervision) are assigned ACEP numbers. State branches of ACA divisions (e.g., the North Carolina ACES Chapter) are not assigned ACEP numbers. In order for state branches of ACA divisions to award approved continuing education hours for their workshops and conferences, they must request the use of the ACEP number from their national division or state branch of ACA. Local chapters of state branches may request to use the approval numbers of their state branch of ACA. **In order to authorize such use, the ACA national or relevant state branch lending their numbers must comply with all procedures set forth in Section XIII.C.**

Organizations OUTSIDE the ACA structure may NOT use an NBCC approval number from ACA-related organizations. ACA branches or divisions must officially cosponsor the events sponsored by organizations outside the ACA structure in order to award NBCC-approved clock hours to the attendees.

B. Other National ACEP Organizations and Subsidiary/Affiliated Organizations:

A national organization that holds an ACEP number may allow their state or regional branches to use it, but is responsible for ensuring the event qualifies for NBCC approval. The organization requesting the use of the ACEP number is bound by all NBCC requirements and policies regarding record keeping. In order to authorize such use, the national organization must comply with all procedures set forth in Section XIII.C.

Organizations outside the structure of the NBCC-approved organization may not use the ACEP number. Instead, the approved organization must officially cosponsor the event in order to grant NBCC-approved clock hours.

C. Procedures for ACA Organizations and Other National ACEP Organizations Granting Permission to State Divisions and Chapters to Use the NBCC ACEP Number:

1. An ACEP organization's local chapter or state division must submit a written document to the appropriate state branch or national division requesting the use of the ACEP number. Information regarding the program content and schedule must be included as well as a résumé or biographical sketch for each presenter.
2. The qualifying organization's state branch/national division will review the request to determine if the activity meets the continuing education requirements. When appropriate, the request will be granted.
3. An organization granting the use of its approval number must complete a signed "Permission to Use NBCC-Approved Provider Number" form provided in the Appendix of this document. The original form will be returned to the originator of the request, and a copy will be sent promptly to NBCC headquarters. A second copy should be retained for the state branch/national division continuing education files.
4. After granting the request, the state branch/national division will send the sponsoring chapter or division the appropriate sample form for monitoring continuing education activities. The chapter or division will reproduce this form on its own letterhead. The local chapter or state division will follow the guidelines applicable to all ACEPs when providing continuing education activities to NCCs. All attendees should be given documentation that verifies their participation in the continuing education activities. Documentation should NOT be sent directly to NBCC.
5. Upon completion of the activity, a roster of all program participants will be sent to the ACEP state branch/national division. These records will be maintained for five years, in the event that NBCC needs to verify attendance directly with the ACEP.

D. University Departments Holding NBCC ACEP Approval:

University ACEPs holding a 3000 or 4000 number may grant permission to use the ACEP number other departments within the same university. In such case, the department that holds the approval will issue the certificates of attendance and be responsible for meeting all NBCC

requirements, including the maintenance of rosters of attendees for five years following the event.

University providers may not lend the NBCC approval number to any organization outside the university. For events sponsored by organizations outside the university, the NBCC-approved department must officially cosponsor the event in order to grant NBCC-approved clock hours.

XIV. Advertising.

All ACEPs must satisfy, and are bound by, the NBCC advertising policies and all other NBCC policies when placing advertisements in NBCC or third party publications and Web sites.

XV. Compliance and Complaint Procedure.

A. Investigation and Complaint

NBCC will review all complaint and similar communications concerning an Approved Continuing Education Provider (ACEP) to determine if an investigation and review of the matter should be initiated. Based on such review, and in its sole and exclusive discretion, NBCC will determine whether a formal compliance deficiency notice is warranted.

B. Formal Compliance Deficiency Notice and Response

If NBCC determines that the ACEP may have acted in a manner not consistent with the ACEP Program or other corporate policies or agreements, including the policies identified in the ACEP application, NBCC will notify the ACEP in writing by issuing a Compliance Deficiency Notice and require a written response within 30 days. The identity of the complainant will not be revealed. Based upon the information received and reviewed, including the ACEP's response to the Compliance Deficiency Notice, NBCC will determine whether the ACEP's status will be the subject of a compliance deficiency action which may include: probation, including conditions related to participation in the Program; or, termination. The complainant will be notified of the determination in writing.

C. Appeal of Compliance Deficiency Finding.

1. **Appeal Submissions:** Within 30 days of the issuance of an adverse compliance deficiency finding, an ACEP may submit a written appeal and request for review of the action and basis thereof. Appeals received beyond this time period will not be reviewed or considered. In order to complete an appeal within the prescribed time period, the ACEP must submit a letter or other document to the President/CEO and Board of Directors which contains the following information and material: (a) a statement of the grounds for the appeal, including a complete explanation of the reasons that the ACEP believes the compliance deficiency finding should be reversed or otherwise modified; (b) a requested modification of the action; and (c) accurate, complete copies of any material which support the ACEP's appeal.
2. **Grounds for Appeal:** The grounds for appeal of an adverse decision are limited strictly to the following: (a) New or previously undisclosed information: the Approved

Provider has located relevant information that was not previously in his/her possession, was not reasonably available prior to closure of the record, and could have affected NBCC's decision; (b) misapplication of ACEP or other corporate policies: NBCC has misapplied the provisions of ACEP Program Policies or other corporate policies, and the misapplication prejudiced the ACEP; and/or (c) contrary to the information presented: the adverse decision is contrary to the most substantial information provided in the record of the matter, and the non-compliance finding is in error.

D. Informal Review By The President/CEO or Designee

Upon receipt, and prior to review by the Board of Directors, appeals are subject to an informal review by the NBCC President/CEO or designee. Following review of an ACEP's appeal and request for review, the President/CEO may take one of the following actions: (1) reverse or otherwise modify the adverse finding or action, or take other appropriate action; (2) decline to further process an inadequate, incomplete, or frivolous appeal; or (3) refer the appeal to the Board of Directors for review and final resolution.

In the event that the appeal is referred to the Board of Directors for resolution, the President/CEO will provide the Board of Directors with all materials relevant to the appeal, including the documents and materials submitted by the ACEP.

E. Final Board of Directors Appeal Decision

Upon receipt of a complete appeal, the NBCC Board of Directors will issue an appeal decision stating and explaining the outcome of the appeal. With respect to each appeal, the Board of Directors decision may include the following: (1) a summary of any relevant portions of the compliance deficiency finding; (2) a summary of any relevant procedural or factual findings; (3) the Board's findings with respect to each matter under appeal. The Board of Directors final decision will be sent to the parties, via U.S. mail, return receipt requested, or other appropriate delivery method.

F. Reinstatement and Reapplication Procedures Following Probation and Termination

1. Probation/Reinstatement. Following the expiration of a final probation decision issued under these rules, NBCC will determine whether the ACEP has satisfied the terms of the probation, including any conditions related to participation in the Program. If the ACEP has satisfied the terms of probation in full, NBCC will verify that the probation has been completed and reinstate the ACEP to active status. If the ACEP has not satisfied the terms of probation in full, NBCC will notify the ACEP of the failure to satisfy the terms of probation and may take the following actions: continuation of the probation order; and/or issuance of additional disciplinary or remedial actions concerning the probation terms.
2. Termination/Reapplication. Two years after the issuance of a final termination issued under these rules, the former ACEP may submit to the Board of Directors a Request for Permission to reapply for ACEP status (Reapplication Request). Subject to the time requirements above, the Board of Directors will consider a Reapplication Request from a former ACEP whose status has been terminated. Reapplication Requests must include the following information: (a) the date that the final deficiency notice was issued; (b) a statement of the reasons that the former ACEP believes support or justify the acceptance

of the Reapplication Request, including a statement explaining why the former participant should now receive ACEP status and why the compliance action no longer applies to the former ACEP; and (c) copies of any relevant documents or other material upon which the former ACEP relies in support of the Reapplication Request. Within 90 days after the submission of a complete Reapplication Request, or as soon after as practical, the Board of Directors will review the information presented by the former ACEP and any other relevant information. The Board will then determine the final outcome of the Reapplication Request by majority vote in closed session.

3. Board of Directors Reapplication Request Decisions. Following the Board of Directors' review of a Reapplication Request, or as soon as practical, the Board, by the Board Chair or President/CEO, will transmit its decision with respect to the Reapplication Request. The final Board decision will indicate whether the Request is granted, denied, or continued to a later date. If appropriate, the decision will indicate any Program participation conditions the Board has required. Copies of the Board of Directors decision will be sent to the parties, via U.S. mail, return receipt requested, or other appropriate delivery method. While no appeal of the Board decision is permitted, the former ACEP may submit a new Reapplication Request pursuant to this Section, two years or more after the issuance of a Board decision denying a Reapplication Request.

APPENDIX

Sample Certificate of Attendance

Superior Counselor Training Services Inc.
Presented

The Treatment of Depression
July 23rd, 2001

Jane Doe
Attended and has earned 2.5 clock hours of continuing education credit

NBCC-Approved Continuing Education Provider Number 8888

Superior Counselor Training Services address: 5555 Smith St. #4 Smithville, NC 23456
Telephone: (555)555-5555 FAX (444)444-4444 Web: www.superiorcountrain.org

Signature of NBCC Contact Person/Designate: _____ Date: _____

Sample Evaluation Form with Summary

Evaluation Summary for: Treatment of Depression
Sponsor: Superior Counselor Training Services NBCC ACEP #8888

Please rate the following items according to the following scale:

1- Superior 2-Above Average 3-Average 4-Below Average 5-Poor

(Total Number of Attendees: 30)

1. The relevance of the topic to your practice ____ (Average answer 1.5)
2. The knowledge of the speaker ____ (Average answer 1.5)
3. The presentation style of the speaker ____ (Average answer 2.5)
4. The materials you received ____ (Average answer 1.2)
5. The length of the presentation ____ (Average answer 1.0)
6. The room and other accommodations ____ (Average answer 3.5)

Please answer Yes or No to the following:

1. Would you attend another workshop presented by Superior Counselor Training, Inc?
(75% said Yes, 25% said No)
2. Do you feel that this presentation met your expectations as a mental health professional?
(90% said Yes, 10% said No)



NBCC Approved Continuing Education Provider Logo Use Rules and Agreement

1. **Agreement.** NBCC Approved Continuing Education Providers (ACEPs) must agree to, and comply with, the following requirements and restrictions relating to use of the NBCC Approved Continuing Education Provider Logo and Trademark (ACEP™ Logo or Mark).
2. **Authorized Use of ACEP Logo.** An ACEP in good standing may use the ACEP™ Logo to represent its status as an NBCC Approved Continuing Education Provider in its professional advertising and informational materials, including business cards, letterhead, brochures, and other marketing materials.
3. **Termination.** In the event that the organization's ACEP status is terminated by NBCC, the ACEP agrees that it will discontinue use of the ACEP Logo upon receipt of such notice, and will remove the ACEP Logo from all print materials and Internet sites immediately.
4. **Proper Appearance of ACEP Logo.** Regardless of format, the ACEP Logo must always be used in its entirety, and must appear with the subscript/superscript trademark symbol "™", as indicated below.



When displayed, the ACEP Logo cannot appear larger than the ACEP's name or the ACEP's company logo. Materials which include the ACEP Logo must clearly indicate that the ACEP is the source of the educational goods or services advertised.

5. **Proper Use of ACEP Logo.** The ACEP Logo must stand by itself, and may not be combined with any marks, designations, or logos related to other groups, programs, or organizations. Such use of the Logo is prohibited. The ACEP Logo generally may be used in the same location as other affiliation marks or logos, but must remain separate and distinct so as to avoid confusion, and to avoid the appearance that other marks, groups, programs, or organizations are associated with, or endorsed by, NBCC.
6. **Right to Revise or Discontinue ACEP Logo Use.** It is within NBCC's sole and exclusive discretion to require that an ACEP revise or discontinue its use of the ACEP Logo. If an ACEP fails to revise or

discontinue its use of the ACEP Logo as directed by NBCC, NBCC retains the right to terminate ACEP status.

7. Non-Assignment/Non-Transferability. Permission to use the ACEP Logo is limited to the ACEP and may not be assigned to, transferred to, or otherwise used by any other individual, organization, business or entity.
8. Reporting Obligations. An ACEP has the responsibility to report the unauthorized use, misuse, or other violation of this policy to NBCC in a timely manner, including any circumstances where an ACEP becomes aware of: the use or infringement of the ACEP Logo by an unauthorized individual or organization; or the improper use of the ACEP Logo by an ACEP.
9. Ownership Rights. NBCC retains all trademark and other ownership rights concerning the ACEP Logo and its other corporate marks. All matters concerning the proper use of the ACEP Logo should be directed to the NBCC Recertification Administrator.

By its participation in the NBCC Approved Continuing Education Provider (ACEP) Program, the ACEP accepts, and agrees to comply with, the requirements and restrictions stated in this Agreement and all applicable NBCC policies, which are incorporated by this reference. The ACEP representative identified below represents by his signature that: he or she has the authority to sign this Agreement on behalf of the ACEP organization; and has read, understands, and agrees to the terms and conditions set forth in this Agreement.

Name of NBCC ACEP Organization

NBCC Approval Number

Signature of Authorized ACEP Representative

Date

Print Name

Email address

Check here if you want to receive the ACEP logo



Permission to Use the NBCC ACEP Number

This form is for NBCC-Approved Continuing Education Providers who wish to grant temporary permission to state or regional branches of national organizations wishing to use their ACEP number



**Application for NBCC Approved Providers Offering A New Type of
Continuing Education Program Fee: \$200**

(This form must accompany each new type of program submitted for approval)

Title of Program: _____

Type of Program: ___Live Program ___Traditional ___Subscription ___Online

Sponsor/Provider: _____

Contact Person (please print): _____

Provider Telephone/E-mail: _____

NBCC Approved Provider Number:_____ **Number of Contact Hours Requested:** _____

Type of Learning Instrument (for Traditional home study programs only):
___Book and Quiz ___Tape (Audio/Video) or CD Rom and Quiz ___Other _____

Date the learning material was created/published: (for home study programs only)_____

NBCC Content Area this program relates to: _____

Are your quizzes prepared by a mental health professional? ___Yes ___No
(If no, please attach an explanation)

Summary of Content: For internet-based programs, include URL plus any password needed to completely review entire program. For Subscription to Periodicals, send one year’s worth of the periodical and at least one quiz.

Please return this form and accompanying materials to:

**NBCC Recertification
and Continuing Education Department
3 Terrace Way
Greensboro, NC 27403**

Include:

- 1) a copy of the complete program (For **Internet-based** programs, submit a hard copy of the text information) 2) a check for **\$200**

For Office Use:

Check Date-_____ Check Amount _____ Check # _____ Approval Date _____

Send Form and Payment To:
 NBCC
 PO Box 77698
 Greensboro, NC 27417-7698



NATIONAL BOARD FOR CERTIFIED COUNSELORS, INC.
(336)547-0607 FAX: (336)547-0017 E-Mail Address: nbcc@nbcc.org Web: www.nbcc.org
NBCC Approved CE Provider Annual Update Form 2012

Provider ID # _____ Phone 1: _____
 Organization: _____ Phone 2: _____
 Name of Contact: _____ Fax: _____
 Address: _____ e-mail: _____
 State and Zip Code _____ Web Site: _____

Provider Number	Date First Approved	Expiration Date	Annual Renewal Deadline	Amount Due
			April 30, 2012	\$200.00

1. List a maximum of three continuing education programs/classes/courses or home study programs that you offered to National Certified Counselors since the submission of your last renewal. If this is the first form you have received, please list up to three programs/classes/courses which have been offered since your initial approval. Please include a brochure or flyer describing the content area.

Date	Title	NCCs in Attendance	Total Attendance	Contact Hours

2. Submit a blank evaluation form and a summary of the evaluations for each of the activities or programs you listed above. If you list three activities, submit three summaries. Refer to the NBCC CE Policies and Procedures for a sample of a summary of evaluations.

3. List a maximum of three projected programs to be offered in the next twelve months.

Proposed Date	Title

*******If your organization did not offer any programs during the previous 12 months, please state that above and return the form and fee payment.**

PLEASE COMPLETE REVERSE SIDE OF THIS FORM

1. Describe how attendance was verified at the activities.

2. Describe any anticipated changes in your program (administrative and/or content).

3. Please provide any additional comments or suggestions for use by NBCC.

_____ I am enclosing the update fee and the required information to apply for renewal of provider approval.

_____ I do not choose to reapply for NBCC approval as a continuing education provider. I understand that the next issue of *The NCC* will indicate that I am no longer an approved provider.

Failure to return this form by your annual renewal deadline will result in the discontinuance of your approved provider status and will be so indicated in the next issue of *The NCC*.

I agree that my organization has acted and will continue to act in compliance with NBCC Continuing Education Policies. I certify that all the information provided herein is accurate.

Signature/Title Date

The National Board for Certified Counselors, Inc. (NBCC), values diversity. There are no barriers to certification on the basis of gender, race, creed age, sexual orientation or national origin.

Send form and payment to:
NBCC
PO Box 77698
Greensboro, NC 27417-7698



nbcc™

NATIONAL BOARD FOR CERTIFIED COUNSELORS, INC.
(336)547-0607 FAX (336)547-0017 E-Mail Address: nbcc@nbcc.org Web: www.nbcc.org
NBCC Approved CE Provider Fifth-Year Renewal Form 2012

Provider ID#
Contact Person:
Organization:
Address:

Amount Due: \$200.00
Expiration Date:
Phone 1:
Phone 2:
Fax:
Email:
Web Page:

NBCC Approved Providers who have been approved for five years must complete the Fifth-Year Provider Renewal Form. This form is designed to make sure that the information in your original application is still current or, if changes have been made, we have the new information on file. Please complete this form, attach the required documents and return it with your **fee payment of \$200.00** to the address on the above left.

1. **Review** the contact name, address and phone number above and correct any portion of it as needed. Please add phone numbers if this area is blank.
2. **Attach** a brochure or a narrative on a separate sheet to describe: **1)** the nature and purpose of your organization, **2)** the focus of the continuing education program sponsored by your organization, **3)** the refund policy and grievance procedures of your organization, **4)** the target audience and, **5)** a list of organizations with which you have co-sponsored activities in the last five years.
3. **Attach** the resume of the person responsible for the continuing education program at your organization.
4. **Make three copies** of Attachment A and three copies of Attachment B. Fill these out and attach brochures if available.
5. **Make six copies** of Attachment C and fill them out for six presenters your organization has used in the past five years.
6. Are your programs given at facilities that adhere to ADA standards for accessibility? yes no
If no, please explain. _____
7. Is the NBCC contact person familiar with the NBCC Continuing Education Policies and Code of Ethics? yes no
8. Do you keep copies of the rosters of attendees for five years after the program? yes no
9. **Attach a copy of the certificate** your organization uses to award continuing education clock hours to participants.
10. Does your promotional material contain the following information? 1) educational objectives, 2) target audience, 3) schedule and format, 4) fee, 5) cancellation/refund policy, 6) credentials of instructors, 7) number of clock hours offered 8) contact information for your organization? yes no
11. Do you verify that the instructors/authors for your programs hold advanced degrees in a mental health field (Category 1) or have had special training which qualifies them to speak on their particular topics (Category 2)? yes no

I attest that the above and attached statements are true and accurate. I agree to abide by the NBCC Code of Ethics and the NBCC Continuing Education Policies in the provision of continuing education programs for National Certified Counselors (NCCs). I agree to comply with the requirements set forth in items 6-11 above.

