

AMERICAN SPEECH-LANGUAGE-HEARING ASSOCIATION

Continuing Education Board  
Manual

## Table of Contents

### Contents

<b>Section 1: Introduction.....</b>	<b>10</b>
ASHA.....	10
Vision .....	11
Mission .....	11
ASHA's Continuing Education Program.....	11
Components of ASHA's Continuing Education Program.....	12
Standards Behind ASHA's Continuing Education Program.....	12
Continuing Education Board (CEB).....	13
Mission .....	13
ASHA National Office Continuing Education Staff .....	14
<b>Section 2: ASHA CE Provider Approval .....</b>	<b>14</b>
Organizations Qualified to Apply.....	15
Application Process.....	16
Application Review Process .....	16
Confidentiality .....	17
Conflict of Interest.....	18
Requirements for Ongoing ASHA Approved CE Provider Status .....	18
Five-year review of Providers.....	19
Ongoing Monitoring of Providers.....	19
Probation.....	20
Withdrawal of Provider Approval.....	20
Fees.....	21
Requirements for ASHA CE Provider Approval.....	21
Requirement 1: Organization.....	21
Guidelines.....	21
Required Practices.....	22
Additional Effective Practices (encouraged).....	22
Requirement 2: Responsibility and Control (Administration).....	23
Guidelines.....	23
Required Practices.....	23
Additional Effective Practices (encouraged).....	24
Requirement 3: Transparency in Course Planning, Delivery, and Marketing.....	24
Guidelines.....	24
Required Practices.....	24
Requirement 4: System for Offering and Verifying Continuing Education Units .....	28
Guidelines.....	28

Required Practices.....	28
Additional Effective Practices (encouraged).....	30
<b>Requirement 5: Needs Identification.....</b>	<b>30</b>
Guidelines.....	30
Required Practices.....	31
Additional Effective Practices (encouraged).....	31
<b>Requirement 6: Learning Outcomes .....</b>	<b>31</b>
Guidelines.....	31
Required Practices.....	32
Additional Effective Practices (encouraged).....	32
<b>Requirement 7: Planning and Instructional Personnel.....</b>	<b>33</b>
Guidelines.....	33
Required Practices.....	33
Additional Effective Practices (encouraged).....	34
<b>Requirement 8: Learning Environment and Support.....</b>	<b>34</b>
Guidelines.....	34
Required Practices.....	35
Additional Effective Practices (encouraged).....	35
<b>Requirement 9: Content and Methodology .....</b>	<b>35</b>
Guidelines.....	35
Required Practices.....	36
Additional Effective Practices (encouraged).....	37
<b>Requirement 10: Requirements for Satisfactory Completion .....</b>	<b>37</b>
Guidelines.....	37
Required Practices.....	38
Additional Effective Practices (encouraged).....	38
Requirement 11: Assessment of Learning Outcomes .....	38
Guidelines.....	38
Required Practices.....	39
Additional Effective Practices (encouraged).....	39
<b>Requirement 12: Program Evaluation .....</b>	<b>39</b>
Guidelines.....	39
Required Practices.....	40
Additional Effective Practices (encouraged).....	40
<b>Section 3: Policies and Procedures.....</b>	<b>41</b>
Overview.....	41
How This Section Is Organized.....	41

ASHA Approved CE Providers.....	41
ASHA CE Administrator's .....	42
CE Courses Offered by ASHA Approved CE Providers .....	42
ASHA CE Participants.....	42
ASHA CE Registry.....	43
ASHA Continuing Education Board.....	43
ASHA Continuing Education Staff.....	44
Mandatory Continuing Education.....	44
State Licensure of Audiologists and Speech-Language Pathologists .....	44
Recognition of ASHA CEUs by Regulatory Agencies .....	44
Types of ASHA CE Courses.....	45
Components of an ASHA CE Course.....	45
Needs Assessment.....	45
Learning Outcomes.....	45
Time-Ordered Agenda .....	46
Instructional Personnel Disclosure.....	46
Learning Outcome Assessment.....	46
Program Evaluation .....	47
Course Promotion and Registration Policies and Procedures.....	47
Course Promotion Requirements.....	47
Course Components Identified Upon Course Registration.....	47
Instructional Level.....	47
Continuing Education Units (CEUs) .....	48
ASHA CEU .....	48
Course Components to Include When Calculating ASHA CEUs.....	49
Course Components Not Included When Calculating ASHA CEUs.....	49
Activities for Which ASHA CEUs are Not Intended .....	50
Calculating ASHA CEUs.....	50
Calculating Partial Credit.....	51
Refund and Cancellation Policies.....	51
Course Registration Requirements .....	51
Components of the Course and Offering Registration.....	52
Provider Code.....	52
Course Number.....	52
Offerings.....	52
Subject Code.....	52
Content Area.....	53
Course Description .....	53
Filing Courses in a Series.....	53
Filing Courses Offered for Academic Credit.....	54