Signature of NBCC Contact Person

Date

NBCC Fifth-Year Renewal

Attachment A – Previously Offered Programs

PROGRAM/EVENT SAMPLE FORM

(For programs your organization has offered from April of last year to April of this year)

Title of Program _____

Date(s) Offered/Created _____

Instructor/Author _____

ATTACH COPY OF PROMOTIONAL LITERATURE FOR THIS PROGRAM

Target Audience _____

Number of Participants or Customers _____

Estimated Number of Participants or Customers Who Were Counselors _____

Number of CE Clock Hours Offered _____

Brief Outline of Content:

Learning Objectives:

Evaluation Procedures:

NBCC Fifth-Year Renewal

Attachment B – Upcoming Programs

PROGRAM/EVENT SAMPLE FORM

(For programs your organization will offer from April of this year to April of next year)

Title of Program _____

Date(s) Offered/Created _____

Instructor/Author _____

ATTACH COPY OF PROMOTIONAL LITERATURE FOR THIS PROGRAM

Target Audience _____

Number of Participants or Customers _____

Estimated Number of Participants or Customers Who Were Counselors _____

Number of CE Clock Hours Offered _____

Brief Outline of Content:

Learning Objectives:

Evaluation Procedures:

NBCC Fifth-Year Renewal

Attachment C – Profile Sheet of Instructor/Author

(Fill out form for no more than six instructors or authors used by your organization)

A. Name: _____

B. Current Employment Position Title: _____

Place of Employment: _____

Address: _____

Date Began: _____

C. Highest Level of Education Achieved: _____

Undergraduate Degree: _____ Major: _____ Year _____

University: _____

Graduate Degree _____ Major _____ Year _____

University: _____

D. Special Training Relevant to Topic Presented or Authored: _____

E. Licenses or Certifications Held: _____

(If the trainer/author is a professional counselor and not certified by NBCC or licensed by a state as a professional counselor, please use the back of this sheet to justify trainer's/author's expertise.)

F. Other Pertinent Information Regarding Individual's Background: _____

(Please duplicate form as needed)

1625 North Market Blvd., Suite S-200
Sacramento, CA 95834
(916) 574-7830, (916) 574-8625 Fax
www.bbs.ca.gov

To: Committee Members **Date:** May 18, 2012

From: Marina Karzag **Telephone:** (916) 574-7830
Policy and Statistical Analyst

Subject: **National Association of School Psychologists Continuing Education Provider Program**

Program Information

The following organizations may apply to be a National Association of School Psychologists' (NASP)-approved Continuing Education (CE) provider:

- International, state, regional, and local associations of school psychologists;
- School psychology graduate education programs that are not yet NASP approved;
- School districts, colleges, and universities;
- Related national professional associations and organizations; and
- Public agencies, private organizations, and qualified individuals.

NASP-approved graduate education programs are automatically granted approval status and do not have to apply or renew with NASP. These programs are reviewed and approved by the NASP Program approval board.

NASP may grant conditional approval if it identifies issues in the provider's initial application. If a provider is granted conditional approval, it must submit a report six months after the conditional approval was granted to demonstrate how the issues are being addressed.

Approved providers must submit an annual Update Form, which includes a list of activities provided in the previous year, any changes to the program, and supporting documentation. Providers must re-apply every four years.

Providers must involve a school psychologist in program planning and needs assessment.

All activities offered must address at least one of the following ten content areas:

1. Data-Based Decision Making and Accountability
2. Consultation and Collaboration
3. Interventions and Instructional Support to Develop Academic Skills
4. Interventions and Mental Health Services to Develop Social and Life Skills
5. School-Wide Practices to Promote Learning
6. Preventive and Responsive Services
7. Family-School Collaboration Services

8. Diversity in Development and Learning
9. Research and Program Evaluation
10. Legal, Ethical, and Professional Practice

NASP allows the following types of activities to be provided for CE credit:

- Workshops, conferences, and convention sessions;
- Real-time, online activities such as “Webinars” or “Live Webcasts” which permit interaction with the presenter or other participants;
- Multimedia self-study packages or “modules” developed and published to provide training in specific knowledge or skill areas. Such modules are typically distributed via the Internet and usually feature audio and/or video presentations, synchronized PowerPoint slides, downloadable handouts, Web links to supplemental information, and opportunities to interact with the presenter via e-mail or other means. Online self-study modules must have a posttest to assess learning (See Section K. Program Evaluation). *Only archived recordings, Webinars, Webcasts, or podcasts may qualify for NASP-approved self-study CPD hours. Self-study through reading articles, books, or other scholarly materials may not be submitted for NASP-approved CPD hours.*

NASP may place a provider on probation or revoke its provider status if it does not meet NASP requirements and NASP may investigate complaints received from participants against the approved provider.

Aspects of the Program that Respond to Concerns Regarding the BBS CE Program

Even though NASP does not approve individual coursework, they review all activities presented in prior years upon renewal and any program changes made since the initial application or previous renewal. This allows NASP to ensure the approved provider maintains compliance with NASP standards and criteria. BBS does not require CE providers to submit any information on courses offered after the initial application, while NASP requires submission of specific course information annually.

NASP also stipulates the types of electronic or self-study activities allowed for credit.

Attachments

Procedures and Implementation Guidelines for the NASP-Approved Provider System

National Association of School Psychologists
Professional Growth Workgroup
Procedures and Implementation Guidelines for
the NASP-Approved Provider System

Approved by NASP Executive Council
April 2005
Revised September 2008
Revised March 2010
Revised October 2010
Revised August 2011

NASP-approved providers should ensure their compliance with the most current procedural guidelines. The National Association of School Psychologists values diversity. There will be no barriers to approval on the basis of gender, race, creed, age, sexual orientation, or national origin.

A. NASP's Professional Development Program

The National Association of School Psychologists (NASP), founded in 1969 as a not-for-profit organization, is the world's largest professional association of school psychologists. NASP represents and supports school psychology through leadership to enhance the mental health and educational competence of all children. This mission is accomplished through state-of-the-art research and training, advocacy, ongoing program evaluation, and professional service.

On January 1, 1989, NASP created the National School Psychology Certification System (NSPCS) for the purpose of credentialing school psychologists who meet a nationally recognized standard. The NSPCS is open to members of NASP, as well as to nonmembers, and it is administered by National School Psychology Certification Board (NSPCB). Individuals who successfully meet the credentialing standards established by the NSPCS are entitled to use the designation *Nationally Certified School Psychologist* or *NCSP*.

NASP's guidelines for professional development for school psychologists were first adopted by the Executive Council in January 1992 and published in the booklet, *Continuing Professional Development Program*. Subsequently, the guidelines were revised in 1996, 2001, 2003, and finally in 2010. The most recent version of this publication is entitled [*Nationally Certified School Psychologist \(NCSP\) Renewal Guidelines: NASP Continuing Professional Development Program*](#). For NCSPs, it includes guidelines regarding approved activity categories, credit allowances, and required documentation for the triennial renewal of the NCSP credential. Although the title now emphasizes the necessity of professional development for NCSPs, the publication continues to assert NASP's guidelines on professional development for *all* school psychologists regardless of NCSP status.

NASP recognizes all school psychologists have an obligation to grow professionally. School psychologists seek to remain current regarding developments in research, training, and professional practices that benefit children, families, and schools. Each school psychologist must participate in professional development activities as required by the credentialing agency of the state in which he or she practices. Each Nationally Certified School Psychologist (NCSP) must attain 75 hours of continuing professional development (CPD) every three years in order to maintain NCSP status. Continuing professional development hours can be earned through a variety of activities, including workshops, conferences, inservice training, college or university courses, authorship, and self-study programs.

In April 2005, NASP's professional development guidelines were further defined with the establishment of the NASP-Approved Provider program. The purpose of the NASP-Approved Provider program is to promote NASP's professional standards, to assist school psychologists in accessing high-quality professional development activities that will enhance their professional growth, and to recognize other organizations that adopt NASP guidelines for the provision of professional development activities. By seeking professional development from NASP-Approved Providers, school psychologists will be assured the activities meet NASP standards for professional development. The approved provider application and two-year update processes help ensure appropriate instructional level, content, documentation, and administrative practices. However, it is the responsibility of the individual school psychologist to evaluate whether a given activity is appropriate for meeting his or her own professional development needs.

In July 2006, the NSPCB approved a proposal to begin requiring NCSPs to obtain a portion

of the 75 hours of professional development required for their NCSP renewal from a NASP-Approved Provider or an APA Continuing Education Sponsor. Those renewing the credential in 2010 and later years must have at least 10 NASP- or APA-approved contact hours. Plans to gradually increase the required number of hours were put on hold by the NSPCB in March 2010.¹

B. Types of NASP-Approved Providers

NASP itself and NASP-approved graduate education programs are regarded as de facto approved providers of continuing professional development. In addition, the following types of organizations may apply to become NASP-Approved Providers:

1. International, state, regional, and local associations of school psychologists
2. School psychology graduate education programs that are not yet NASP approved
3. School districts, colleges, and universities
4. Related national professional associations and organizations
5. Public agencies, private organizations, and qualified individuals

These five types of approved providers must submit an initial application for approval (see Section D below) and then submit an Update Form every two years to document continued compliance with APS guidelines.

C. Responsibilities of the NASP-Approved Provider

Providing high-quality professional development for school psychologists requires effective administrative support and program management. When applying to become a NASP-Approved Provider, organizations or individuals must document that they:

1. Have designated an individual to coordinate their professional development program and be responsible for compliance with NASP professional development standards and Approved Provider System procedures
2. Involve school psychologists in needs assessment and all other aspects of their program planning for school psychologists
3. In accordance with the Americans with Disabilities Act, provide accommodations to program participants who have physical disabilities or sensory impairments
4. Make available to participants a written procedure for addressing any participant complaints in a timely and responsive manner and a cancellation and refund policy
5. Accurately describe in promotional materials the nature of the professional development activity with regard to target audience, learning objectives, schedule, instructional format, instructor credentials, contact hours, and fees
6. Disclose to potential participants any commercial support for professional development activities and any potential conflicts of interest on the part of the provider or its presenters, including any commercial interest in tests, instructional materials, or other products to be discussed
7. Utilize a cosponsorship agreement when appropriate

¹ Current information about NCSP renewal requirements is available at www.nasponline.org/certification

D. Application Process

Applications for the Approved Provider System may be submitted at any time. Application instructions, an Initial Application Form, and sample completed applications are available at www.nasponline.org/profdevel/approvedprovider. As described in the instructions, applications may be submitted in digital form. In order to be considered, the application must be complete and include the nonrefundable application fee (if applicable). Applicants should be certain that they meet all criteria for becoming approved providers before submitting their application. *Efforts will be made to provide a response within 6–8 weeks following receipt of the application.*

Applications are reviewed by at least two reviewers who are school psychologists and knowledgeable about continuing professional development and the Approved Provider System. When reviews have been completed, applications can be:

Approved: When approved, a provider will receive a NASP-Approved Provider identification number, which must appear on the attendance verification forms that are issued to participants. Approved providers will be listed on the NASP website along with links to their webpages.

Conditionally Approved: Providers receiving conditional approval will be asked to submit a status update describing how they have addressed issues that resulted in conditional status within six (6) months of notification of conditional approval. Upon receiving approval, these providers would complete the Update Form based on the date of their initial review. Providers receiving conditional approval will also receive a NASP-Approved Provider identification number.

Not Approved: Applicants denied approval may appeal the decision as described below (Section E).

E. Appeal Process

Decisions to deny approval of an application will be explained in a letter. Applicants have 30 days from the postmark on the notification letter to submit an appeal to the Chair of the NASP Professional Growth Workgroup. The appeal should include additional documentation addressing the issues raised by the review committee in its letter denying approval. *Applicants will be notified of the results of their appeal within six weeks of its receipt.* If, following this review, the Chair upholds the previous decision, the applicant may make an appeal to the NASP Executive Council by contacting the NASP President.

F. Maintenance of Approved Provider Status

Following initial approval, NASP-Approved Providers submit an Update Form electronically along with a maintenance fee of \$100 every two years. Continued approval is contingent on approval by the NASP Professional Growth Workgroup. Providers may choose to discontinue approved provider status at any time by providing written notice to the NASP Professional Growth Chair.

As of October, 2010, the NASP-Approved Provider System implements a biannual (twice per year) review of Update Forms. Each approved provider will be placed into one of these renewal cycles, with either April 1st or October 1st as the submission dates. The renewal cycle and year assigned to each provider will be based upon the date of initial approval. For example, if a provider submits an application February 5, 2010, they would be asked to submit an Update Form by April 1, 2012.

The Update Form will be e-mailed at least two months prior to the renewal date. Providers should complete and return the form with the required documentation and the \$100 maintenance fee before their renewal date. Providers that do not submit Update Forms by the assigned deadline will be considered as expired until the Update Forms are received and reviewed. Required documentation will include:

1. A list of all activities presented in the previous year with date, title, and number of attendees, along with the number of domains (see Section I) corresponding to program content
2. A description of any anticipated changes in the professional development program since the date of last approval (administrative and/or content related)
3. Documents associated with professional development activities (e.g., program announcements and registration forms, program brochures, evaluation forms, summary of evaluations, and how you intend to use evaluations to plan future professional development activities)
4. Response to issues or recommendations related to a prior application review

Providers will be notified of any concerns raised by their Update Form and asked to address those concerns. A time line for addressing concerns will be determined on a case-by-case basis. *Efforts will be made to provide a response to the Update Form within 4–6 weeks following receipt.*

Because of their accountability to the NASP Program Approval Board, NASP-approved graduate education programs are *not* required to submit the Update Form or maintenance fee.

G. FEES

Application fee: This \$400 fee is paid at the time of initial application. *This fee is waived for NASP-affiliated state associations* and not required from NASP-approved graduate education programs.

Maintenance fee: The maintenance fee for NASP-Approved Providers is \$100 and is due every two years with the Update Form. This fee is not required from NASP-approved graduate education programs.

The NASP Executive Council reserves the right to change these fees at any time, and will provide timely written notice to all approved providers if a fee change becomes necessary.

H. NASP Guidelines for CPD Activities

NASP-Approved Providers do not require approval from NASP for each activity they offer to school psychologists. Providers must determine which activities offered by their organization or institution meet the current guidelines. All of the following guidelines must be met to grant approved CPD credit to school psychologists for a particular activity:

1. The activity must fall within an approved content area (See Section I).
2. The activity's instructional level must be appropriate for credentialed school psychologists.
3. The activity must enhance school psychologists' professional knowledge, competencies, or skills.
4. The activity must have stated learning objectives related to one or more of the approved

content areas.²

5. The activity must be one hour or more in duration.
6. Instructors must have training and/or experience that qualifies them to be considered experts in the subject matter being taught.
7. The provider and instructors comply with guidelines regarding financial conflict of interest disclosure. (see Section C-6)
8. The provider must verify attendance and provide documentation of completion.
9. The provider requires participants to complete evaluations of the activity, including the extent to which learning objectives are met.
10. The activity is not a business meeting, professional committee meeting, administrative meeting, or a presentation intended primarily for a lay audience.
11. The activity is conducted in compliance with NASP *Principles for Professional Ethics* (available at www.nasponline.org/standards/2010standards.aspx).

I. Approved Content Areas

NASP-Approved Providers' professional development activities should address one or more of the following professional practices. Comprehensive descriptions and examples of these professional practices are included in the NASP *Model for Comprehensive and Integrated School Psychological Services (2010)*.

Practices That Permeate All Aspects of Service Delivery

Data-Based Decision Making and Accountability

School psychologists have knowledge of varied models and methods of assessment and data collection methods for identifying strengths and needs, developing effective services and programs, and measuring progress and outcomes. As part of a systematic and comprehensive process of effective decision making and problem solving that permeates all aspects of service delivery, school psychologists demonstrate skills to use psychological and educational assessment, data collection strategies, and technology resources and apply results to design, implement, and evaluate response to services and programs.³

Consultation and Collaboration

School psychologists have knowledge of varied models and strategies of consultation, collaboration, and communication applicable to individuals, families, groups, and systems and methods to promote effective implementation of services. As part of a systematic and comprehensive process of effective decision making and problem solving that permeates all aspects of service delivery, school psychologists demonstrate skills to consult, collaborate, and communicate effectively with others.

Direct and Indirect Services for Children, Families, and Schools: Student-Level Services

Interventions and Instructional Support to Develop Academic Skills

School psychologists have knowledge of biological, cultural, and social influences on academic skills; human learning, cognitive, and developmental processes; and evidence-based curricula and instructional strategies. School psychologists, in collaboration with

² Examples of appropriate learning objectives are available at www.nasponline.org/profdevel/approvedprovider

³ Examples of professional practices associated with each component of the model are provided in the complete version of the *Model* available at www.nasponline.org/standards/2010standards.aspx

others, demonstrate skills to use assessment and data collection methods and to implement and evaluate services that support cognitive and academic skills.

Interventions and Mental Health Services to Develop Social and Life Skills

School psychologists have knowledge of biological, cultural, developmental, and social influences on behavior and mental health, behavioral and emotional impacts on learning and life skills, and evidence-based strategies to promote social–emotional functioning and mental health. School psychologists, in collaboration with others, demonstrate skills to use assessment and data-collection methods and to implement and evaluate services that support socialization, learning, and mental health.

Direct and Indirect Services for Children, Families, and Schools: Systems-Level Services

School-Wide Practices to Promote Learning

School psychologists have knowledge of school and systems structure, organization, and theory; general and special education; technology resources; and evidence-based school practices that promote learning and mental health. School psychologists, in collaboration with others, demonstrate skills to develop and implement practices and strategies to create and maintain effective and supportive learning environments for children and others.

Preventive and Responsive Services

School psychologists have knowledge of principles and research related to resilience and risk factors in learning and mental health, services in schools and communities to support multitiered prevention, and evidence-based strategies for effective crisis response. School psychologists, in collaboration with others, demonstrate skills to promote services that enhance learning, mental health, safety, and physical well-being through protective and adaptive factors and to implement effective crisis preparation, response, and recovery.

Family–School Collaboration Services

School psychologists have knowledge of principles and research related to family systems, strengths, needs, and culture; evidence-based strategies to support family influences on children’s learning and mental health; and strategies to develop collaboration between families and schools. School psychologists, in collaboration with others, demonstrate skills to design, implement, and evaluate services that promote family and school partnerships, as well as interactions with community agencies, to enhance academic and social–behavioral outcomes for children.

Foundations of School Psychological Service Delivery

Diversity in Development and Learning

School psychologists have knowledge of individual differences, abilities, disabilities, and other diverse characteristics; principles and research related to diversity factors for children, families, and schools, including factors related to culture, context, and individual and role differences; and evidence-based strategies to enhance services and address potential influences related to diversity. School psychologists demonstrate skills to provide effective professional services that promote effective functioning for individuals, families, and schools with diverse characteristics, cultures, and backgrounds and across multiple contexts, with recognition that an understanding and respect for diversity in development and learning and advocacy for social justice are foundations for all aspects of service delivery.

Research and Program Evaluation

School psychologists have knowledge of research design, statistics, measurement, varied data collection and analysis techniques, and program evaluation sufficient for understanding research and interpreting data in applied settings. School psychologists demonstrate skills to evaluate and apply research as a foundation for service delivery and, in collaboration with others, use various techniques and technology resources for data collection, measurement, and analysis to support effective practices at the individual, group, and/or systems levels.

Legal, Ethical, and Professional Practice

School psychologists have knowledge of the history and foundations of school psychology; multiple service models and methods; ethical, legal, and professional standards; and other factors related to professional identity and effective practice as a school psychologist. School psychologists demonstrate skills to provide services consistent with ethical, legal, and professional standards; engage in responsive ethical and professional decision-making; collaborate with other professionals; and apply professional work characteristics needed for effective practice as a school psychologist, including respect for human diversity and social justice, communication skills, effective interpersonal skills, responsibility, adaptability, initiative, dependability, and technology skills.

In addition to demonstrating that they provide content within these broad domains of graduate education and practice, applicants for NASP-Approved Provider status may be asked to justify the appropriateness of any specific program content.

J. Types of Professional Development Activities

NASP recognizes many types of activities as appropriate for school psychologists' professional development including, for example, supervision of graduate students and professional organization leadership.⁴ However, NASP-Approved Providers may *only* grant approved CPD credit for:

- Workshops, conferences, and convention sessions
- Real-time, online activities such as “Webinars” or “Live Webcasts” which permit interaction with the presenter or other participants
- Multimedia self-study packages or “modules” developed and published to provide training in specific knowledge or skill areas. Such modules are typically distributed via the Internet and usually feature audio and/or video presentations, synchronized PowerPoint slides, downloadable handouts, Web links to supplemental information, and opportunities to interact with the presenter via e-mail or other means. Online self-study modules must have a posttest to assess learning (See Section K. Program Evaluation).

Providers are responsible for ensuring that all activities for which approved CPD credit is granted, regardless of delivery format, meet *all* program guidelines included in this document, especially those listed in Section H. Questions regarding the appropriateness of an activity or product for approved CPD credit should be directed to the Chair of the Professional Growth Committee.

K. Program Evaluation

⁴ The NCSP Renewal Guidelines, available at www.nasponline.org/certification/renew_overview.aspx, provide detailed descriptions of these categories and specify how many hours of each may be applied toward the 75 hours required every three years.

NASP-Approved Providers evaluate *all* professional development activities to determine participant satisfaction and the extent to which learning objectives are met. Evaluation results should be used to improve the professional development program. Evaluations of participant satisfaction should, at a minimum, include questions about the setting and the instructor’s knowledge and teaching effectiveness. Assessments of participants’ learning typically comprise questions on evaluation forms regarding learning objectives. Providers may use alternative assessment methods, including posttests when appropriate.

Professional development activities that are completed by “self-study” or “home study” require at least one hour of content followed by completion of a posttest by the participant to assess learning. The posttest should be of sufficient detail and depth (minimum of 8 questions) to assess participants’ level of learning. Approved providers must specify a passing grade criterion for these posttests (suggested minimum 75% accuracy). *Only archived recordings, Webinars, Webcasts, or podcasts may qualify for NASP-approved self-study CPD hours. Self-study through reading articles, books, or other scholarly materials may not be submitted for NASP-approved CPD hours.*

When approved CPD credit is offered for selected sessions at a convention or conference, each session must be evaluated separately.

For conferences that have multiple workshops and presentations, please identify which meet criteria for NASP-approved CPD hours. Providers wishing to offer documentation of attendance for an entire conference may use the Convention Form.⁵

Approved providers must maintain evidence of the evaluation results (e.g., sample evaluation forms, summary of evaluation data) for a four-year period.

L. Documentation of Participation in CPD Activities

NASP-Approved Providers are required to provide documentation of participation to each participant in a timely manner, but are not expected to send such documentation to NASP. Participants should be reminded to keep the original documentation for use in renewing the NCSP and state credentials. Approved providers are expected to keep a roster of participants for a four-year period to be able to verify a school psychologist’s participation in an activity.

Documentation of approved CPD for “self-study” or “home study” activities may only be granted to participants passing the required posttest at an acceptable level.

Documentation of approved CPD credit for most activities should be in the form of a letter on the approved provider’s letterhead that includes the following information: title of the activity, presenter, date, credit hours awarded, and approved provider statement (with the provider’s number). Documentation should *not* appear to be a certificate designating competence in specific skill areas unless the provider actually evaluates and intends to document competence.⁵

M. Awarding Approved CPD Credit

One hour of approved CPD credit is granted for each contact hour of participation. Contact hours are defined as the actual number of clock hours spent as a learner in direct participation in a structured educational format.⁶ When calculating CPD credit, time spent in breaks and social

⁵ Sample documentation is available at www.nasponline.org/profdevel/approvedprovider

⁶ Providers should not use the term “Continuing Education Unit” (CEU) when referring to their programs. A CEU is equivalent to 10 contact hours or 10 continuing education credits.

activities should be deducted. Total actual contact time for the activity must be one hour or more in duration to receive credit. Assuming activities are at least one hour in total, providers can include portions of a full hour, rounding to the nearest quarter of an hour. Approved CPD credit should be awarded only to those participants who attend the *entire* activity and complete an evaluation form.

Workshops. Upon completion of the activity (and an evaluation), each participant should be given documentation of his or her participation. A separate form should be used for each activity. For example, if an activity includes a keynote session (of at least one hour duration) and two break-out sessions, separate evaluations should be completed for each session, and documentation would be provided for three activities.

Conference and Convention Sessions. Providers are responsible for ensuring that each session for which approved CPD credit will be granted meets the guidelines in Section H. Although it is administratively difficult to verify attendance, complete evaluations, and distribute attendance documentation in a typical conference breakout session, this is required. Conference participant self-documentation of attendance is not sufficient for NASP-approved CPD credit.

Multimedia Self-Study Modules. Approved CPD credit is provided only for actual instructional time. For self-study modules, providers should have a method for determining the appropriate amount of credit. Field testing, for example, would be a justifiable method. This type of activity requires a posttest (See Section K. Program Evaluation) and credit must not be granted until the test is completed at a passing level.

N. Advertising NASP-Approved Provider Status

When providers advertise their NASP-Approved Provider status in promotional materials, they should include the following statement:

(Provider's name) is approved by the National Association of School Psychologists to offer professional development for school psychologists. (Provider's name) maintains responsibility for the program."

Providers may adapt this statement as needed to include other organizations for which they are also an approved provider of professional development activities. NASP-Approved Providers may use the NASP logo (subject to NASP policies on the use of the logo) when promoting their activities as providers of professional development.

O. Graduate Education Programs

NASP-approved school psychology graduate education programs are automatically considered NASP-Approved Providers. Other school psychology graduate education programs may apply for this status. These approvals, however, do not apply to the entire college or university in which the program is located. Graduate education programs may collaborate with other departments to cosponsor professional development activities for school psychologists as discussed below but must be responsible for ensuring that all such activities are in compliance with NASP guidelines.

School psychology graduate education programs may not share their NASP-Approved Provider status with organizations outside the university, but may cosponsor activities with those organizations as discussed below.

P. Cosponsorship

When cosponsoring a professional development activity, NASP-Approved Providers maintain full responsibility for the activity while collaborating with one or more organizations to provide approved CPD credit for school psychologists. Cosponsorship is appropriate when it enables organizations to share financial, administrative, instructional, and other resources in a combined effort to offer high-quality professional development.

The NASP-Approved Provider must have a prior written agreement with the cosponsor that includes:

1. Clarification of the responsibilities of each organization, including financial, administrative, instructional, and others.
2. Involvement of the approved provider in all aspects of program planning. A cosponsorship relationship must be established *prior to or during* the planning stages of an activity at a point where contributions and changes can still be made.
3. The approved provider must ensure that the NASP *Principles for Professional Ethics* are upheld.
4. In cases where each organization is NASP-approved, there must be written documentation regarding which organization will accept and maintain responsibility for various aspects of the activity.

Cosponsorship requires mutually planning an activity. Cosponsorship is not to be construed as lending or transferring approval status. It does not permit the NASP-Approved Provider to act as an “approval body” by reviewing a program or organization and then stating that it is, in turn, approved by NASP. A NASP-Approved Provider must assume the same responsibilities and liabilities when cosponsoring an activity as if they were the sole provider. Cosponsored programs must fulfill professional development objectives and meet all criteria as set forth in this document.

Q. Resolution of Issues and Problems

NASP’s Professional Growth Chair may investigate any complaints made in writing by participants in programs offered by approved providers. The chair may contact the approved provider in writing for information. The identity of the complainant will not be revealed. The provider will have 30 days to respond to the inquiry letter.

If the chair determines the provider has acted in a manner not consistent with NASP’s policies and procedures, the chair may place the provider on probation or terminate its approved provider status. The complainant will be notified in writing of the decision. Providers whose approved provider status has been terminated may appeal that decision to the NASP Executive Council by contacting the NASP President.

An approved provider may be placed on probation if goals, planning, administration, evaluation, or other procedures are inconsistent with those described in the current NASP-Approved Provider policies and guidelines, or if the professional development activities fall below acceptable standards of quality. The reasons for probation, as well as the date by which the deficiency (or deficiencies) must be rectified, will be specified in a written report to the provider. The provider must produce evidence of compliance with the requirement(s) that were found to be deficient by the specified date. Failure to do so will result in the discontinuance of provider approval. If approval is withdrawn, any fees paid to NASP by the provider will be forfeited.

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1625 North Market Blvd., Suite S-200
Sacramento, CA 95834
(916) 574-7830, (916) 574-8625 Fax
www.bbs.ca.gov

To: Committee Members **Date:** May 18, 2012

From: Marina Karzag **Telephone:** (916) 574-7830
Policy and Statistical Analyst

Subject: **American Psychological Association Continuing Education Sponsor Approval Program**

Program Information

The American Psychological Association's (APA) Continuing Education (CE) provider approval program utilizes a CE Committee to develop policy and program recommendations and implement those policies and recommendations, including the review of CE provider applications. Throughout the approval process, the Committee reviews the program's activities and framework to determine compliance with the APA's standards and criterion.

CE provider applicants must involve a doctoral level psychologist in the development and implementation of the program. Applicants must demonstrate that program content is based on a methodological, theoretical, research or practice knowledge base. Applicants must offer program content that builds upon the foundation of a completed doctoral program in psychology.

A provider is first granted a two year preliminary approval followed by either a five year approval or a probationary approval for up to two years, during which time the provider must submit annual reports. The annual report must include a list of all activities offered for credit in the previous year and all activities intended to be offered over the next year. The APA may review any activities that appear to be in violation of the standards and criteria.

A provider must submit an annual fee with the annual report but only applies for renewal every five years.

Providers may apply for an inactive status for a one year period and pay half of the active annual fee.

Aspects of the Program that Respond to Concerns Regarding the BBS CE Program

The APA's approval process allows for regular review of all program activities. This allows the APA to ensure all activities offered by the CE provider comply with the APA's requirements. The APA also has the authority to review any activities that may be in violation of its standards. This type of authority to review all activities offered throughout the approval process and as needed is not part of BBS' current CE provider program. By requiring an annual report, the APA is kept aware of any changes to the provider's activities.

Attachments

- A. Standards and Criteria for Approval of Sponsors of Continuing Education for Psychologists
- B. American Psychological Association Approval of Sponsors of Continuing Education for Psychologists:
Policies and Procedures Manual



Standards and Criteria for Approval of Sponsors of Continuing Education for Psychologists

February 2009



AMERICAN
PSYCHOLOGICAL
ASSOCIATION

AMERICAN PSYCHOLOGICAL ASSOCIATION
CONTINUING EDUCATION SPONSOR APPROVAL SYSTEM

Standards and Criteria

February 2005

PREFACE

This document is the most recent revision of the document originally entitled *APA Approval of Sponsors of Continuing Education for Psychologists*, first approved by the American Psychological Association Council of Representatives in January 1987.

This revision is effective as of April 1, 2005, and supersedes all previous versions.

TABLE OF CONTENTS

SECTION ONE

	Page
A. Introduction.....	1
B. Background of the APA Sponsor Approval System (SAS)	1

SECTION TWO Standards and Criteria

Standard A (Goals)	3
Standard B (Program Management)	5
Standard C (Educational Planning and Instructional Methods).....	7
Standard D (Curriculum Content).....	9
Standard E (Program Evaluation)	11
Standard F (Standards for Awarding Credit)	13
Standard G (Promotion and Advertising of Programs).....	15

APA SPONSOR APPROVAL SYSTEM STANDARDS AND CRITERIA

SECTION ONE

A. INTRODUCTION

The American Psychological Association (APA), founded in 1892, is the largest psychological organization in the United States. According to the APA By-Laws, Article I.1:

The objects of the American Psychological Association shall be to advance psychology as a science and profession and as a means of promoting health, education and human welfare by the encouragement of psychology in all its branches in the broadest and most liberal manner; by the promotion of research in psychology and the improvement of research methods and conditions; by the improvement of the qualifications and usefulness of psychologists through high standards of ethics, conduct, education, and achievement; by the establishment and maintenance of the highest standards of professional ethics and conduct of the members of the association; by the increase and diffusion of psychological knowledge through meetings, professional contacts, reports, papers, discussions, and publications; thereby to advance scientific interests and inquiry, and the application of research findings to the promotion of health, education and the public welfare.

B. THE APA CE SPONSOR APPROVAL SYSTEM (CE-SAS) AND THE APA CONTINUING EDUCATION COMMITTEE

APA recognizes the responsibility of psychologists to continue their educational and professional development, building upon the foundations of a completed doctoral program in psychology. The APA CE Sponsor Approval System and the APA Continuing Education Committee work together to establish standards for those organizations wishing to offer continuing education for psychologists and to maintain the highest level of quality in those programs.

Mission Statement of the Continuing Education Committee

The Continuing Education Committee shall have responsibility for developing policy and program recommendations for the Association's continuing education program and for working collaboratively with the APA Office of Continuing Education in Psychology and CE Sponsor Approval System to implement these policy and program recommendations. The Committee's tasks shall include, but not be limited to, (a) developing and delivering continuing education programs and products; (b) providing educational and technical assistance to APA Directorates, Divisions, State Associations, and other sponsors; (c) collaborating with organizations that seek to become approved sponsors of continuing education; (d) providing review of all APA approved sponsors and organizations seeking APA sponsor approval; (e) periodically reviewing the Association's sponsor approval guidelines, and (f) identifying, promoting, implementing and evaluating research, development and innovations in continuing education.

Definition of Continuing Education for Psychologists

Continuing education (CE) in psychology is an ongoing process consisting of formal learning activities that (1) are relevant to psychological practice, education and science, (2) enable psychologists to keep pace with emerging issues and technologies, and (3) allow psychologists to maintain, develop, and increase competencies in order to improve services to the public and enhance contributions to the profession.

Continuing education builds upon a completed doctoral program in psychology. It is **not** a substitute for the basic academic education and training needed for entry to the field of psychology, **nor** should it be the primary vehicle for career changes from one APA-recognized specialty area (e.g. clinical, counseling, school psychology) to another.

SECTION TWO

AMERICAN PSYCHOLOGICAL ASSOCIATION SPONSOR APPROVAL SYSTEM

STANDARDS AND CRITERIA

Sponsors must meet the Standards provided below in order to receive approval from the American Psychological Association as a sponsor of continuing education for psychologists. Each standard includes a general principle followed by the related criterion/criteria. These Standards, Principles, and Criteria are applicable to all CE programs offered to psychologists under the auspices of APA approval.

Association Rule 120-4 gives responsibility for the provision of educational and technical assistance concerning continuing education to the Continuing Education Committee, and the commentary following each standard is provided pursuant to that authority granted to the Committee by the APA Council of Representatives. The various boxes containing educational and technical assistance do not contain Standards of the Sponsor Approval System and, as such, are not approved by Council. They are designed to provide a living document elaborating upon, interpreting and operationally defining the Standards to provide such educational and technical assistance to sponsors. The Continuing Education Committee may revise them from time to time.

Standard A: Goals

PRINCIPLE

Continuing education in psychology builds upon a completed doctoral program in psychology.

Continuing education (CE) in psychology is an ongoing process consisting of formal learning activities that (1) are relevant to psychological practice, education and science, (2) enable psychologists to keep pace with emerging issues and technologies, and (3) allow psychologists to maintain, develop, and increase competencies in order to improve services to the public and enhance contributions to the profession.

CRITERION

1. Sponsors must have a statement of goals for their CE program that reflects this Principle.

Educational and Technical Assistance

Many approved sponsors offer continuing education programs to a wide target audience, and there are other professional licensing boards that accept CE credits earned from APA-approved sponsors (although the licensing board in question should be contacted directly for further information). Keeping in mind that CE programs may be offered to professionals across a range of disciplines, for this purpose the goal of a CE program must specifically address the learning needs of psychologists.

Sponsors must have a goals statement that reflects the type and nature of its CE offerings and target audience.

Standard B: Program Management

PRINCIPLE

Effective program management is essential for maintaining the highest quality in continuing education programs for psychologists.

CRITERIA

1. Sponsors must include the direct input of psychologists in all phases of the decision-making and program-planning process for the activities offered to psychologists for CE credit.
2. Sponsors must have a clearly designated program administrator who is responsible for ensuring that the organization meets the Standards described in this document.
3. Sponsors must ensure the security of tests and proprietary information, and the confidentiality of individuals and organizations.
4. Sponsors must have written procedures for addressing participant complaints in a reasonable, ethical, and timely fashion.
5. Sponsors must select instructors and develop program materials that respect cultural, individual, and role differences, including those based on age, gender, gender identity, race, ethnicity, culture, national origin, religion, sexual orientation, disability, language, and socioeconomic status.
6. Sponsors must make all CE programs accessible to individuals with disabilities, according to the requirements of the Americans with Disabilities Act.
7. Sponsors must adhere to all Standards in this document in all aspects of CE programs offered under the auspices of their APA approval.

Educational and Technical Assistance

Psychologists must have input in all phases of the decision-making and program-planning process for the activities offered to psychologists for CE credit. This can be achieved in a variety of ways, including involvement by psychologists on staff, advisory boards, or planning committees. In cases where the organization is owned and operated by one psychologist, it is strongly recommended that an advisory board be used to provide feedback regarding program planning and areas where a conflict of interest might occur (e.g., resolution of participant complaints). Involvement must be on an active and on-going basis.