Course Offering Reporting Requirements.....	54
ASHA CEU Participant Information.....	55
Reporting for Distance Learning or Individual/Self-Study Courses.....	55
Reporting When There are No ASHA CEU Participants.....	55
Canceled Course Offerings.....	56
Filing Forms for Rescheduled Course Offerings.....	56
Provider Requirements/Responsibilities Related to Alternative CE Delivery Methods.....	56
Self-Study (Course Type: Individual).....	56
Self-study materials offered for ASHA CEUs are:.....	57
Independent Study.....	57
Independent study plans that qualify for ASHA CEUs are:.....	58
Provider Requirements/Responsibilities Related to Cooperative CE Offerings.....	58
Documents Created by ASHA CE.....	59
Course Registration Confirmation.....	59
Course Offering Roster.....	60
Checking the Accuracy of the Roster.....	60
Correcting the Course Offering Roster.....	60
Situations That Are Not Corrections to the Roster.....	60
Communications from ASHA CE.....	61
Fee Invoices.....	61
Past Due Notification.....	62
Sanctions Against Providers for Noncompliance With CEB Requirements.....	62
Inactive Status.....	62
Probationary Status.....	62
Contacting the ASHA CEB and ASHA CE Staff.....	63
Contacting ASHA CE Staff.....	64
Appeals re: Provider Application Denied or ASHA Approved CE Provider Status Withdrawn.....	64
Request for Continuing Education Board Reconsideration of Denied or Withdrawn Status.....	64
Appeal to ASHA Board of Directors.....	65
Provider Fees.....	65
Application Fee.....	66
Annual Fee.....	66
Co-op Fee.....	66
Five-year Review Fee.....	66
Reorganization Fee.....	66
Changing CE Personnel.....	67
Provider 5-year review.....	68
ASHA CE Registry.....	68

Award for Continuing Education (ACE).....	68
ASHA CEFind.....	69
Participant-Related Documents Used by the ASHA CE Registry.....	69
ASHA CEU Participant Information.....	69
Transcripts.....	70
ASHA CE Registry Subscription Form.....	70
ASHA CE Registry Invoice.....	71
ACE Letter.....	71
ACE Certificate.....	71
Contacting the ASHA CEB and ASHA CE Staff.....	71
Complaints and Concerns About ASHA Approved CE Providers.....	71
Complaints and Concerns About Organizations Erroneously Offering ASHACEUs.....	72
Participant Appeals Process.....	72
Participant Fees.....	73
Annual ASHA CE Registry Fee.....	73
ACE Certificate Fee.....	73
Transcript Fee.....	74
Transcript Fee (Express Service).....	74
Section 4: Provider-Initiated Courses.....	74
Purpose of Provider-Initiated Continuing Education Courses.....	74
Before the Course.....	75
During the Course.....	77
After the Course.....	78
Upon receipt of the course offering report, the ASHA CE Registry will:.....	78
When the course roster is ready, the ASHA CE administrator should:.....	78
Requirements for Providers That Conduct Cooperative CE Offerings.....	79
Requirements for Providers That Conduct Cooperative CE Offerings with Non-Providers.....	80
General Procedures for Planning and Reporting Cooperative CE Offerings.....	82
Before the Course.....	82
During the Course.....	84
After the Course.....	84
Upon receipt of reporting, the ASHA CE Registry will:.....	85
After receipt of the course roster is ready, the ASHA CE administrator should:....	85
Requirements for Providers That Offer Self-Study (i.e., Individual Learning.....	85
Experience) Courses.....	86
General Procedures for Planning and Reporting Self-Study Courses.....	87
Before the Self-Study Course.....	87
Self-Study Course Registration Considerations.....	89
After the Self-Study Course.....	90
Using Pilot Studies and Word Counts to Calculate ASHA CEUs.....	91

Conducting Courses with Alternative Educational Delivery Mechanisms.....	91
Procedures for Planning CE Courses with Alternative Educational DeliveryMechanisms .....	92
Registering the course for ASHA CEUs:.....	92
Other Requirements Related to Planning and Conducting CE Courses.....	93
Sample Course Title and Description.....	93
Person-First Language .....	93
Requirements for Instructional Personnel Disclosure.....	93
Sample Instructional Personnel Disclosure Statements .....	94
Examples of a disclosure statement for a single presenter.....	94
Disclosure:.....	94
Example of no relevant financial relationship(s) or nonfinancial relationship(s) statement.....	94
Disclosure:.....	94
Disclosing relationship(s) at the start of a course.....	94
Disclosure:.....	95
Relevant nonfinancial relationship(s).....	95
Disclosure:.....	95
No relevant relationship(s) to disclose.....	95
Requirements for Financial and In-Kind Support Disclosure.....	95
Promotional wording for sponsorship.....	96
Course Content Disclaimer.....	96
Requirements for Use of ASHA Approved CE Provider Brand Block and Course Information.....	96
Customized Brand Block and Required Course Information.....	97
Acceptable Variations to the Brand Block and Course Information andConditions for Their Use.....	98
Appropriate Use of the ASHA Approved CE Provider Brand Block.....	98
Recommended Additional Information for Promotional Materials.....	99
Course and offering registration.....	100
Submitting Additional Offerings.....	100
Pilot Study Report Form.....	101
Instructions for Completing the Pilot Study Report Form .....	101
A. Methodology .....	101
B. Course/Product description.....	102
C. Data /Analysis/ASHA CEU calculation .....	102
Data.....	102
Analysis.....	102
ASHA CEU calculation.....	102
Establish formula:.....	103
D. Confirmation and Signature.....	103

Step 3- Provide calculations when registering the new course.....	105
<b>Section 5: Independent Study.....</b>	<b>105</b>
Courses Unsuitable for Independent Study.....	107
Requirements for Providers of Independent Study Courses.....	108
Requirement 1: Organization.....	108
Required Practices.....	109
Requirement 2: Responsibility and Control (Administration).....	109
Required Practices.....	109
Requirement 4: System for Offering and Verifying Continuing Education Units..	109
Required Practices.....	109
Requirement 5: Needs Identification.....	111
Required Practices.....	111
Requirement 6: Learning Outcomes.....	111
Required Practices.....	111
Requirement 7: Instructional Personnel.....	111
Required Practices.....	111
Requirement 8: Facilities and Learning Support.....	111
Required Practices.....	111
Requirement 9: Content and Methodology.....	112
Required Practices.....	112
Requirement 10: Requirements for Satisfactory Completion.....	112
Required Practices.....	113
Requirement 11: Assessment of Learning Outcomes.....	113
Required Practices.....	113
Requirement 12: Program Evaluation.....	113
Required Practices.....	113
Overview.....	114
Steps for Planning, Approving, and Filing IS Plans.....	114
Negotiating Independent Study Plans.....	116
Methods for Equating Effort and Time.....	116
Logs.....	117
Products.....	117
Evaluations.....	118
Completing the Online Course and Offering Registration System for an IS Course .....	119
<b>Appendices.....</b>	<b>120</b>
<b>Appendix A How to Conduct A Self-Assessment of Your Continuing Education Program .....</b>	<b>120</b>
What is a self-assessment?.....	120