Inherent in adhering to the Principle of Standard B is the sponsor's responsibility to maintain a continuing awareness of the policies and procedures of the APA Sponsor Approval System. This includes, but is not limited to, having a copy of the most recent submissions to the Sponsor Approval System (application, status report, etc.), being aware of report and fee submission deadlines, and keeping the Sponsor Approval System aware of any changes in contact information so that we may inform your organization of these deadlines in a timely manner. Sponsors must have a clearly designated administrator of the program, although it is not required that this individual be a psychologist.

Examples of possible areas of concern as it relates to confidentiality include materials kept in offices, information and materials imparted during programs, etc.

Sponsors are required to have written procedures for dealing with participant complaints. While these procedures need not be elaborate, they must clearly indicate the steps that will be taken to resolve complaints, and these procedures must be available in written format for anyone who requests them. See the application for becoming an approved sponsor for a sample grievance procedure.

In order to make available high-quality CE programs to as many psychologists as possible, sponsors are encouraged to jointly collaborate with other organizations as appropriate. "Joint collaboration" should be understood as the mutual planning of an activity by two or more organizations. Regardless of the level of involvement of the sponsor, however, it is ultimately the responsibility of the approved sponsor to ensure that all the Standards of the APA Sponsor Approval System are met. Any degree of joint collaboration does not, in any way, absolve the sponsor of its responsibilities as an approved sponsor

Sponsors are required to make their programs accessible to all individuals. Facilities used by a sponsor must be in compliance with the Americans with Disabilities Act. Sponsors must also, to the best of their ability, provide accommodation for individuals with sensory impairments.

Standard C: Educational Planning and Instructional Methods

PRINCIPLE

Successful continuing education in psychology requires: (1) careful educational planning that results in a clear statement of educational objectives; (2) the selection of appropriate instructional methods to achieve those objectives; and (3) the selection of instructional personnel with demonstrated expertise in the program content.

CRITERIA

1. Sponsors must develop educational objectives that clearly describe what participants are expected to learn.
2. Sponsors must select instructors with expertise in the program content and who are competent to teach this program content at a level that builds upon a completed doctoral program in psychology.

Educational and Technical Assistance

Every program offered for CE credit must have predetermined learning objectives. Rather than a description of topics to be covered, learning objectives should clearly define what the participant will know or be able to do as a result of having attended the program, and these objectives must be stated in measurable terms. As a guideline, there should be three to four objectives for a four hour program; five to six objectives for a seven to eight hour program, etc.

CE activities can be delivered via numerous methods which include, but are not limited to: workshops, seminars, conferences, conventions, grand rounds, lectures, books, videotapes, audiotapes, CD-ROMs, and web-based activities. All CE activities, regardless of the delivery method, must adhere to the Standards of the APA Sponsor Approval System.

Although it is not required that instructors be psychologists, they must have expertise and be competent in the areas in which they teach. Expertise might be demonstrated by some combination of the following: relevant educational experience such as holding a doctoral degree in psychology, review of records of previous teaching experiences, years of clinical experience, publications in areas relevant to the content being taught, evaluation forms from previously offered programs, personal knowledge of the instructor's teaching ability, and references.

Writing Behavioral Learning Objectives and Assessments

- Learning objectives, or learning outcomes, are statements that clearly describe what the learner will know or be able to do as a result of having attended an educational program or activity.
- Learning objectives must be *observable and measurable*.
- Learning objectives should (1) focus on the learner, and (2) contain action verbs that describe measurable behaviors
- Verbs to consider when writing learning objectives:
 - ✓ list, describe, recite, write
 - ✓ compute, discuss, explain, predict
 - ✓ apply, demonstrate, prepare, use
 - ✓ analyze, design, select, utilize
 - ✓ compile, create, plan, revise
 - ✓ assess, compare, rate, critique
- Verbs to avoid when writing learning objectives
 - know, understand
 - learn, appreciate
 - become aware of, become familiar with
- Example of well-written learning objectives:

This workshop is designed to help you:

 1. Summarize basic hypnosis theory and technique;
 2. Observe demonstrations of hypnotic technique and phenomena;
 3. Recognize differences between acute and chronic pain;
 4. Utilize hypnosis in controlling acute pain;
 5. Apply post-hypnotic suggestions to chronic pain; and
 6. Practice hypnotic technique in dyads.
- Objective learning assessments should be written in a manner that determines whether participants learned what you planned to teach them. The evaluation (or learning assessment) should be based on the stated learning objectives of the program.

- Example of well-written learning assessment:

Based on the content of the workshop, I am able to:	<u>Strongly Agree</u> <u>Strongly Disagree</u>				
1. Describe at least two theoretical approaches to hypnosis;	5	4	3	2	1
2. Employ at least two hypnotic induction techniques;	5	4	3	2	1
3. Explain how psychological approaches differ when applied to acute vs. chronic pain;	5	4	3	2	1
4. Demonstrate a technique for applying hypnosis to acute pain;	5	4	3	2	1
5. Provide a post-hypnotic suggestion for controlling chronic pain; and	5	4	3	2	1
6. State that I had the opportunity to practice the technique during the workshop.	5	4	3	2	1

Standard D: Curriculum Content

PRINCIPLE

The content of continuing education is the crucial component of programs intended to maintain, develop, and increase conceptual and applied competencies that are relevant to psychological practice, education, and science. CE programs may include content related to well-established psychological principles, or may be based on content that extends current theory, method, or practice. CE programs may provide information related to ethical, legal, statutory or regulatory policies, guidelines, and standards that impact psychology.

CRITERIA

1. Sponsors must be prepared to demonstrate that information and programs presented are based on a methodological, theoretical, research, or practice knowledge base. This requirement must be met by at least one of the following:
 - 1.1. Program content has obtained credibility, as demonstrated by the involvement of the broader psychological practice, education, and science communities in studying or applying the findings, procedures, practices, or theoretical concepts;
 - 1.2. Program content has been supported using established research procedures and scientific scrutiny;
 - 1.3. Program content has peer reviewed, published support beyond those publications and other types of communications devoted primarily to the promotion of the approach;
 - 1.4. Program content is related to ethical, legal, statutory or regulatory policies, guidelines, and standards that impact psychology.
2. Sponsors are required to ensure that instructors, during each CE presentation, include statements that describe the accuracy and utility of the materials presented, the basis of such statements, the limitations of the content being taught, and the severe and the most common risks.
3. Sponsors must offer program content that builds upon the foundation of a completed doctoral program in psychology.
4. Sponsors must be prepared to demonstrate that content is relevant to psychological practice, education, or science.
5. Sponsors must clearly describe any commercial support for the CE program, presentation, or instructor to program participants at the time the CE program begins. Any other relationship that could be reasonably construed as a conflict of interest also must be disclosed.

Educational and Technical Assistance

Program Content

Acceptable programs must adhere to the definition of continuing education in that they improve service to the public and enhance contributions to the profession. Determination of eligibility is not made on the basis of topic alone.

Because psychologists work in a variety of professional settings, sponsors are encouraged to offer a wide range of topics that can meet the diverse CE needs of psychologists. The Committee encourages innovative programs, assuming that Standard D is met.

Content related to the professional practice of psychology, business of practice, education, administration, conducting research, or career management programs should be carefully considered to determine whether or not the content of the programs can be deemed appropriate CE content for psychologists.

The responsibility is on the applicant to adequately establish the bridge between program content and the elements of the criteria. The more distant a topic appears from core disciplinary knowledge, the greater the responsibility of the sponsor to demonstrate the connection to improvement of services to the public and contributions to the profession. In addition to the response to Criterion D.1., appropriate content should be conveyed in program titles, learning objectives, and promotional materials.

Full Disclosure

Sponsors ensure that instructors provide a sufficient basis for the interpretation of program information by informing participants of limitations of the content being taught, including contradictory evidence and its source. For example, presentations that include discussions of clinical assessments, treatments, or interventions also describe the evidence for this information, including the basis (e.g., research, established psychological practice, clinical expertise, patient acceptability) of such descriptions or claims, their limitations, and the severe risks, if any, and also those risks that are most common.

Potential conflict of interest, commercial support, or commercial interest applies to sponsoring organizations, the presenter, and the content of the presentation. Sponsors should advise participants of the potential biases inherent in accepting inducements that might affect the selection of texts, the use of particular tests, and/or sponsorship of CE courses.

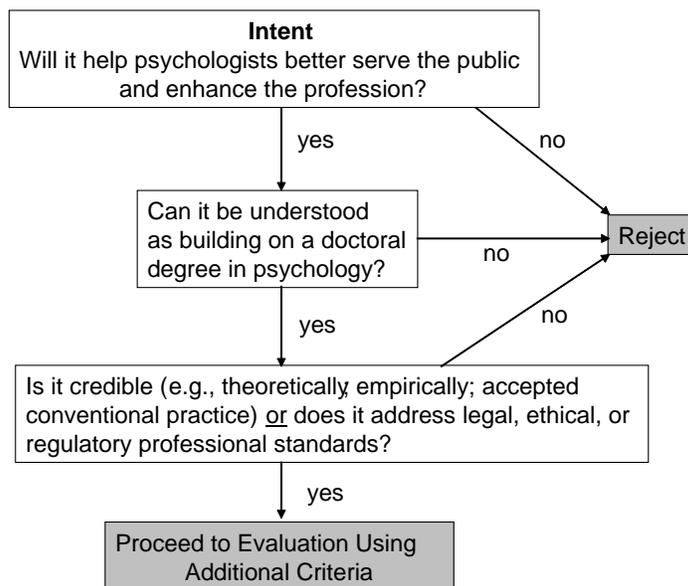
Sponsors are required to provide information that demonstrates their adherence to Standard D. In the normal course of program preparation, instructors should be able to provide information that demonstrates compliance with the standard. Sponsors could address this in some combination of the program learning objectives, participants' evaluation of content, citations to research references, or a clause in a contract with instructors.

Criteria and Processes for Determining Proposed Programs' CE-Eligibility

Acceptable programs must adhere to the definition of continuing education in that they improve service to the public and enhance contributions to the profession. Programs that address the personal or professional well-being of the psychologist must also demonstrate how they meet the above definition.

Determination of eligibility is not made on the basis of topic alone. The responsibility is on the applicant to adequately establish the bridge between program content and the elements of the criteria. The more distant a topic appears from core disciplinary knowledge, the greater the responsibility of the sponsor to demonstrate the connection to improvement of services to the public and contributions to the profession.

The CE Committee will use the *Standards and Criteria for Approval of Sponsors of Continuing Education* to evaluate proposals. In so doing, they will employ the following evaluative steps:



ILLUSTRATIVE EXAMPLE: *BUILDING YOUR PRACTICE*

Insufficient learning objectives

- Compare advantages and disadvantages of buying versus renting office space
- Learn to read a financial report
- Maximize income from managed care
- Develop successful strategies for locating subletters for office space
- Maximize case load through successful marketing
- Design promotions to attract the self-pay clientele

Acceptable learning objectives

- Identify the professional, legal and ethical issues related to buying versus renting office space
- List three regulatory issues concerning electronic medical records and billing systems
- Negotiate contracts for managed care services which maximize patient care
- Analyze and minimize confidentiality concerns involving shared office space
- Create ethically sound marketing tools and techniques
- Provide effective client advocacy to third party payors

Note: Insufficient learning objectives successfully articulate the advantages that might accrue to the practitioner, but do not extend these to underscore their value to the clients or the broader society that may follow from the knowledge gains associated with this program. Acceptable learning objectives, by comparison, clearly identify the broader contributions that might support the welfare of the consumer and the society by addressing ethical and regulatory implications associated with successful business practice.

Sample Response to D.1. – Course Content Requiring Citations

The demonstration of program credibility can include citations to relevant peer-reviewed research, and reference to broader, recognized traditions of research and theory, among others:

Example D.1. “The Use of Expressive Arts in Psychotherapy”

Insufficient Response

The use of expressive arts in psychotherapy has a longstanding tradition. Music, dance and other creative arts are valuable additions to successful psychotherapeutic practice. This program illustrates a range of expressive arts and their potential applications in the treatment of emotional distress.

Drawing from their extensive clinical experience, the presenters demonstrate a variety of expressive techniques that help open clients to new forms of mental health, adjustment, and optional functioning by helping them to recognize and experience their internal response.

This program is derived from the work of S. Smith, *Clinical Applications of the Expressive Arts* (New York: Stonewall Publications, 2000).

Acceptable Response

The use of expressive arts in psychotherapy has a longstanding tradition. Music, dance and other creative arts are valuable additions to successful psychotherapeutic practice. This program illustrates a range of expressive arts and their potential applications in the treatment of emotional distress.

Drawing from the fields of art therapy, dance therapy, and other allied fields of recreational and occupational therapy, this program overviews the historical traditions, current research findings, and practice knowledge that inform the application of arts in psychotherapeutic practice.

This program is derived from the following works:

McNamara and Scott (2000), *Historical Research in Music Therapy*, 3rd Edition.

Douglas, D.B., (2001). Effectiveness of the Expressive Arts in Psychotherapeutic Practice: Documentation of Research in Clinical Practice. *Journal of Arts in Medicine*, 3, 121-134.

Stanford, L.M. and Dickson, E.E. (2001). A controlled study of the effects of expressive arts as adjunctive techniques in psychotherapy. *Journal of Psychotherapy Research*, 33, 211-228.

Note: The insufficient program description draws primarily from presenter experience and only minimal, non peer-reviewed publications. The acceptable response clearly identifies relevant research literature that supports both the application of the expressive arts and their associated outcomes within relevant clinical contexts.

Illustrative Learning Objectives

Title: *Succeeding in an Academic Career*

At the conclusion of this program, participants will be able to:

Insufficient Learning Objectives

1. identify the advantages in advancing one's career of having a systematic research program
2. manage the complexities of scheduling research assistants, supervisees and other helpers
3. negotiate the ins and outs of getting publications and grants
4. discharge advising obligations while still having time to write
5. increase chances for retention, tenure, and promotion through understanding academic policies and the administrative structure

Acceptable learning objectives

1. identify the practical applications for teaching effectiveness of building a systematic research program
2. identify relevant ethical codes associated with research, clinical, or academic supervision with students
3. negotiate the regulatory and ethical information regarding publication and grant writing with colleagues or students
4. apply appropriate mentoring skills for maximal student growth
5. use an understanding of academic policies and the administrative structure to create more efficient classrooms and labs

Note: Insufficient learning objectives identify the advantages that might accrue to the individual faculty member, but fail to link these to improved services and the broader regulatory, ethical or professional issues that might also serve broader constituents within this context. By contrast, the acceptable learning objectives effectively tie the knowledge gains associated with this program to the effective functioning of the students and the administrative units associated with the faculty's functioning, and highlight the professional and scientific gains that would be expected to accrue as a result of the program.

Standard E: Program Evaluation

PRINCIPLE

Evaluation of CE programs is for the purpose of improving future programs.

CRITERIA

1. Sponsors must obtain the CE participants' evaluation as to how well each educational objective was achieved.
2. Sponsors must assess the participants' satisfaction, using a written evaluation form, with the overall program.
3. Sponsors must ensure that there is a method in place to assess what the participants have learned from the program.
4. Sponsors must use the results of the abovementioned evaluation processes to improve and plan future programs.

Educational and Technical Assistance

At a minimum, satisfaction evaluations should include assessment of the instructor's level of knowledge and expertise, and teaching ability. Activities longer than one hour may be broken into quarter hour increments. Effective satisfaction evaluations should provide feedback that is useful both to the sponsor and the instructor(s) for the purpose of planning and improving future programs. See the application for becoming an approved sponsor for sample participant satisfaction evaluation forms.

All programs, regardless of delivery method, require an assessment of participant learning. This assessment can be achieved in a variety of ways, and the method used should vary depending on the particular delivery method. Some ways of assessing learning include a question on the evaluation form regarding how much the participant has learned, post-tests, informal discussions between instructor(s) and participants, question and answer sessions at the end of a program, etc. Sponsors must be prepared to document the method being used.

CE programs that are not conducted in person require a different process for evaluating the effectiveness of the program. For these types of programs (e.g., books, audiotapes, videotapes, CD-ROMS, online [non-real time].), sponsors are required to assess achieved learning. This test must be of sufficient depth to adequately determine the level of learning that was achieved. There must also be a specified criterion for successful completion of the program (e.g., passing grade, see also Standard F. Standards for Awarding Credit). For programs that use essays to determine achieved learning, a grading grid must be provided.

For programs where credit is offered on a session-by-session basis (e.g., conferences, convention,), each session must be evaluated separately.

Standard F: Standards for Awarding Credit

PRINCIPLE

The awarding of CE credit is based on participation in learning activities offered in accordance with the Standards described in this document.

CRITERIA

1. Sponsors must award CE credit for psychologists on the basis of one credit per one hour of instructional time.
2. Sponsors must provide documentation to each participant that includes the APA approval statement, the name and date of the activity, the number of CE credits earned, and a signature or other verification from the sponsoring organization.
3. Sponsors must be able to verify the awarding of CE credit to participants and provide this verification to individuals who request it for at least three years after completion of the activity.

Educational and Technical Assistance

CE programs must be at least one hour in length. Activities longer than one hour may be broken into quarter hour increments.

Credit is awarded only for actual instructional time. For programs where instructional time is difficult to calculate (e.g., books, CD-ROMS, online), sponsors must have a method for determining the number of credits to offer and a rationale for this method. Sponsors are strongly encouraged to utilize field-testing when determining credits for these types of programs. For programs that require a test of achieved learning, the specified passing criterion must be met before credit may be awarded (See also Standard E Program Evaluation).

Variable credit for partial attendance may not be awarded.

For programs that involve a variety of sessions (e.g., conferences, conventions), credit should be awarded on a session-by-session basis. Each individual session for which credit is awarded must meet the Standards of the Sponsor Approval System, e.g., each session must have its own stated learning objectives, each session must be evaluated separately. Sponsors must have a system for determining which sessions were attended (e.g., sign-in sheet, credit log).

Full attendance is required for all CE activities, and sponsors must have a method for ensuring full attendance (sign-in/sign-out sheets, room monitors.). The Sponsor Approval System is aware that individuals will, on occasion, arrive late or leave early from a CE program. Sponsors should, within reason, evaluate each situation on a case-by-case basis when considering full attendance and the awarding of credit.

See the application for becoming an approved sponsor for a sample documentation of attendance letter.

Standard G: Promotion and Advertising of Programs

PRINCIPLE

CE promotional materials must contain accurate and complete information for potential program participants.