How does self-assessment relate to becoming an ASHA Approved CE Provider?..	120
What are some of the benefits of a self-assessment?.....	120
How do you conduct a self-assessment?.....	121
<b>Appendix B Conducting Needs Assessment.....</b>	<b>123</b>
Improving Professional Practice; The First Step: Identifying Learning Needs .....	123
Planning the Assessment Procedures.....	124
Gathering the Data .....	124
Analyzing the Data.....	127
Formulating Recommendations Based on the Data Analysis .....	127
<b>Appendix C Developing Learning Outcomes.....</b>	<b>128</b>
What Do You Do After the Needs Assessment? Developing Learner Outcomes!....	128
<b>Appendix D Assessing Learning Outcomes .....</b>	<b>129</b>
Examples of Learner Assessment Models.....	129
Self-Assessment of Learning.....	130
Formal Exam .....	130
Pre-Post Test.....	131
<b>Appendix E Program Evaluation .....</b>	<b>136</b>
Examples of Program Evaluation Models.....	136
Course Content .....	137
Instructor Effectiveness.....	137
Teaching Aids.....	138
General Implementation of CE Course.....	138
<b>Appendix F Subject Codes and Content Codes.....</b>	<b>139</b>
Determining the Subject Code .....	139
➤ <b>Audiology</b> .....	<b>140</b>
➤ <b>Education, Training and Supervision</b> .....	<b>140</b>
➤ <b>Multiple Sessions/Topics</b> .....	<b>140</b>
➤ <b>Service Delivery and Practice Management</b> .....	<b>140</b>
➤ <b>Speech and Language Pathology</b> .....	<b>141</b>
Additional Considerations .....	141
Content Codes.....	142
<b>Appendix G Instructional Levels .....</b>	<b>143</b>
<b>Appendix H Types of Learning Experiences .....</b>	<b>145</b>

## **Section 1: Introduction**

### Purpose and Organization of this Manual

This manual is for both organizations seeking ASHA Approved CE Provider status as well as those that have attained ASHA Approved CE Provider status from the Continuing Education Board (CEB) of the American Speech-Language-Hearing Association (ASHA). The manual is organized into six sections.

### ***Section 1: Introduction***

This section contains background information about ASHA, the CEB, and the ASHA Continuing Education (CE) Program.

### ***Section 2: ASHA CE Provider Approval***

This section contains information about the ASHA Approved CE Provider application process and the 12 basic requirements that organizations must meet to achieve and maintain Approved CE Provider status.

### ***Section 3: Policies and Procedures***

This section provides general information about the structure and function of ASHA's CE Program and details the policies and procedures that pertain to both ASHA Approved CE Providers and the participants at their CE courses.

### ***Section 4: Provider-Initiated Courses***

This section details the process ASHA Approved CE Providers must follow to plan, file, promote, implement, evaluate, and report courses offered for ASHA Continuing Education Units (CEUs).

### ***Section 5: Independent Study***

This section details the process Providers and participants must follow to plan, implement, evaluate, and report independent study courses offered for ASHA Continuing Education Units (CEUs).

### ***Appendices***

This section contains reference materials cited in Sections 1 through 5, as well as an index.

### Background and History

## **ASHA**

ASHA is the national professional, scientific, and credentialing association for audiologists, speech-language pathologists, speech, language, and hearing scientists, audiology and speech-language pathology support personnel, and students.

Audiologists specialize in preventing and assessing hearing and balance disorders as well as providing audiologic treatment, including hearing aids. Speech -language pathologists identify, assess, and treat speech, language, voice, and cognitive-communication problems, as well as feeding and swallowing disorders.

Founded in 1925 as the American Academy of Speech Correction, the organization became the American Society for the Study of Disorders of Speech in 1927, the American Speech Correction Association in 1934, and the American Speech and Hearing Association in 1947. In 1978, it assumed its present name.

### **Vision**

Making effective communication, a human right, accessible and achievable for all.

### **Mission**

Empowering and supporting audiologists, speech-language pathologists, and speech, language, and hearing scientists through:

- advancing science,
- setting standards,
- fostering excellence in professional practice, and
- advocating for members and those they serve.