CRITERIA

1. Sponsors must clearly indicate how potential participants may obtain the following information prior to enrolling in a CE program:
 - a. Educational objectives;
 - b. A description of the target audience and the instructional level of the activity (introductory, intermediate, or advanced);
 - c. Schedule;
 - d. Cost, including all fees and the refund/cancellation policy;
 - e. Instructor credentials, including relevant professional degree and discipline, current professional position, and expertise in program content;
 - f. The number of CE credits offered for each activity;
 - g. A clear indication of any activities within a program that are not offered for CE credit.
2. Sponsors must make clearly evident to all potential participants, prior to registration, any known commercial support for CE programs or instructors. Any other relationships that could be reasonably construed as a conflict of interest also must be disclosed.
3. Sponsors must assure that when referring to APA approval, the correct statement is used in all promotional materials such as ads, brochures, and announcements. When referring to APA approval, the following statement must be used:

“(Organization name) is approved by the American Psychological Association to sponsor continuing education for psychologists. (Organization name) maintains responsibility for this program and its content.”

Educational and Technical Assistance

Although the information listed above under Criterion G.1. must be available to potential participants prior to enrollment, the Sponsor Approval System understands that it is sometimes not feasible to include all items in promotional materials. In cases where one or more of the above points is not included in promotional pieces, the means of obtaining this information must be provided (e.g., phone number, web site, etc.).

Multi-session, multi-disciplinary programs will oftentimes contain some content that is not relevant to psychology or is otherwise inappropriate as CE for psychologists. In these cases, promotional and program materials must clearly indicate which sessions are available to psychologists for credit and which are not.

APA approval of sponsors is at the organizational level, not at the level of individual or programmatic educational offerings. In the absence of any APA review process of programs, sponsors must not imply that APA has determined that their educational offerings meet specific APA education and training standards or guidelines. Sponsors must not use the term “APA-approved” (or any variation thereof) when referring to individual course or programmatic offerings or CE credit for psychologists.

Do not use the term “CEU” to refer to CE credit for psychologists. Although other professions may use the CEU when awarding continuing education credit, CE credit for psychologists is granted on a one credit per one contact hour basis. On the other hand, one CEU is granted per every ten hours of contact.

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1625 North Market Blvd., Suite S-200
Sacramento, CA 95834
(916) 574-7830, (916) 574-8625 Fax
www.bbs.ca.gov

To: Committee Members **Date:** May 18, 2012
From: Marina Karzag **Telephone:** (916) 574-7830
Policy and Statistical Analyst
Subject: Academy of General Dentistry's Program Approval for Continuing Education

Program Information

The Academy of General Dentistry's Program Approval for Continuing Education (PACE) requires Continuing Education (CE) provider applicants to have offered CE courses for the twelve months preceding the application date; otherwise, they may only apply for one year approval. Courses must have a sound scientific basis and PACE may request evidence that the course meets this requirement.

PACE also offers national and local provider accreditation. The local accreditation program is designed for CE providers that plan to offer courses in only one state. Any program that intends to provide self instruction courses or courses across multiple states must apply for national accreditation.

Providers must have a committee that consists mostly of dentists, one of which must be a licensed practicing dentist. The committee must meet regularly and maintain meeting minutes, which must be included in the provider application.

Providers must submit a budget and ensure the program has adequate resources. Providers must conduct needs assessments to ensure the program content meets the needs of the audience based on data other than the provider's perceptions. Each activity must have published educational objectives.

Instructors must be qualified based on experience or education and must support any clinical recommendations with references to scientific literature, whenever possible.

Self-instruction and electronically mediated programs have specific requirements. Self-instruction activities must be reviewed once every three years to ensure content is current and credit awarded may not exceed eight hours.

Providers may be approved for one to four years, depending on any deficiencies identified in the initial application. PACE may randomly select approved providers to ensure compliance with its standards and guidelines, but may not review more than one course per year. PACE may also review programs that have had a complaint filed against them, submitted questionable information on the initial application, or committed any other violation of PACE standards. PACE reserves the right to re-evaluate a program at any time by surveying program participants, requesting additional information, or reviewing activities in person.

Any substantive changes to a program must be reported to PACE for review.

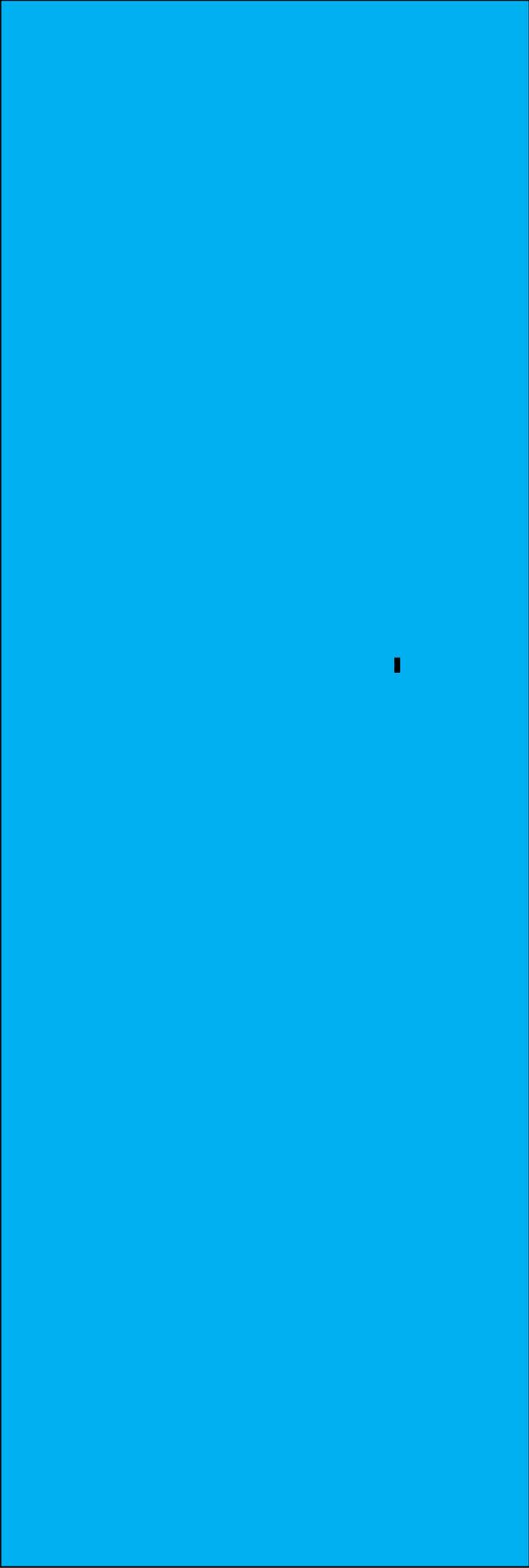
Aspects of the Program that Respond to Concerns Regarding the BBS CE Program

PACE has the authority to review programs and course content after initial approval. PACE may conditionally approve a provider if the application does not meet all standards and criteria or may monitor a course after approval at random. Any substantive changes to a program must also be reported. These measures ensure continual compliance with PACE's CE provider standards.

PACE also includes specific criteria for self-instruction and electronically mediated programs, including limits on the number of CE credit hours awarded.

Attachments

PACE Program Guidelines



PACE PROGRAM GUIDELINES -

REVISED JANUARY 2012

Academy of General Dentistry
211 East Chicago Avenue, Suite 900
Chicago, Illinois 60611-1999
1.888.AGD-DENT
Email: PACE@agd.org
www.agd.org

The AGD PACE Program Guides are subject to modification from time to time by the AGD at its discretion. The most current edition of this document can be accessed at: <http://www.agd.org/files/webuser/website/pace/guidelines.pdf>

Information on how to successfully apply PACE Criteria to continuing education programs can be accessed at: <http://www.agd.org/education/pace/providers/keepingpace/>

The PACE Guidelines are tool designed to help providers offer quality education courses. In addition to the standards, which are based on overall best practices of any type of continuing education provider,

The AGD believes that by establishing uniform standards both organizations and attendees will that To improve the educational quality of continuing dental education (CDE) programs through self-evaluation conducted by the program provider in relation to the Standards and Criteria, and/or through counsel and recommendations provided to program providers by the PACE Council.

Table of Contents

Program Approval for Continuing Education (PACE) 3

Introduction.....	3
Purpose and Goals.....	3
Eligibility	4
Guidelines for Joint Program Provider Approval	4

Standards/Criteria for Approval 5

Standard I Administration	5
Standard II Fiscal Responsibility	7
Standard III Goals	7
Standard IV Needs Assessment	8
Standard V Objectives.....	8
Standard VI Admissions	9
Standard VII Patient Protection	10
Standard VIII Instructors.....	11
Standard IX Publicity	12
Standard X Evaluation.....	13
Standard XI Course Records	14
Standard XII Commercial or Promotional Conflict of Interest.....	15
Standard XIII Self-Instruction and Electronically Mediated Programs	17

Application/Evaluation Procedures 18

Applications	18
Fees	18
Approvals	18
Confidentiality.....	19
PACE Council Program Provider Monitoring Program.....	19

Regulations Governing Approval Process 20

Program Administration 21

Complaints Policy.....	21
Policy Statement on Reporting Substantive Changes.....	22

Appeals 23

Procedures for Reconsideration of an Adverse Action Against a CDE Provider.....	23
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Lexicon of Terms 24

Program Approval for Continuing Education (PACE)

Each year, thousands of continuing education courses are presented by hundreds of program providers—dental schools, dental societies, and companies that specialize in course presentations. Most provide dentists with valuable information that can be successfully integrated into the dental practice. The Academy of General Dentistry (AGD) Program Approval for Continuing Education (PACE) was created to assist members of the AGD and the dental profession in identifying and participating in quality continuing dental education (CDE).

The program provider approval mechanism is an evaluation of the educational processes used in designing, planning, and implementing continuing education. Approval by the AGD does not imply endorsement of course content, products, or therapies presented, nor does this approval imply that a state or provincial board of dentistry will accept courses. Approved program providers are expected to comply with all relevant state and federal laws. Continuing education offered by approved program providers will be accepted by the AGD for Fellowship/Mastership credit.

Disclaimer

The Academy of General Dentistry (AGD) does not endorse any course content, products, processes, services or therapies presented by AGD PACE-approved providers. The views and opinions of program providers expressed during education programs do not necessarily state or reflect those of the AGD. AGD PACE approval may not be used for product or program endorsement purposes; nor does it imply acceptance by a state or provincial board of dentistry; nor does it imply accreditation of a program.

Purposes and Goals

The Program Approval for Continuing Education (PACE) will operate:

1. To improve the educational quality of continuing dental education (CDE) programs through self-evaluation conducted by the program provider in relation to the Standards and Criteria, and/or through counsel and recommendations provided to program providers by the PACE Council.
2. To assure participants that approved continuing education program providers have the organizational structure and resources necessary to provide CDE activities of acceptable educational quality.
3. To achieve interstate acceptance for AGD Fellowship and Mastership credit for activities put on by approved program providers.
4. To promote uniformity in identification of those CDE activities that are acceptable for AGD Fellowship and Mastership credit.
5. To promote uniformity of standards for CDE that can be accepted by the dental profession.
6. To promote, through consistent and meaningful application of standards, an increased credibility for AGD's Fellowship and Mastership awards.

Eligibility

The provider organization is approved, not speakers or individual course content. The applicant may be a major unit or department within an institution. To be eligible for PACE, the following criteria must be met:

1. The CDE provider offers a planned program of continuing dental education activities consistent with the definition of continuing dental education provided in the Lexicon of Terms. The CDE provider must demonstrated oversight by an independent advisory committee. The program provider must have been offered a planned program of CDE activities for at least 12 months. If the provider organization has not offered course during the 12 months immediately preceding the application date, the provider may apply for a maximum of one year approval.
2. The program provider must ensure that all courses offered for continuing education credit have a sound scientific basis in order to adequately protect the public. PACE reserves the right to require acceptable substantiation from providers that their courses have a sound scientific basis and that they ensure public safety.
3. The program provider must ensure that the educational methods are appropriate to the stated objectives for the activity and, when participation is involved, enrollment must be related to available resources to ensure effective participation by enrollees.
4. The program provider must ensure that the facilities selected for each activity are appropriate to accomplishing the educational method(s) being used and the stated educational objectives.
5. The CDE provider must demonstrate that it assumes the financial and administrative responsibility of planning, publicizing and offering the CDE program consistent with the definition of provider at the end of this document.
6. The program provider must ensure that, upon completion of a continuing dental education course intended toward attainment of certification or other recognition through the program provider, participating dentists will not be obligated, as a condition for attaining or maintaining that certification or recognition, to utilize a volume of any products and/or services.

Where to Apply: National or Local?

1. Program providers who are national in scope must apply for national approval.
2. Program providers that draw participants from more than one state/province must be national approved.
3. Program providers who intend to become national in scope should apply for national approval.
4. Program providers that offer protocol and/ or self-instruction courses must apply for national approval.
5. Program providers who are local in scope only may apply for either local or national approval.

Guidelines for Joint Program Provider Approval

1. Joint program provider approval is defined as an educational activity planned and presented jointly by two organizations, only one of which is a PACE-approved program provider. Both organizations assume financial and administrative responsibility for planning and implementing the program.
2. The approved program provider is held accountable for upholding the PACE standards of the AGD and must be able to provide documentation that the educational activity was jointly planned and implemented in compliance with the standards.
3. All printed material for educational activities that are provided jointly must carry the following statement:

"This activity has been planned and implemented in accordance with the standards of the Academy of General Dentistry Program Approval for Continuing Education (PACE) through the joint program provider approval of (approved program provider) and (non-approved program provider). The (approved program provider) is approved for awarding FAGD/MAGD credit."
4. Jointly provided educational activities may be considered toward the eligibility of an organization applying for its initial PACE approval.

Standards/Criteria for Approval

Program providers are expected to adhere to published standards/criteria in different areas in order to obtain and then retain approval status. These standards/criteria are accompanied in most areas by recommendations. Though these recommendations do not represent requirements for approval, they provide suggestions and guidance that can improve the program provider's CDE program or make its administration easier.

Standard I Administration

1. Administration of the program must be consistent with:
 - a. The goals of the program;
 - b. The objectives of the planned activities.
2. The program must be under the continuous guidance of an administrative authority and/or individual responsible for its quality, content, and ongoing content.

Criteria

- A. The continuing education program must be under the ongoing supervision of an individual or an administrative authority so that there is continuity in the program provider's continuing education efforts.
- B. The responsibilities and scope of authority of the individual or administrative authority *must* be clearly defined.
- C. The administrative authority/administrator will have the responsibility for assuring compliance with the quality contained in these standards and guidelines.
- D. The CE provider must be responsible for:
 - a. Establishing clear lines of authority and responsibility
 - b. Conducting a planning process
 - c. Ensuring that an adequate number of qualified personnel are assigned to manage the program
 - d. Ensuring continuity of administration
- E. To maintain continuity, the program provider must develop specific procedures for personnel changes. This is particularly important with regard to the administrator or the administrative authority (program planner).
- F. Providers are required to have a committee that meets regularly and a majority of the committee must be dental professionals, including at least one licensed practicing dentist who are independent from other responsibilities for the provider and be broadly representative of the intended audience or constituency including the members of the dental team for which the courses are offered. The committee will also be required to maintain minutes from its meetings. The minutes of the meetings will be attached to the PACE Application.
- G. The program planner must commit sufficient time to planning and conducting the CDE program relative to its planned size and scope of activity; be responsible for choosing the educational methods to be utilized in consultation with advisory committees, instructors, educational advisors, or potential attendees; and ensure that facilities and equipment (including those borrowed or rented) are adequate in size, safe, and in good working condition so that instruction can proceed smoothly and effectively.
- H. Where the size or extent of the CDE program warrants, especially when offering participation courses, there must be provision for adequate support personnel to assist with program planning and implementation. Group size must be limited in coordination with the nature of available facilities and the number of instructors/ evaluators. Very careful attention to group size is mandatory when planning an activity that requires participants to perform complex tasks requiring supervision and evaluation.
- I. The administrative authority/administrator is required to maintain accurate records of participants' attendance. The administrative authority/administrator will be responsible for retaining information on the formal planned activities offered, including needs assessment, methods, objectives, course outlines, and evaluation procedures. This information must be available at the time of application or reapplication for program provider approval.
- J. CE providers must assume responsibility for compliance by participants with applicable laws and regulations. The provider must ensure that participation in its program by dentists not licensed in the jurisdiction where the program is presented does not violate the state practice act. Unless malpractice coverage for attendees participating in clinics is arranged by the CE provider, notice must be given to participants to obtain written commitments of coverage from their carriers.

- K. Continuity of administration and planning is necessary for the stability and growth of the program. It is required that:
1. Members of the advisory committee be selected for a term of longer than one year.
 2. Members of the advisory committee serve staggered terms of office.
- L. When two or more approved program providers act in consort for development, distribution, and/or presentation of an activity, each must be equally and fully responsible for assuring compliance with these standards.
- M. Administrative responsibility for development, distribution, and/or presentation of continuing education activities must rest with the AGD-PACE-recognized provider whenever the provider acts in cooperation with providers that are not recognized by the AGD-PACE.
- N. Program providers must submit complete contact information annually to the AGD. Contact information must include current provider name, address, phone number, fax number, Web address (if available), name of current provider contact person and address, phone number, fax number, and e-mail address of contact person.
- O. For combination on-site/in-office participation programs, the following requirements must be met:
1. The course director or course instructor must be a member of a faculty in an accredited dental program or must be approved by the PACE Council.
 2. Specific course objectives must be written.
 3. A bibliography of current literature on the subject being taught must be assembled.
 4. The initial formal course session(s) will include both lecture and demonstration of the procedures to be studied.
 5. For on-site/in-office participation courses, written instructions must be given to participants for individual in-office requirements.
 6. Participants will do whatever procedures they are studying on patients in their offices. They will keep complete records on these patients, which must include at least the following:
 - a. Patient consent and release form;
 - b. Preoperative medical/dental history;
 - c. Preoperative unedited radiographs, if indicated
 - d. Preoperative mounted diagnostic casts, if applicable
 - e. Preoperative unedited photographs
 - f. Preoperative dental charting.
 7. During treatment, records will be kept to demonstrate:
 - a. Treatment rendered materials, methods, etc.
 - b. Mounted treatment casts, if applicable;
 - c. Photographs of treatment progress, if appropriate
 - d. Radiographs taken during treatment, if indicated.
 8. Upon completion of treatment:
 - a. Unedited photographs of completed treatment;
 - b. Postoperative unedited radiographs, if indicated.
9. After an agreed-upon time needed to complete patient treatment, the group will reconvene with the course director/instructor. Utilizing records developed during treatment, each participant will make a complete case presentation to the group. Following the presentation, the group will be allowed to challenge the presentation. The course director/instructor will critique each presentation.
10. After all participants have presented cases, a seminar session will be held during which the bibliography will be discussed as it relates to the cases that were presented.
- P. The program provider must develop and operate in accordance with written policies, procedures or guidelines designed to ensure that all clinical and/or technical CE activities offered include the scientific basis for the program content and an assessment of the benefits and risks associated with that content in order to promote public safety.
- Where scientific basis for a clinical and/or technical CE activity is evolving or uncertain, the presentation will describe the level of scientific evidence that is currently available and what is known of the risks and benefits associated with the clinical and/or technical CE activity.
- Q. For CE activities that are repeated, the provider must be able to demonstrate that there is a process in place to ensure that the activities continue to meet all PAC Standards and Criteria, including requirements to include the scientific basis for the program content and an assessment of the benefits and risks associated with that content in order to promote public safety.