### **ASHA's Continuing Education Program**

Since its founding in 1925, ASHA has provided its members with opportunities to continue their professional education, traditionally through meetings and conventions. The first short courses "officially" were offered at an ASHA convention in the mid-1930s. Local, state, and national professional associations as well as hospitals, schools, private organizations, and universities also have provided continuing education (CE) on a formal and informal basis throughout the history of the professions. The 1960s brought an increase in the demand for, and provision of, formal CE opportunities. ASHA's Executive Board, recognizing the importance of CE to the professions, established the Continuing Education Committee in 1966. Over the next 13 years, the CE Committee gathered information from members, state associations, licensing agencies, and other professions about CE practices, offerings, and requirements.

Originally, in the 1970s, the CE Committee and the ASHA Executive Board believed that CE should be required for renewal of ASHA's Certificates of Clinical Competence. A plan for mandatory CE was presented to the ASHA Legislative

Council in 1974. The Legislative Council adopted a resolution that included publication of the proposed plan, solicitation of member comments, and development of a revised plan responsive to those comments. After review of responses from members, state associations, licensure boards, and regional groups, the CE Committee presented a revised plan for mandatory CE to the Legislative Council in 1978. Although the Legislative Council affirmed its commitment to the public to maintain professional currency, it reversed its position on mandatory CE and instead requested that a voluntary plan be presented in 1979. The activities of the CE Committee, begun in 1966, culminated in the adoption by the Legislative Council of a voluntary CE plan in 1979.

Phase I of the CE Program, implemented in 1980, included the following: a system for review and approval of providers of group instructional courses, a national CE Registry to maintain records of approved CE providers and participants' transcripts, a CE Information Clearinghouse, ASHA (National Office) sponsored CE courses, and the Award for Continuing Education (ACE). Phase II of the CE Program, ratified by the Legislative Council in 1982, expanded the CE Program to include participant - initiated courses, such as independent study. Phase II of the CE Program was initiated in 1984.

It is the responsibility of the ASHA CE Program to make an impact on individual professional competencies by helping individuals to acquire the knowledge necessary to (a) maintain competence within the scope of professional practice, (b) maintain currency within the scope of professional practice, and (c) expand the information base related to human communication and its disorders.

### **Components of ASHA's Continuing Education Program**

ASHA is committed to providing quality CE experiences for its members and certificate holders. To fulfill this commitment, the Association, through its CE Program, maintains

- a system of approval and ongoing review of organizations offering continuing professional education for audiologists, speech-language pathologists, and speech, language, and hearing scientists,
- a system to document participants continued learning with an internationally recognized unit of measure—the ASHA Continuing Education Unit (CEU),
- records of ASHA Approved CE Providers, their Course Offerings, and participants' records of participation in Approved Providers' CE offerings,
- ASHA CEFind to help participants locate ASHA Approved CE Providers' courses to meet their learning needs, and
- an Award for Continuing Education (ACE) Program to recognize participants' exemplary CE achievements.

### **Standards Behind ASHA's Continuing Education Program**

ASHA's requirements for initial and ongoing ASHA Approved CE Provider status, as well as ASHA's requirements for the Continuing Education Unit (CEU), are based on

the standards established in 1968 by a U.S. Department of Education task force. That task force created the standards for the CEU, a uniform unit of measure for continuing education and training programs like the credit hour system in higher education. In 1977, the task force created a membership organization called the Council on the Continuing Education Unit. The organization's name was changed in 1990 to the International Association for Continuing Education and Training (IACET) to reflect an expanded mission.

IACET continues to be the caretaker of the standards. The association conducts research and development projects directed toward effective practices in CE and training, disseminates effective teaching and learning practices for adults, and educates the public about the CEU. IACET created and maintains the ANSI/IACET Standard for Continuing Education and Training.

### **Continuing Education Board (CEB)**

#### **Charge**

ASHA's CEB is charged with (a) formulating procedures for the review of the Registry of CE participants and their courses, applications, and reports of ASHA Approved Providers' CE courses, and (b) implementing policies regarding Approved CE Providers and CE courses.

The CEB has a minimum of eight members, including the chair. In addition, an ex officio for the ASHA Chief Executive Officer serves on the CEB. The CEB is monitored by ASHA's Vice President for Standards and Ethics in Audiology and the Vice President for Standards and Ethics in Speech-Language Pathology. The CEB has one standing committee, the Regulations and Monitoring Committee, as well as several ad hoc committees that address emerging issues and program development needs.

#### **Mission**

The mission of ASHA's CEB is to support and facilitate professional development by (a) assisting individuals in the management of lifelong learning, (b) encouraging the availability of quality, relevant CE opportunities, and (c) recognizing individual accomplishments in CE.

The CEB, through the CE Program, is providing the framework within which to accomplish this by

Assisting individuals in:

- determining needs
- setting CE goals
- implementing professional development
- evaluating outcomes

- documenting participation

Providing support and development of ASHA Approved Providers of CE

Recognizing individual accomplishments through a variety of mechanisms, including:

- CE Registry transcripts
- the ACE
- letters to employers
- recognition on ASHA's Web site
- recognition by the individual's state association
- recognition at national and state conventions

### **ASHA National Office Continuing Education Staff**

The CEB makes recommendations about policies and procedures that have an impact on the CE Program. The implementation of new policy and the ongoing maintenance of existing CE Program policies and procedures are managed by ASHA CE staff at ASHA's National Office. The staff serves as a liaison among the CEB, ASHA Approved CE Providers, and CE participants. The staff is charged with the management of the CE Program at the direction and approval of the CEB and ASHA's Board of Directors.

## **Section 2: ASHA CE Provider Approval**

Benefits of ASHA Approved CE Provider Status

Becoming an Approved Continuing Education (CE) Provider through ASHA's CE Program has many benefits. They include:

- national recognition as an ASHA Approved Continuing Education Provider and recognition by peers for offering a high-quality continuing education program
- a guarantee that your organization's ASHA CEUs will apply toward the ASHA Award for Continuing Education (ACE)
- a guarantee that your organization's ASHA CEUs may be used by many professionals for renewal of state licensure
- permission to use the ASHA Approved CE Provider Brand Block on Approved Provider promotional materials
- exposure to a market of over 210,000 speech-language pathologists,

audiologists, and speech, language, and hearing scientists.

- networking opportunities with other ASHA Approved CE Providers
- promotion of CE courses on ASHA's Web site
- identification as an ASHA Approved CE Provider on ASHA's Web site
- technical assistance with program planning, brochures, marketing, etc.
- an ASHA Approved CE Provider newsletter, *Intersections: Connect, Exchange, Accomplish*, published three times a year
- discounts on ASHA advertising vehicles and mailing lists/labels

Applying for ASHA Approved CE Provider Status

### **Organizations Qualified to Apply**

An organization that offers CE programs for speech-language pathologists, audiologists, and/or speech, language, and hearing scientists may apply to become an ASHA Approved CE Provider if that organization

- is chartered, incorporated, or a recognized government unit. Educational institutions offering academic degrees must be accredited by a regional accrediting agency or an accrediting agency recognized by the U.S. Department of Education,
- has a well-defined organizational structure in which the responsibility and authority for administering CE courses is assigned to a particular group or unit, and
- meets the ASHA CEB's requirements for Approved Provider status.

Large complex organizations in which CE is conducted by various parts of the organization may choose to seek Approved Provider status for specific divisions, departments, colleges, or units, rather than for the entire organization. Whenever an applicant seeks Approved CE Provider status for more than one unit in an organization, it is the responsibility of the applicant to clearly identify the units and their fiscal, human, and resource relationship to each other and to the entire organization. The applicant may need to attach additional information to the application.

ASHA CE approves organizations to be providers of CE. ASHA CE reviews past course offerings as a representative sample of an organization's ability to adhere to the CEB requirements. Once approved, a Provider must submit documentation of the courses it offers to ASHA CE for review (not approval) at least 15 days before any course offerings earliest start date or 30 days before the earliest start date of a cooperative offering. ASHA CE does not approve the content of individual course offerings. They do, however, review courses for adherence to the CEB requirements.