Recommendations

-
- A. The program planner should have background and experience appropriate to the task.
 - B. The size of the potential audience for any CDE activity is important in determining appropriate methods. A potentially active method can become purely passive if the group is too large.
 - C. Methods requiring learner involvement (seminars, discussion groups, case reviews/preparations, laboratory work, and patient treatment) have been shown to provide more effective learning experiences. Over-emphasis on purely didactic methods (lectures, panel discussions) is discouraged.
 - D. The appropriate use of films, slides, video, electronic media, and other teaching aids can support and enhance other teaching methods as integrated into a planned educational program.
 - E. Program providers are encouraged to provide attendees with resource materials and references to facilitate post-course practical application of course content, as well as continued learning.

Standard II Fiscal Responsibility

1. Resources must be sufficient to meet:

- a. The goals of the program;
- b. The objectives of the planned activities.

Criteria

A. Adequate resources must be available to fund the administrative and support services necessary to manage the continuing education program.

B. In instances where continuing education is only one element of a program provider's activities, resources for continuing education must be a clearly identifiable component of the program provider's total budget and resources.

C. The program provider must provide a budget for the overall continuing education program, to include all costs and income, both direct (e.g., honoraria, publicity costs, tuition fees, refunds, or foundation grants) and indirect (e.g., use of classroom facilities or equipment, non-paid instructor time, etc.).

D. Resources must be adequate for the continual improvement of the program.

Recommendations

A. Separate budgets for each activity should be prepared as guidelines, but institutional or organizational policies requiring that each individual activity be prepared to be self-supporting tend to restrict the quality of the CDE program unduly, and are discouraged.

Standard III Goals

- 1. The program provider must develop and operate in accordance with a written statement of its broad, long-range goals related to the continuing education program.
- 2. Goals must relate to the health care needs of the public and/or interests and needs of the profession.

Criteria

A. The individual or authority responsible for administration of the CDE program must have input into development of the overall program goals.

B. There must be a clear formulation of the overall mission and goals of the program provider institution or organization.

C. A mechanism must be provided for periodic reappraisal and revision of the program provider's continuing education goals.

Recommendations

A. The goals of the CDE program should be consistent with the goals of the organization or institution.

B. The goals of the CDE program should be relevant to the educational needs and interests of the intended audience.

Standard IV Needs Assessment

1. Program providers must utilize identifiable mechanisms to determine objectively the current professional needs and interests of the intended audience, and the content of the program must be based upon these needs.

Criteria

- A. The program planner must be responsible for carrying out or coordinating needs assessment procedures.
- B. Identified needs/interests must be developed from data sources that go beyond the program provider's own perceptions of needs/interests.
- C. The program provider must document the process used to identify needs/interests and must include input from the provider's advisory committee.
- D. The program provider must state the needs/interests identified and indicate how the assessment is used in planning educational activities.
- E. The program provider must involve members of the intended audience in the assessment of their own educational needs/interests.
- F. Consistent use of needs assessment data from multiple sources is required for use in planning continuing education activities.

Standard V Objectives

1. Specific written educational objectives identifying the expected learner outcomes must be developed for each activity and published in advance for the intended audience.

Criteria

- A. The program planner must be ultimately responsible for assuring that appropriate objectives are developed for each activity. The educational objectives may, however, be prepared by instructor, course director, or program planner.
- B. Educational objectives must be developed for each activity during the earliest planning stages. These provide direction in selecting specific course content and choosing appropriate educational methodologies.
- C. The written educational objectives must be published and distributed to the intended audience as a mechanism for potential attendees to select courses on a sound basis.
- D. Educational objectives must not conflict with or appear to violate the ADA Principle of Ethics and Code of Professional Conduct.
- E. For conventions and major dental meetings that involve multiple course topics and speakers present during a multi-day period it is sufficient to publish detailed course descriptions that enable participants to select appropriate course offerings however it shall be the responsibility of the provider to ensure that the individual courses presents are following the guidelines in their presentations.

Recommendations

- A. Educational objectives shall form the basis of evaluating the effectiveness of the learning activity.

NOTE: Accurate educational objectives succinctly describe the education that will result from attending the course. Specific educational objectives must describe the expected outcome(s) of the learning experience. They may include, but are not limited to, the following categories:

1. Changes in the attitude and approach of the learner to the solution of dental problems;
2. Corrections of outdated knowledge;
3. Provision of new knowledge in specific areas;
4. Introduction to and/or mastery of specific skills and techniques;
5. Alterations in the habits of the learner.

Standard VI Admissions

1. In general, continuing education activities must be made available to all dentists.
2. If activities require previous training or preparation, the necessary level of knowledge, skill, or experience must be specified in course announcements.

Criteria

- A. As an activity is designed, the program planner may determine that previous training or preparation is necessary for learners to participate effectively in the activity. In all such cases, the program provider must:
1. Provide a precise definition of knowledge, skill, or experience required for admission;
 2. Demonstrate the necessity for any admission restriction, based on course content and educational objectives;
 3. Specify in advance and make available a method whereby applicants for admission may demonstrate that they have met the requirement;
 4. Develop methods that are objective, specific, and clearly related to the course content and stated requirements;
 5. If attendees are required to provide materials and equipment, the program provider must make this requirement clear to potential enrollees and must provide enrollees with specific descriptions of all equipment and materials required.

Recommendations

- A. Where activities are offered at an advanced level, program providers are encouraged to provide sequentially planned instruction at basic and intermediate levels, to allow participants to prepare for the advanced activity. Though program providers are not obligated to provide CDE activities for all dental occupational groups, admission policies that discriminate arbitrarily against individuals within an occupational group, without a sound educational rationale, are not acceptable. Where restrictive registration requirements have been determined to be necessary on the basis of the foregoing Standards and Criteria, course applicants might demonstrate compliance with the requirements through documentation of attendance at CDE activities, submission of patient treatment records, or actual demonstration of required skills or knowledge.

Standard VII Patient Protection

1. Participants must be cautioned about the hazards of using limited knowledge when integrating new techniques into their practices.
2. Where patient treatment is involved, either by course participants or instructors, patient protection must be ensured as follows:
 - a. The program provider must seek assurance prior to the course that participants possess the basic skill, knowledge, and expertise necessary to assimilate instruction and perform the treatment techniques being taught in the course.
 - b. Informed consent from the patient must be obtained in writing prior to treatment.
 - c. Appropriate equipment and instruments must be available and in good working order.
 - d. Adequate and appropriate arrangements and/or facilities for emergency and postoperative care must exist.

Criteria

- A. Participants must be cautioned about the dangers of incorporating techniques and procedures into their practices if the course has not provided them with adequate, supervised clinical experience in the technique or procedure to allow them to perform it competently.
- B. The program provider must assume responsibility for assuring that participants treating patients (especially those from outside the state/province where the course is held) are not doing so in violation of state dental licensure laws.
- C. The program provider is responsible for obtaining the informed consent of all patients.
- D. Patients must be informed, in non-technical language, of:
 1. The training situation;
 2. The nature and extent of the treatment to be rendered;
 3. Any benefits or potential harm that may result from the procedure;
 4. Available alternative procedures;
 5. Their right to discontinue treatment.
- E. The program provider must assume responsibility for completion of treatment by a qualified clinician, should any question of the course participant's competence arise.
- F. There can be no compromise in adequate and appropriate provisions for care of patients treated during CDE activities; aseptic conditions (where possible, and, where not possible, antiseptic conditions), equipment, and instruments, as well as emergency care facilities, must be provided.
- G. Sufficient clinical supervision must be provided during patient treatment to ensure that the procedures are performed competently.
- H. The program provider must assume responsibility for providing the necessary post-course treatment, either through the practitioner who treated the patient during the course or through some alternative arrangement.
- I. Program providers, instructors, and participants should have adequate liability protection.

Recommendations

- A. In order to meet course objectives, patients should be screened prior to the course to ensure that an adequate number is present, with conditions requiring the type of treatment relevant to the course content.
- B. Program providers are advised to consult legal counsel regarding informed consent requirements in their locale and appropriate procedures for obtaining patient consent.

Standard VIII Instructors

1. Instructors chosen to teach courses must be qualified by education and/or experience to provide instruction in the relevant subject matter.
2. The number of instructors employed for a CDE activity must be adequate to ensure effective educational results.
3. Providers must ensure that instructors support clinical recommendations with references from the scientific literature whenever possible. References must have a sound scientific basis, as defined in the Lexicon of Terms. References must be published and/or translated into English.

Criteria

- A. Program providers must assume responsibility for communicating specific course objectives and design to instructors early in the planning process.
- B. The number of instructors assigned to any activity must be predicated upon the course objectives and the educational methods used.
- C. The instructor-to-attendee ratio is most critical in participation courses. Great care must be taken to ensure that close supervision and adequate direct interchange between participants and instructors will take place. The instructor-to-attendee should not exceed 1:15 during any hands-on activities.
- D. CDE providers that utilize one instructor to present 50% or more of the provider's CDE activities must submit a Curriculum Vitae containing complete information on the instructor's education, professional training, positions held, publication and presentation history when applying for the AGD PACE recognition.
- E. CE program providers must assume responsibility for taking steps to ensure that images presented in courses have not been falsified or misrepresent the outcome of treatment. Signed affidavits of image authenticity must be obtained from all faculty members.

Recommendations

- A. Program providers should work closely with instructors during course planning to ensure that the stated objectives will be addressed by the presentation.
- B. Each program provider should have a carefully formulated plan for selecting qualified instructors. A wide variety of sources for qualified instructors should be explored and utilized.
- C. The teaching staff for any CDE program should consist of dentists and other professionals in related disciplines who have demonstrated ability, training, and experience in the relevant fields.
- D. Instructors should also possess the demonstrated ability to communicate effectively with professional colleagues, and possess an understanding of the principles and methods of adult education.
- E. Expertise and assistance in development and use of instructional materials and aids, when needed, should be available to support the teaching staff.
- F. Program providers should develop clearly defined policies on honoraria and expense reimbursement for instructors.

Standard IX Publicity

1. Publicity must be informative and not misleading. It must include:
 - a. Course title
 - b. A description of course content
 - c. The educational objectives
 - d. A description of teaching methods to be used
 - e. Costs
 - f. The name of the program provider and contact person
 - g. Course instructor(s), their qualifications and any conflict of interest
 - h. Refund and cancellation policies
 - i. Location
 - j. Date
 - k. Specify number of hours awarded by educational methods used (lecture, clinical participation, self-instruction, etc.) and AGD subject code
 - l. Time and period of availability for internet-based courses
 - m. The names of any entities providing commercial support
2. For effective presentation and assimilation of course content, the prior level of skill, knowledge, or experience required (or suggested) of participants must be clearly specified in publicity materials.

Criteria

- A. Any publicity for CDE activities must provide complete and accurate information to the potential audience.
- B. Care must be taken to avoid misleading statements regarding the nature of the activity or the benefits to be derived from participation.
- C. Accurate statements concerning credits or approvals granted for the activity must be included. Great care must be taken to ensure that such statements follow the wording prescribed by the agency granting the credits or approvals, so that participants cannot misinterpret them.
- D. The name of the program provider, as well as of any joint program provider or agencies providing financial support, must be clearly stated.
- E. Approved program providers must use the approved AGD PACE logo/brand with the appropriate credit statement in all printed brochures and promotional materials for their educational program.
- F. The terms “accredited,” “accreditation,” “certification” or “endorsement of” must not be used in conjunction with PACE approval. Providers must not make statement implying AGD PACE Approval or endorsement of individual courses.
- G. If the program provider requires the continuing dental education course(s) to gain access to its services

and/or products, any and all guidelines or limitations pertaining to prospective course participants’ access to said services and/or products must be disclosed, in any and all publicity, including any initial registration packet for the course(s) such that prospective participants are fully aware of these guidelines and limitations.

- H. Providers that offer self-instructional activities must publish the following information on publicity materials for the activity and in the activity itself:
 - a. Original release date;
 - b. Review date (if activity is reviewed and rereleased);
 - c. Expiration date (a maximum of 3 years from the original release date or the last review date, whichever is most recent).

NOTE: The program provider must submit with the application up to five samples of publicity from the past twelve months, , from all forms of media (i.e., printed advertisements, radio spots, on-line postings, etc.) in print format.

The attendees’ expectations concerning course content and anticipated learning are based on course publicity. Materials containing less than complete and accurate information will almost always result in disappointment and dissatisfaction on the part of all or some attendees. Further, complete and detailed publicity materials will help to ensure that those who want and need the course will attend, and that they will be motivated to learn.

Using the AGD PACE Logo



PROVIDER is designated as an Approved PACE Program Provider by the Academy of General Dentistry. The formal continuing dental education programs of this program provider are accepted by AGD for Fellowship/Mastership and membership maintenance credit. Approval does not imply acceptance by a state or provincial board of dentistry or AGD endorsement. The current term of approval extends from (DATE to DATE).
 Provider ID <AGD ID Number>



Academy of General Dentistry Approved PACE Program Provider
 FAGD/MAGD Credit
 Approval does not imply acceptance by a state or provincial board of dentistry or AGD endorsement.
 (DATE) to (DATE)
 Provider ID <AGD ID Number>

- The AGD PACE Logo should be between one and two inches in height and should not be larger than the providers logo
- Either one of the above approval statements must appear in your promotional copy placed either under or directly to the right of the AGD PACE Logo.
- Type size should not be less than 6 point. Type style should be sans serif (Helvetica, Ariel, etc.).

Standard X Evaluation

1. The program provider must develop and utilize activity evaluation mechanisms that:
 - a. Are appropriate to the objectives and educational methods;
 - b. Measure the extent to which course objectives have been accomplished
 - c. Assess course content, instructor effectiveness, and overall administration

Criteria

- A. The program provider must provide an evaluation mechanism that will allow participants to assess their achievement of personal objectives. Such mechanisms must be content-oriented and provide feedback to participants so that they can assess their mastery of the material. This is especially important if the activity is self-instructional in nature. The educational objectives for the activity must form the basis for the evaluation.
 3. If evaluation methods are appropriate to and consistent with the scope of the activity;
 4. How effectively activity evaluation data are used in planning future CDE activities.
- B. The program provider must provide an evaluation mechanism that will help the program provider assess the effectiveness of the CDE activity and the level at which stated objectives were fulfilled, with the goal being continual improvement of the program provider's activities.
- C. The program provider is required to periodically conduct an internal review of completed course evaluations to determine:
 1. The extent to which the goals are being achieved;
 2. The extent to which activity evaluation effectively and appropriately assesses:
 - a. Educational objectives;
 - b. Quality of the instructional process;
 - c. Participants' perception of enhanced profession effectiveness;
- D. The advisory committee must be involved in the provider's periodic assessment of the effectiveness of its continuing education program.

Recommendations

- A. Minimally, the evaluation mechanisms should:
 1. Be appropriate to the educational objectives and methods for the activity;
 2. Measure the extent to which objectives have been met;
 3. Determine participant assessment of course content with regard to whether it was practically useful, comprehensive, appropriate, and adequately in-depth;
 4. Assess instructor effectiveness;
 5. Assess adequacy of facilities;
 6. Assess overall administration of the activity.
- B. The program provider should provide feedback to the instructor concerning the information that evaluation of the CDE activity has produced.

Standard XI Course Records

1. Program providers must maintain accurate records of individual attendance and make such records accessible to attendees for a minimum of six years.
2. Any record supplied in connection with the continuing education activity must not be, nor resemble, a certificate or diploma that attests to or might appear to attest to specific skill, specialty, or advanced educational status. Providers must design such documentation to avoid misinterpretation by the public or professional colleagues.
3. Credit awarded to participants of an approved program provider's educational activity must be in compliance with AGD policies related to credit allocation.
4. Program providers must submit continuing education credits for all AGD member attendees directly to the AGD by mail or online within 30 days. AGD-approved standardized roster submission forms must be used.
5. A course completion code for each educational activity must be given to the attendees at the end of each course.

Criteria

- A. Program providers must accept the responsibility of maintaining accurate records of individual attendees at each activity, to accommodate the growing number of legal and professional requirements.
 1. Rosters submitted using incorrect forms or with missing information will be returned to the program provider for completion. Corrected rosters must be returned to the AGD within 21 days.
- B. Credit must be awarded based on the following calculations:
 1. For formal structured lectures, credit will be awarded based on actual number of contact hours. No credit will be awarded if the course is less than one hour in duration.
 2. For courses in which at least 30% of course content involves the participant in the active manipulation of dental materials or devices, the treatment of patients, or other opportunities to practice skills or techniques under the direct supervision of a qualified instructor, participation credit will be awarded based on actual number of contact hours (excluding breaks, meals and registration periods).
 3. Participants who complete audio, audio-visual, or electronically delivered self-instructional programs must receive credit equal to the length of the instructional time with a minimum of one hour of credit.
 4. Participants who complete self-paced self-instructional programs must receive credit based on an educator's estimate of the time required to complete the program, with the minimum being one credit hour and the maximum being eight credit hours.
 5. For courses that include an in-office component, credit will be awarded hour-for-hour for the formal, on-site sessions. Credit for the in-office component must not exceed (but may be less than) the amount of credit awarded for the initial sessions (excluding the final case presentation session).
- C. Providers must issue accurate records of individual participation to attendees.
- D. Verification of participation documentation must clearly indicate at least:
 1. The name and PACE provider ID number of the program provider;
 2. The date(s), location and duration of the activity;
 3. The title of the activity and specific AGD subject codes;
 4. Educational methods used (e.g., lecture, clinical participation, self-instruction)
 5. Number of credit hours (excluding breaks and meals);
 6. A course completion code for each educational activity.
 - a. When attendees can attend one or more portions of a program, completion codes should be issued at the end of each portion of the program.
 7. The name of the participant
 8. The title of each individual CE course the participant has attended or successfully completed as part of a large dental meeting or other similar activity (and number of credits awarded for each)
 9. The recognition status of the provider, through the use of the authorized statement, and, whenever feasible (given space considerations) the use of the AGD PACE logo in conjunction with the authorized approval statement. (See page 18.)

Recommendations

- A. Program providers should be aware of the professional and legal requirements for continuing dental education that may affect their participants.
- B. Program providers should cooperate with course participants and with requiring agencies in providing documentation of course attendance at the end of each educational activity, as necessary. Electronic scanning devices to collect participant information should be used at the end of each educational activity.

Standard XII Commercial or Promotional Conflict of Interest

In 1997 the U.S. Food and Drug Administration (FDA) issued a policy statement entitled “Guidance for Industry: Industry Supported Scientific and Educational Activities.” This policy states that activities designed to market or promote the products of a commercial company are subject to FDA regulation under the labeling and advertising provisions of the Federal Food, Drug and Cosmetic Act, whereas.