## **Application Process**

Organizations seeking approval to offer provider-initiated courses and/or to supervise independent study (i.e., participant-initiated) courses must submit an application for ASHA Approved CE Provider status. The application and directions for completing the application may be found at [www.asha.org](http://www.asha.org). The individual who will be administratively responsible for the Provider's CE program (designated ASHA CE administrator) must sign the application. An Approved Provider Agreement Form also is required from the applicant. To apply for ASHA Approved CE Provider status:

1. **Review the Continuing Education Board (CEB) requirements.** Before making a formal application for ASHA Approved CE Provider status, the applicant must review the CEB requirements thoroughly and be able to document that requirements can be met.
2. **Conduct a self-assessment.** After reviewing the requirements, the applicant should conduct a self-assessment of the organization's resources and ability to meet CEB requirements. Although the primary purpose of any self-assessment process is to help the organization become more effective, it also can help an organization determine if it is ready to make a formal application for ASHA Approved CE Provider status. The CEB requirements are an excellent guideline for assessing an applicant organization's present abilities and resources. If the self-assessment reveals areas that need improvement, the organization should delay the formal application until improvements are made.
3. **Complete the application.** Request access to the online application at [www.asha.org](http://www.asha.org). The email response will include directions for completing the application, as well as the application questions. Read the directions and application thoroughly before completing it online.
4. **Pay the application review fee.** An invoice for the fee will be sent upon application submission.

## **Application Review Process**

1. **Review by National Office staff.** ASHA Approved CE Provider applications are received in the ASHA National Office by ASHA Continuing Education staff year-round. The applications are reviewed for completion and application fee payment. ASHA CE reviews the application to determine the applicant's ability to comply with each of the requirements. ASHA CE looks for (a) documentation of the organization's current practices that demonstrate compliance with requirements, (b) descriptions of current practices, and (c) statements of plans for complying with specific CEB requirements and procedures.
2. **Request for further clarification.** If the reviewers have questions about or need further clarification regarding any part of the application, ASHA CE will ask the applicant to provide additional information. Upon receipt of the additional



information, the reviewers again determine whether an organization appears to meet the requirements. If a clarification response is not received within 45 days, ASHA CE will contact the applicant to determine if they plan to submit the requested information and, if so, may allow an additional 45 days to provide the additional information or clarification. If the applicant does not respond within that time period, ASHA CE will terminate their review and close the file.

**Final request for clarification.** If ASHA CE continues to have questions after receiving the applicant's response, ASHA CE will send an additional letter outlining any concerns. This letter will serve as the applicant's final opportunity to show how the organization will meet the ASHA CEB Requirements. Upon receipt of this second response, ASHA CE will make a decision regarding approval.

3. **Completed reviews.** Once ASHA CE completes a review of the application, the decision is communicated to the applicant.
4. **Approved applicants.** Applicants are notified of their approval by email from ASHA CE. The organization is invoiced for [Provider annual fee](#). The Provider annual fee is a calendar year fee. ASHA does not prorate the Provider annual fee. For example, an organization approved in October 2020 must pay the annual fee for the year approved (2020) and will need to pay the following year's annual fee (2021) by December 31, 2020.

Payment of the annual fee and completion of an onboarding process activates the organization's Provider status. Approval is for a 5-year period, during which ongoing monitoring by ASHA CE takes place.

5. **Applicants that are denied.** Applicants that do not provide adequate evidence of meeting the CEB requirements will not be approved. The reasons for denial of Provider approval will be specified in writing to the applicant. The applicant may appeal ASHA CE's decision. The first level of appeal is a request for reconsideration by the entire CEB. If the CEB sustains its negative decision, the applicant then may appeal the decision to the Board of Directors of ASHA. ASHA CE will provide an explanation of its appeals procedure to the applicant. Appeals procedures are described in Section 3.

## **Confidentiality**

Each application and the entire application review process is treated as a confidential matter by ASHA CE. ASHA CE seeks to maintain the integrity of the Provider approval process by respecting the confidentiality of information provided by the applicant and simultaneously releasing essential information to the public. The following information may be released by ASHA CE:

- names of applicant organizations
- names of ASHA Approved CE Providers and the approval period dates
- names of ASHA Approved CE Providers whose approval has been withdrawn by ASHA CE.

- names of organizations that voluntarily withdraw as an ASHA Approved CE Provider

### **Conflict of Interest**

The integrity of the Provider application review process must be preserved. ASHA CE must not be influenced in any way that would interfere with the objective review, evaluation, and approval or disapproval of any applicant organization.