Activities that are independent of commercial influence and non-promotional are not. In this context, the AGD PACE standards and criteria are designed to ensure separation of promotional activities from continuing education activities in the following ways: 1) CE providers must demonstrate that all educational activities offered are independent of commercial influence, either direct or indirect, and 2) CE providers must ensure that all financial relationships between the provider and commercial entities, as well as all financial relationships between course planners and faculty and commercial entities are fully disclosed to participants.

1. The PACE standards and criteria are designed to ensure that:

- a. CDE providers must ensure that continuing education activities promote improvements in oral healthcare and not a specific drug, device, service or technique of a commercial entity.
- b. If commercial relationships exist between the program provider, course presenters, and/or a commercial company and its products, they must be fully disclosed to participants.
- c. Providers must disclose to participants in CDE activities any conflicts of interest the planners and lecturer/author/instructors or a continuing education activity may have. Disclosure must be made at the beginning of the continuing education activity and must be made in writing in publicity materials, course materials and/or audiovisual materials.
- d. Financial aid is acknowledged in printed announcements and brochures.

Criteria

- A. CE program providers must assume responsibility for ensuring the content quality and scientific integrity of all CE activities. Educational objectives, course content, teaching methods, instructors and advisors must be selected independent of commercial interest.
- B. CE program providers must operate in accordance with written guidelines and policies that clearly place the responsibility for program content and faculty selection on the program provider. These guidelines must not conflict with the PACE Standards/Criteria for Approval. Each CE learning experience offered must conform to this policy.
- C. The ultimate decision regarding funding arrangements for CE activities must be the responsibility of the CE program provider. CE activities may be supported by funds received from external sources if such funds are unrestricted. External funding must be disclosed to participants 1) in announcements, brochures, or other educational materials, and 2) in the presentation itself.
- D. CE program providers receiving commercial support must develop and apply a written statement or letter of agreement outlining the terms and conditions of the arrangement and/or relationship between the program provider and the commercial supporter.
- E. CE program providers and instructors must disclose to participants any monetary or other special interest the program provider may have with any company whose products are discussed in its CE activities. Disclosure must be made in publicity materials and at the beginning of the presentation itself.
- F. Product-promotion material or product-specific advertisement of any type is prohibited in or during CDE activities. Live promotional activities (staffed exhibits, presentations) or enduring promotional activities (print or electronic advertisements) must be kept separate from CDE. The juxtaposition of editorial and advertising material on the same products or subjects must be avoided during CDE activities.
 - a. For live, face-to-face CDE, advertisements and promotional materials cannot be displayed or distributed in the educational space during a CDE activity. Providers cannot allow presenters or representatives of Commercial Interests to engage in sales or promotional activities during the CDE activity.
 - b. For print CDE activities, advertisements and promotional materials will not be interleaved within the pages of the CDE content. Advertisements and promotional materials may face the first or last pages of printed CDE content as long as these materials are not related to the CDE content they face and are not paid for by the commercial supporters of the CDE activity.
 - c. For electronically mediated/computer based CDE activities, advertisements and promotional materials will not be visible on the screen at the same time as the CDE content and not interleaved between computer ‘windows’ or screens of the CDE content.

- d. For audio-and video-based CDE activities, advertisements and promotional materials will not be included within the CDE. There will be no 'commercial breaks.'
 - e. Educational materials that are part of a CDE activity, such as slides, abstracts and handouts, cannot contain any advertising, trade name or a product-group message.
 - f. Print or electronic information distributed about the non- CDE elements of a CDE activity that are not directly related to the transfer of education to the learner, such as schedules and content descriptions, may include product promotion material or product-specific advertisement.
- G. Arrangements for commercial exhibits or advertisements must not influence planning or interfere with the presentation, nor can they be a condition of the provision of commercial support for CDE activities.
- H. CE program providers must ensure that a balanced view of all therapeutic options is presented. Whenever possible, generic names must be used to contribute to the impartiality of the program presented.
- I.. CE program providers must assume responsibility for the specific content and use of instructional materials that are prepared with outside financial support.
- J. CE program providers must assume responsibility for taking steps to protect against and/or disclose any conflict of interest of the advisory committee, CDE activity planners, course directors and lecturer/author/ instructors presenting courses. Signed conflict of interest statements must be obtained from all advisory committee members, CDE activity planners, course directors and lecturer/author.
- K. If providing electronically mediated distance learning, embedded advertising and direct commercial links are inappropriate within the educational content and must be avoided.
- L CDE providers that also offer activities designed to promote drugs, devices, services or techniques must clearly disclose the promotional nature of the activity in publicity materials and in the activity itself. The CDE hours awarded must not include the promotional hours.
- M. The advisory committee must be involved in evaluating and taking steps to protect against conflicts of interest that CE activity planners, course directors and lecturer/author/instructors may have.

Recommendations

- A. The following are examples of outside or commercial support that is customary and proper: payment of reasonable honoraria, reimbursement of out-of-pocket expenses for faculty, and modest meals or social events held as part of the educational activity.
- B. The CE program provider and the commercial supporter or other relevant parties should each report to the other on the expenditure of funds each has provided, following each subsidized CE activity.

Standard XIII Self-Instruction and Electronically Mediated Programs

Criteria

- A. Self-instruction activities that are primarily audio or audiovisual must include supplemental information that further explains the audio or audiovisual material.
- B. Electronically mediated programs must include a documented technology plan including electronic security measures to ensure both quality standards and the integrity and validity of information (e.g., password protection, encryption, back-up systems, and firewalls).
- C. Participant interaction with faculty or individuals having expertise in the subject area and/or other participants is an essential characteristic and can be facilitated in a timely manner through a variety of methods such as voicemail, e-mail, or chat rooms.
- D. Participants who complete self-paced self-instructional programs should receive credit based on an educator's estimate of the time required to complete the program segment, with the minimum being one credit hour and the maximum being eight credit hours.
- E. For self-instructional or electronically-mediated activities, a provision must be made for a mechanism by which the learner can assess his/her mastery of the material.
- F. Participants must be informed of specific requirements for hardware and software and must have access to technical assistance throughout the duration of the course and the design of the course should support easy navigation to even novice users.
- G. Courses must include resources, references, and information to aid participants in securing relevant supportive material.
- H. Embedded advertising and direct commercial links are inappropriate with the educational content and must be avoided.
- I. Program providers who plan self-instructional activities must ensure the input of individuals having technical expertise in both media and self-directed learning techniques, and the application of these techniques to adult learning.
- J. For live electronically mediated events a provision must be made to ensure periodic interchange between the instructor such as, but not limited to, polling, direct questions and surveys.
- K. Providers that offer self-instructional activities must review the activities at least once every three years, or more frequently if indicated by new scientific developments, to ensure that content is current and accurate.

Recommendations

- A. For self-instructional activities, use of audiovisual materials may offer valuable learning experiences when their usefulness as a means, rather than an end, is appreciated.
- B. Course program providers should direct course participants to where appropriate software needed to utilize the electronic media used in the course can be obtained or downloaded.
- C. If providing electronically mediated distance learning, security measures should be in place to ensure both quality standards and the integrity and validity of information (e.g., password protection, encryption, back-up systems, firewalls, secure servers).
- D. Feedback to participants about assignments and questions should be constructive and provided in a timely manner.
- E. Courses should provide participants with flexibility to access and review course materials on demand during the period of announced availability.
- F. Questions directed to course personnel should be answered quickly and accurately. A structured system to address participant complaints should be in place.

Applications

A program provider that wishes to apply for approval to give Fellowship/Mastership-approved continuing education credit is required to submit data documenting its compliance with PACE Program Standards/Criteria. To apply for approval, the program provider must complete the "Application for Program Provider Approval," in English. This application, together with other required or pertinent data, is submitted for evaluation to the PACE Council.

Fees

National Approval

All applications for national approval must be submitted with a \$575 application fee. The check or money order should be made payable to the Academy of General Dentistry. Completed applications should be mailed to:

Academy of General Dentistry - DE
211 E. Chicago Ave Ste. 900
Chicago, IL 60673-1281

Effective Jan. 1, 2009, nationally approved AGD PACE providers will be required to pay an annual (or 12-month) non-refundable renewal fee of \$200 in order to maintain national approval.

All nationally approved providers will continue to pay a non-refundable application fee when an application is submitted. If the application is approved, this fee will include the first year's approval. An annual renewal fee for nationally approved PACE providers will subsequently be due at 12 month intervals, based on the start of each approval period.

Non-payment of all required fees within the established deadline(s) will be viewed as a decision by the approved provider to voluntarily withdraw from the PACE program. The name of the previously approved provider will be removed from the current list of AGD PACE-approved providers available on the AGD Web site. Any provider wishing to reinstate its recognition following discontinuation for non-payment of fees will be required to submit a new AGD PACE Application and follow the established procedures for recognition.

Providers whose approval starts on Jan. 1, 2009, or later will be responsible for this fee. Renewal fees are billed approximately 90 days prior to the anniversary of the provider's approval date.

Local Approval

All applications for local approval must be submitted to the local AGD approval representative that approves providers in the state or province in which the provider intends to offer courses. Applicants must include the appropriate application fee with their application. Fees may vary. A list of local AGD approval representatives is available on the AGD Web site. Applicants for local approval may also call the AGD at 1.888.243.3368 ext. 4114 or 4335 for a complete list.

Approvals

The maximum term of approval will not exceed four years. Shorter terms of approval will be awarded if there are deficiencies or concerns that would justify an earlier reevaluation date. In these cases, the reason(s) for a shorter

period of approval will be identified and provided to the program provider. In no case will approval be granted for a period of less than one year.

Program providers approved by the PACE Council shall be designated "approved program providers" for the length of the approval period. Approval of a program provider does not imply recognition or approval of that program provider's parent or satellite organizations, cooperating agencies, parent company, subsidiaries, or divisions.

Any reference to the awarding of approved continuing education credit by a PACE-approved program provider in its announcements, promotional materials, publications, or any other form of communication must conform exactly to one of the following:



(Name of program provider) is designated as an Approved PACE Program Provider by the Academy of General Dentistry. The formal continuing dental education programs of this program provider are accepted by AGD for Fellowship/Mastership and membership maintenance credit. Approval does not imply acceptance by a state or provincial board of dentistry or AGD endorsement. The current term of approval extends from (date to date).
Provider ID#:

- OR -



Academy of General Dentistry
Approved PACE Program Provider
FAGD/MAGD Credit
Approval does not imply acceptance
by a state or provincial board of
dentistry or AGD endorsement.
(month/date/year) to (month/date/year)
Provider ID#

If this alternative is used, the entire notice must appear in the same type size and color. The terms "accreditation" or "accredited" must not be used in conjunction with PACE approval. See Standard IX Publicity for usage guidelines.

The AGD will publish an official list of program providers approved by the PACE Council and update this list whenever there are additions, deletions, or status changes. This list is available on the AGD's Web site, www.agd.org. The list will also be made available to constituent academies for inclusion in their publications.

Confidentiality

The AGD will not release in any form the name of any CDE program provider that (1) has initiated contact with the AGD concerning application for approval; (2) has applied for approval but has not yet been apprised of a decision; (3) has applied for and been denied approval. Further, the AGD will not confirm that a program provider has not applied for approval, or provide details regarding any weaknesses of a program provider that has been approved. All inquiries as to the approval status of a specific program provider may be answered by the AGD by referral to the published, official list of approved program providers and/or, if the provider's approval has expired, lapsed, or been withdrawn, by confirmation of previous terms of approval. The AGD reserves the right to notify its members in the event that a program provider's approval has been withdrawn, or if a program provider's approval status has changed, or if a program provider uses false or misleading statements regarding AGD PACE approval.

PACE Council Program Provider Monitoring Program

The PACE Council is committed to ensuring that program providers maintain the high standards of PACE approval. The Monitoring Program has been instituted to assist the council with this and the following guidelines have been adopted:

Monitoring Selection Criteria

A program provider could be monitored if a:

- Complaint has been lodged against a provider
- Provider submitted a questionable application or received provisional approval
- Provider has received multiple citations
- Provider is selected randomly by the PACE Council
- Provider's approval was previously revoked due to a violation of the standards and re-applies for approval.

A. Role of the PACE Council Chair

1. The PACE Council Chair will be responsible for identifying monitors and will select the courses of nationally approved program providers appropriate for

- monitoring within his/her constituent. Monitors must have a clear understanding of all PACE standards.
2. The Constituent Continuing Education Chair or Approval Representative may be asked by the PACE Council Chair to monitor specific program providers.
3. The PACE Council Chair will authorize only ONE monitor per course.
4. The Constituent Continuing Education Chair will ensure that nationally approved program providers will be monitored only once per year per constituent. Even in instances in which the program provider offers several different courses, only one course from the program provider's entire list of offerings for that calendar year may be monitored.
5. The monitor will forward one copy of the completed Monitor Evaluation Form to the PACE Council within two weeks of its submission by the monitor. He/she will retain one copy of the form.

B. Role of the Monitor

1. The monitor will evaluate the course, using the PACE Standards and Criteria as the guide.
2. The monitor will receive lecture credit for his/her attendance at the course monitored. Participation credit is allowable if the monitor participates in a participation course and pays the provider for that course.
3. The monitor will return the completed Monitor Evaluation Form to the CE Chair within 10 days of the course.

C. Role of the Program Provider

1. The program provider will admit a maximum of one monitor per calendar year as requested by the PACE Council Chair at no cost to the AGD or the monitor unless the monitor participates in hands-on activities.
2. The program provider has the right to determine if the monitor may take part in the participation portions of the course.

Regulations Governing the Approval Process

Process

1. All program providers interested in approval by the AGD PACE program must complete the appropriate Application form and submit it to the PACE Council or local approval representative for consideration.
2. Within 14 days after receipt of an Application for Program Provider Approval, applicants will receive confirmation that the application was received.
3. If the application does not appear to provide adequate information on which to base an approval action, the council may seek additional information from the program provider within 45 days of receipt of the application. Only complete applications are forwarded to the PACE Council for review.
4. If the program provider does not meet the PACE program eligibility requirements (page 4), the application will be returned to the program provider, with a full refund of the application fee, within 30 days after the PACE Council meets to determine approvals.
5. Applicant program providers will be notified of the action taken by the PACE Council within 30 days after it meets to determine approvals.
6. If approval is granted, the program provider will be provided with the following information:
 - a. The effective dates of the approval;
 - b. A statement and logo that must be used to announce or publicize the approval;
 - c. The correct AGD program provider code for use in reporting attendance at activities;
 - d. Responsibilities and procedures for reporting attendance at activities;
 - e. Statement explaining the right of the PACE Council to audit future activities;
 - f. General procedures and time frames regarding expiration of approval and reapplication;
 - g. Recommendations and suggestions for alterations or improvements in the program provider's CDE program.
7. After approval is granted, the PACE Council reserves the right to re-evaluate a program provider at any time by surveying participants in the program provider's CDE activities, by reviewing activities in person, or by requiring additional information concerning the program provider and/or its activities. AGD Constituents may lodge a formal written complaint with the PACE Council if they can document noncompliance with the Standards by an approved program provider. Upon receipt of such a formal complaint from an AGD Constituent, the PACE Council may initiate a formal review of the program provider's approval status. An approved program provider may also be reevaluated at any time if information is received from the program provider or other sources that indicates the program provider has undergone changes in program administration or scope, or may no longer be in compliance with the Standards/Criteria for Approval. Such monitoring activities will be undertaken by the PACE Council solely to ensure compliance with the Standards/Criteria for Approval.
8. Approval may be denied if there is noncompliance with the Standards/Criteria for Approval. If approval is denied, the applicant program provider will be provided with the following by return receipt mail:
 - a. The Standards and Criteria with which the Council found noncompliance;
 - b. Recommendations and suggestions for alterations and/or improvements in the CDE program;
 - c. Rules and mechanisms governing appeal of the Council's decision.
9. Approval may be withdrawn by the council if:
 - a. The approved program provider makes a request for voluntary withdrawal of approval;
 - b. The Council finds that there is non-compliance with the Standards/Criteria for Approval;
 - c. Continuing dental education activities have not been offered for a period of two years or more;
 - d. The provider submits false or misleading information.
10. The effective date of approval is the day on which action is taken by the council. However, retroactive approval may be granted by the PACE Council when a written request outlining the situation is received on behalf of a program provider who is applying for or who has previously received program provider approval for continuing education via PACE. Previously approved providers requesting retroactive approval for a time greater than twelve months may be required to pay a penalty fee of up to \$125 per year for each year they are requesting retroactive approval. Retroactive approval will not be granted for a period greater than three years.
11. The council will notify nationally-approved program providers of the need to reapply for approval within no less than 11 months prior to the date that the program provider's approval will expire. Program providers must submit a new Application for Program Approval no less than three months prior to the expiration date. In addition to the formal application for approval, the program provider must submit other relevant materials documenting its continued compliance with the Standards and Criteria, as well as improvements in any previously identified areas of deficiency or weakness. Program providers that anticipate promoting courses that will be presented after their approval expires are encouraged to submit a renewal application early to ensure that approval statements will be accurate.
12. Approved program providers who did not provide self-instructional or on-site/in-office participation programs at the time their application was reviewed, but who may provide such programs in future, are expected to conform to the Standards and Criteria unique to these areas, specifically:
 - Standard XI, Criteria B.3, B.4
 - Standard XIII, Criteria A through K

Program Administration

The AGD PACE program must be administered by the PACE Council. This council must be composed of nine members of the AGD, appointed by the AGD's president. Each member must be appointed for staggered three-year terms, and each may serve a maximum of two full terms on the Council.

The PACE Council must be responsible for overall administration of the AGD PACE program and for recommending alterations in the policies governing the program. The Council must evaluate and take action on all applications for AGD PACE. The Council must be responsible for hearing appeals of all such action.

The PACE Council shall review and determine action on pending applications at least four times per year. Application deadlines shall be regularized and published on the AGD website at least two times per year.

Complaints Policy

The PACE Council is interested in the continued improvement and sustained quality of continuing dental education programs, but does not intervene on behalf of individuals or act as a court of appeal for individuals in matters not related to the AGD's PACE Standards and Criteria or established recognition policies. If a complaint includes matters that are currently the subject of, or directly related to, litigation, the PACE Council will not proceed with consideration of the complaint until the litigation is concluded.

Potential complaints will be evaluated to ascertain whether they pertain to PACE Standards and Criteria and/or recognition policies. A potential complainant will be asked to provide information and documentation about the alleged lack of compliance with the Standards and Criteria or recognition policies.

The PACE Council will consider appropriate complaints against PACE-approved program providers from AGD staff, course participants, faculty, other CDE providers, constituent dental societies, state boards of dentistry, and other interested parties. In this regard, an appropriate complaint is defined as one alleging that there exists a practice, condition, or situation within the program of a PACE-approved provider that indicates potential non-compliance with PACE Standards and Criteria or established recognition policies. The PACE Council will review and make recommendations regarding disposition of such complaints.

Attempts at resolution between the complainant and the provider should be pursued prior to initiating a formal complaint. This should include, but not be limited to, the issuance of warning letters with recommendations of corrective action and informing providers that failure to correct could result in withdrawal of PACE approval. If corrective action is not taken, formal written complaints are to be forwarded to the council. Only written, signed complaints will be considered by the PACE Council. The complaint will be considered at the earliest possible opportunity, usually at the next scheduled meeting of the PACE Council. When setting this date, the due process rights of both the provider and the complainant will be protected to the degree possible.

The following procedures have been established to review appropriate complaints:

- A. The complaint will become a formally lodged complaint only when the complainant has submitted a written, signed statement of the program's non-compliance with a specific standard and/or recognition policy; the statement should be accompanied by documentation of the non-compliance whenever possible. At the request of the complainant, the complainant's identity will be withheld from the provider when possible.
- B. The CDE provider will be informed that the PACE Council has received information indicating that compliance with a specific standard or recognition policy has been questioned.
- C. The provider will be required to provide documentation supporting its compliance with the standard or policy in question by a specific date (usually within 30 days). The PACE Council reserves the right to seek additional information from the provider, including but not limited to course evaluation forms completed by participants and the names, addresses, and telephone numbers of all course participants. The PACE Council also has the right to seek information from alternate sources including, but not limited to, surveys of program participants, on-site visits, observation of the provider's CE activities, or other means considered necessary to determine whether the CE provider is in compliance with the Standards and Criteria. Refusal or failure to provide all requested information, or to cooperate with the Council's information-gathering efforts, will be considered cause for withdrawal of the provider's approval.
- D. The provider's report and documentation, as well as any additional information obtained from other sources, will be considered by the PACE Council usually at the next regularly scheduled meeting.

Following consideration, the PACE Council will take action, as follows:

- A. If the complaint is determined to be unsubstantiated and the provider is found to be in compliance with PACE Standards and Criteria or established approval policies, the complainant and the provider will be notified accordingly and no further action will be taken.
- B. If the complaint is substantiated and it is determined that the CE provider is not in compliance with the Standards and Criteria or established recognition policies, the PACE Council may:

1. Postpone action pending the receipt of additional information through:
 - a. A comprehensive re-evaluation of the provider.
 - b. A written report by the provider documenting progress in meeting the relevant standards or policies prior to the next regularly scheduled meeting of the PACE Council.
 - c. A personal appearance by the complainant and/or the provider or their representatives before the PACE Council to present oral testimony in support of the written documentation provided. Legal counsel may represent the complainant and the provider. The costs to the complainant and the provider of such personal appearances and/or legal representation shall be borne by the complainant and the provider, respectively.
2. Withdraw the provider's recognition status.

The complainant and the provider will receive written notice of the PACE Council's action on the complaint within thirty (30) days following the Council's meeting. The records/files related to such complaints shall remain the property of the PACE Council for five years and shall be kept confidential. After five years, these records will be destroyed.

Policy Statement on Reporting Substantive Changes

Substantive Changes: A substantive change to a provider's continuing education (CE) program is one that may impact the degree to which the approved provider complies with the PACE Standards & Criteria. Substantive changes may include, but are not limited to:

- Changes in ownership, legal status, or form of control.
- Introducing a new educational method beyond the scope described in the application (e.g., adding patient treatment courses or self-study activities).
- Changes in the CE program's source(s) of financial support, especially if funding is from an external commercial source.
- Changes in contact person or information

When substantive changes occur, the primary concern of the PACE Council is that the provider continues to meet the PACE Standards and Criteria. Recognized providers must be able to demonstrate that any substantive change(s) to their CE program will not adversely affect the ability of the organization to comply with established standards. If the program changes are judged to represent a sufficient departure from practices in place at the time of application, the PACE Council may elect to re-evaluate the provider before the next formal reapplication is due.

Reporting Substantive Changes: All approved providers are expected to report substantive changes in writing to the PACE Council in a timely manner. If a provider is uncertain whether a change is substantive, the provider should contact PACE staff for clarification and guidance. The following procedures shall apply to substantive changes:

- PACE-approved providers must report any substantive change(s) to their CE program.
- The provider must submit a description and/or documentation describing the change(s) and explaining how the CE program will continue to comply with PACE standards and criteria.

Providers will receive written notification that:

- A. The information is acceptable and will be kept on file for review at the time of the provider's next scheduled reapplication, or
- B. Additional documentation is required for re-evaluation prior to the next scheduled reapplication

The PACE Council may exercise its right to re-evaluate an approved provider at any time during the approval period. When a provider has received written notification to provide additional documentation, failure to submit the requested documentation shall be considered grounds for withdrawal of PACE approval status, usually at the next regularly scheduled meetings of the PACE Council. Submission of false or misleading information shall be grounds for withdrawal of PACE approval.

Appeals

In the event that the PACE Council takes adverse action on an application for program provider approval, that program provider may appeal the decision. The following conditions and policies apply:

Procedures for Reconsideration of an Adverse Action Against a CDE Provider

If the PACE Council takes an adverse action on an application for approval or against an approved provider, the provider may request reconsideration by the PACE Council. An adverse action is defined as denial or withdrawal of approval. A reconsideration would be considered by the PACE Council, usually at its next regularly scheduled meeting. Reconsiderations are conducted in accord with the following procedures. The principal purpose of a reconsideration is to determine if, based on the information and documentation previously submitted to the PACE Council, the Council's decision to deny or withdraw recognition was in accordance with the PACE Council's procedures and policies. Reconsiderations may not be based on the length of the recognition period or disagreement with the recognition Standards and Criteria. To ensure due process, the Council will, when appropriate, review substantive procedural issues raised by the provider.

Procedures

If the Council denies or withdraws recognition, the CE provider shall be informed of this decision within thirty (30) days following the Council meeting. If the provider would like reconsideration of the denial or withdrawal, the provider must file a written request for reconsideration with the Council's Program Coordinator by certified mail within twenty-one (21) days after notification of the Council's decision. In the absence of receipt of a request for reconsideration as prescribed above, the Council's decision will automatically be final.

If a request for reconsideration is received as set forth above, the Council shall acknowledge receipt of the request and indicate the deadline for submission of documentation. Receipt of a request for reconsideration will not change a provider's approval status. Approval will remain withdrawn or denied unless and until the Council restores or grants approval.

The provider must submit a non-refundable Reconsideration Fee of \$300 with its request for reconsideration. The provider must submit fifteen (15) copies of evidence and argument in writing to refute or overcome the decision of the Council.

Reconsiderations will be evaluated by the PACE Council. Representatives of the provider may make an appearance before the PACE Council. If desired, legal counsel may accompany the provider and observe the appearance. Legal counsel for the AGD PACE Council may be present for the appearance(s) and the executive session(s) thereafter. No tape-recording of the appearance(s) is permitted.

The provider will be given the opportunity to offer evidence and argument to refute or overcome the adverse action. The Council will review only information and documentation that was previously available to the PACE Council at the time the Council made its decision to take the adverse action.

Mechanism for the Conduct of a Personal Appearance

- A. A brief opening statement may be made by a representative of the PACE Council for the purpose of establishing the Council's findings and reasons therefore and to restate to the representative(s) the amount of time, 30 minutes, allocated for the hearing.
- B. The provider will then present its argument to the Council.
- C. Council members may ask questions of the provider's representative(s) to clarify information presented.
- D. After hearing the evidence, the PACE Council shall meet in closed session to discuss the reconsideration and determine its decision. The recommendation shall be based on a majority vote of the members of the Council present. The Council's decision upon reconsideration will be final.
- E. The Council's decision will be sent by registered mail to the provider within ten (10) days following the Council's decision on reconsideration.

Lexicon of Terms

Many discussions of CDE result in misinterpretation or confusion because frequently used terms may be defined differently in the context of continuing education (CE). To clarify the intent of this document, the following terms are defined as they will be used in relation to CDE. CDE providers should familiarize themselves with these definitions to ensure complete understanding of information provided in this document.

ACTIVITY: An individual educational experience such as a lecture, clinic, or home-study package. (See COURSE)

ADMINISTRATIVE AUTHORITY: The person(s) responsible for the coordination, organization and dissemination of planned CE offerings. Typically, it is an employee of the provider; the provider is responsible for the overall quality.

ADVISORY COMMITTEE: An objective entity that provides peer review and direction for the program and the provider. A majority of the committee must be dental professionals, including at least one licensed practicing dentist who is independent from other responsibilities for the provider. The composition of the advisory committee should include objective representatives of the intended audience, including the members of the dental team for which the courses are offered.

BEST PRACTICES: Those strategies, methods, activities, or approaches that have been shown through research and evaluation to effectively promote continuous quality improvement of CDE in accordance with the ADA CERP Recognition Standards and Procedures AGD PACE Program Guidebook.

COMMERCIAL BIAS/COMMERCIAL INFLUENCE: Any activity or material designed to promote a specific proprietary business interest or entity with a commercial interest.

COMMERCIAL INTEREST/COMMERCIAL ENTITY: Any proprietary entity producing health care goods or services, with the exception of non-profit or government.

COMMERCIAL SUPPORT: Financial support, products, and other resources contributed to support or offset expenses or needs associated with a provider's CDE activity.

COMMERCIAL SUPPORTER: Entities which contribute financial support, products, and other resources to support or offset expenses and /or needs associated with a provider's CDE activity.

CONFLICT OF INTEREST: When an individual has an opportunity to affect CDE content with products or services from a commercial interest with which he/she has a financial relationship.

CONTINUING DENTAL EDUCATION (CDE): Educational activities designed to review existing concepts and techniques, to convey information beyond basic dental education, and to update knowledge on advances in dental and medical sciences. The objective is to improve the knowledge, skills, and ability of the individual to deliver the highest quality of service to the public and profession. The basic sciences and behavioral and social sciences should be considered inseparable from technical knowledge in their influence on the professional person and, for this reason, educational experiences in these areas are an equally valid part of CDE.

CE programs are usually of short duration and are not structured or sequenced to provide academic credit toward a certificate or degree. Such courses are not applicable to advanced standing in specialty education programs. CE courses are conducted in a wide variety of forms using many methods and techniques and are sponsored by a diverse group of institutions, schools, and organizations. CE should favorably enrich past educational experience. These programs should make it possible for dentists and allied team members to attune dental practice to modern knowledge as it continuously becomes available. All CE should strengthen the habits of critical inquiry and balanced judgment that denote the truly professional and scientific person.

COURSE: A type of CE activity; usually implies a planned and formally conducted learning experience. (See ACTIVITY)

COURSE COMPLETION CODE: Also referred to as Verification code. Random code announced by program provider toward the end of each course to help verify that each participant has taken part in the entire course.

EDUCATIONAL METHODS, METHODOLOGIES: The systematic plan or procedure by which information or educational material is made available to the learner. Some examples include lectures, discussions, practice under supervision, audiovisual self-instructional units, case presentations, and Internet-based or other electronically mediated formats.

ELECTRONICALLY MEDIATED LEARNING: Continuing education activities that use one or more of the following technologies to deliver instruction to participants who are separated from the instructor and to support interaction between the participants and the instructor: (1) the internet; (2) one-way and two-way transmissions through open broadcast, closed circuit, cable, microwave, broadband lines, fiber optics, satellite, or wireless communications devices; (3) audio conferencing; or (4) DVDs, CD-ROMs, and videocassettes if these are used in a course in conjunction with any of the other technologies listed. Electronically mediated learning may be delivered through live courses or self-instructional activities.

EVIDENCE-BASED DENTISTRY: An approach to oral health care that requires the judicious integration of systematic assessments of clinically relevant scientific evidence, relating to the patient's oral and medical condition and history, with the dentist's clinical expertise and the patient's treatment needs and preferences. (See *Center for Evidence-Based Dentistry* at <http://ebd.ada.org>).

FINANCIAL RELATIONSHIPS: Any relationship in which the individual benefits by receiving a salary, royalty, intellectual property rights, consulting fee, honoraria, ownership interest contracted research, or other financial benefit or. The AGD considers relationships of the person involved in the CDE activity to include financial relationships of a family member. Financial relationships must be disclosed to the participants.

GOAL: A statement of long-range expectations of a CDE program.

JOINT PROGRAM PROVIDER: An AGD PACE-recognized or non-AGD PACE-recognized provider that shares responsibility with an AGD PACE-recognized provider of CDE for planning, organizing, administering, publicizing, presenting, and keeping records for a program of CDE. Administrative responsibility for development, distribution, and/or presentation of CDE activities must rest with the AGD PACE-recognized provider whenever the provider acts in cooperation with providers that are not recognized by AGD PACE. When two or more AGD PACE-recognized providers act in cooperation to develop, distribute, and/or present an activity, each must be equally and fully responsible for ensuring compliance with these standards.

JOINT PROVIDERSHIP (or co-providership): Any continuing education activity in which an AGD PACE-approved provider agrees to jointly offer a program with another CDE program provider. When an AGD PACE- approved provider jointly offers a CDE activity with a non-approved provider, the PACE-approved provider assumes responsibility for the planning, organizing, administering, publicizing, presenting, and keeping records for the planned continuing dental education activity. Administrative responsibility for development, distribution, and/or presentation of continuing education activities must rest solely with the AGD PACE-approved provider. When two or more AGD PACE-approved providers act in cooperation to develop, distribute and/or present an activity, each must be equally and fully responsible for ensuring compliance with these standards. Letters of agreement between the joint or co-providers must be developed to outline each party's responsibilities for the CDE activity. Letters of agreement must be signed by all parties.

LECTURE COURSE: A live presentation intended to communicate information or teach people about a particular subject. Lectures are used to convey critical information, history, background, theories and equations and do not significantly involve audience participation with the exception of asking and answering questions.

NEEDS ASSESSMENT: The process of identifying the specific information or skills needed by program participants and/or interests of the program participants, based on input from participants themselves or from other relevant data sources. The specific needs thus identified provide the rationale and focus for the educational program.

LECTURER/AUTHOR (also instructor, faculty, faculty member): The person or persons responsible for the development and presentation of specific CE course material for the intended audience.

LIVE COURSE / ACTIVITY: Continuing education courses that participants must attend (whether in person or virtually) in order to claim credit. Live courses can be offered in a variety of formats including national and local conferences, workshops, seminars, and live Internet-based conferences and teleconferences.

OBJECTIVE: Anticipated learner outcomes of a specific CDE learning experience or instructional unit, stated in behavioral or action-oriented terms for the participant.

PARTICIPATION/HANDS-ON COURSE: A live presentation intended to teach people about a particular subject, technique or skill that actively involves the audience. Participants will actively manipulate dental materials or devices, treat patients, or practice clinical skills or techniques under the supervision of a qualified instructor for at least 30% of the total presentation time.

PLANNED PROGRAM: The total efforts of a sponsoring organization as they relate to CDE activities offered to professional

audiences. A sequence or series of CE activities, courses, or events that in total constitutes the sponsoring organizations' activities as they relate to CDE activities offered to professional audiences. These individual activities, courses, or events must be substantially distinguishable from one another. A planned program of CDE activities must consist of more than a single course offered multiple times. A single course offered multiple times may not exceed 50 percent of the total number of courses offered per year. The CE provider's administrator must not function as a sole lecturer/author.

PRODUCT TRAINING: Courses where the central theme is focused on the use of a single product. Course content must be free from any sales and/or marketing information and should enhance a dental professional's knowledge and/or skill to deliver quality service to the public.

PROGRAM PLANNING: The total process of designing and developing CE activities. This process includes assessing learning needs; selecting topics; defining educational objectives; selecting lecturer/author, facilities, and other educational resources; and developing evaluation mechanisms. All steps in the program planning process should be aimed at promoting a favorable climate for adult learning.

PROTOCOL COURSE: Courses which assign homework involving clinical activities and award CDE credit for these clinical activities successfully completed outside of the classroom. Participants must present assignment results to the course instructor or course director before CDE is awarded.

PROVIDER: An agency (institution or organization) that is responsible for organizing, administering, publicizing, presenting, and keeping records for the CDE program. The CE provider assumes both the professional and fiscal liability for the conduct and quality of the program. If the CE provider contracts or agrees with another organization or institution to provide facilities, faculty, or other support for the CE activity, the recognized provider must ensure that the facilities, faculty, or support provided meet the standards and criteria for recognition. The CE provider remains responsible for the overall educational quality of the CE activity. (See SPONSOR)

RECOGNITION: Recognition is conferred upon CE providers or sponsoring organizations that are judged to be conducting a CDE program in compliance with the Standards and Criteria for recognition. (The term "accreditation" is not used in the context of CDE, as "accreditation" has a precise educational meaning that implies that an on-site review based on curricular or patient service standards have been conducted by an accrediting agency recognized by the U.S. Department of Education or the Council on Postsecondary Accreditation. The review process used by AGD PACE does not meet these specific criteria.)

RECOMMENDATIONS: Detailed suggestions and/or assistance in interpreting and implementing the Standards and Criteria for recognition. (See STANDARDS AND CRITERIA FOR RECOGNITION)

RELEVANT FINANCIAL RELATIONSHIPS: For a person involved in the planning, administering or presentation of a continuing dental education activity, relevant financial relationships are financial relationships in any amount, occurring in the last 12 months, that are relevant to the content of the CDE activity and that may create a conflict of interest. AGD PACE considers relevant financial relationships of the person involved in the CDE activity to include financial relationships of a family member. Relevant financial relationships must be disclosed to participants in CDE activities. (See CONFLICT OF INTEREST and FINANCIAL RELATIONSHIPS),

SELF-INSTRUCTIONAL COURSE / ACTIVITY: Continuing education courses in printed or recorded format, including audio, video, or online recordings that may be used over time at various locations.

SOUND SCIENTIFIC BASIS CE material should have peer-reviewed content supported by generally accepted scientific principles or methods that can be substantiated or supported with peer-reviewed scientific literature that is relevant and current; or the CE subject material is currently part of the curriculum of an accredited U.S. or Canadian dental education program and, whenever possible, employ components of evidence-based dentistry.

SPONSOR: Another term used to designate the agency (institution or organization) that is responsible for organizing, administering, publicizing, presenting, and keeping records for the CDE program. (See PROVIDER)

STANDARDS AND CRITERIA FOR RECOGNITION: The criteria which applicant CE providers will be expected to meet in order to attain and then retain recognition status. (See RECOMMENDATIONS) The verbs used in the Standards and Criteria for recognition (i.e., must, should, could, may) were selected carefully and indicate the relative weight attached to each statement. Definitions of the words that were utilized in preparing the standards are:

1. Must — expresses an imperative need, duty, or requirement; an essential or indispensable item; mandatory.
2. Should — expresses the recommended manner to meet the standard; highly recommended, but not mandatory.
3. May or could — expresses freedom or liberty to follow an idea or suggestion.

VERIFICATION CODE: Also referred to as Course Completion Code. Random code announced by program provider toward the end of each course to help verify that each participant has taken part in the entire course.

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2012 Continuing Education Provider Review Committee Meetings

All meetings will be held at DCA 1625 N. Market Blvd., El Dorado Room.

May 31, 2012

July 19, 2012

September 2012 (TBD)

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