It is imperative that applicants, reviewers, staff, and Providers avoid conflicts of interest or even the appearance of a conflict of interest that might interfere with a fair and objective review. A conflict of interest may exist if there is a personal, financial, or professional relationship between the applicant organization and those who are charged with the responsibility for reviewing that organization's application. An apparent conflict of interest is a circumstance in which others could reasonably infer that a conflict of interest exists when the person in question has no actual stake in the outcome and is confident that as a reviewer his or her objectivity would not, in fact, be compromised. ASHA CE should not participate in Provider approval procedures in which a real or apparent conflict of interest exists. They should not participate in the evaluation of applications whose outcome might, in any way, affect the interest of an organization or institution with which the staff member, an immediate family member, or close personal associate is an employee, consultant, officer, director, trustee, partner, or has a financial interest, current or prospective.

CEB members are expected to decline to participate in deliberations or actions on any application that they believe present a real or apparent professional, personal, or financial conflict of interest. The same standards apply to CEB members and Board of Director members, who should abstain from participating in appeal proceedings concerning organizations with which they have some connection or relationship that could be construed as a real or apparent conflict of interest. Maintaining ASHA Approved CE Provider Status

### **Requirements for Ongoing ASHA Approved CE Provider Status**

Providers are approved for a 5-year period. However, a Provider's ability to provide high-quality CE courses is monitored on an ongoing basis by ASHA CE. In order to maintain ASHA Approved CE Provider status, a Provider must

- continue to meet the 12 requirements upon which initial Provider approval was based or meet any additions or revisions to the requirements as notified by ASHA CE.
- meet the required practices and follow the policies and procedures that are described in this manual and in subsequent revisions to the manual as communicated to the Provider by ASHA CE.
- register ASHA CE courses by submitting a Course and Offering Registration (see Section 4) by ASHA CE by the required deadline.

- report on each offering submitted to the ASHA CE Registry within stated deadlines (see <https://www.asha.org/uploadedFiles/CE-Deadline-Reference-Guide.pdf>). Reporting is required for course offerings with participants as well as those offerings that are canceled or held but with no participants requesting or eligible for ASHA CEUs.
- participate in the Provider 5-year review process (see following and refer to Section 3 for additional information about the Provider 5-year review);
- pay all application fees, annual Provider fees and late fees, applicable co-op fees, and appeal fees.

### **Five-year review of Providers**

Provider approval is for a 5-year period. The 5-year period starts from the date of initial Provider approval by ASHA CE. The letter from ASHA CE to the Provider indicating approval of the application will indicate the dates for the 5 -year approval period. Information about the 5-year review will be issued to the Provider's CE administrator in advanced of the Provider approval expiration date. Providers are required to update contact information and provide evidence of continuing adherence to CEB requirements when such documentation is not contained in a Provider's records at the ASHA National Office. ASHA CE charges a fee to complete the 5-year review. ASHA CE reserves the right to request additional information upon evidence of noncompliance with the CEB requirements.

The Provider will be notified of the status of the review and continued Provider approval, or other status determined by ASHA CE as a result of the review. If the review is satisfactory, the Provider will be approved for an additional 5 -year period. Subsequent 5-year review cycles follow a similar pattern, with each review date based on the previous approval expiration date.

### **Ongoing Monitoring of Providers**

A sustained level of high-quality programming is essential for maintaining ASHA Approved CE Provider status. Therefore, ASHA CE monitors compliance with the CEB requirements and investigates complaints of possible violations of the requirements or of the Approved Provider agreement.

ASHA CE will notify the Provider's CE administrator in writing if the Provider is under review. When the review is completed, the Provider will receive a written response from ASHA CE about the outcome. ASHA CE may use a variety of monitoring techniques, including any or all of the following:

- Review of records required in the Approved Provider agreement. Records may be reviewed at the Provider's location, the ASHA National Office, or another location determined by ASHA CE.
- Review of documentation (e.g., material related to needs assessment, program planning, learning resources, instructional personnel, learner assessment,

program evaluation, record keeping, promotional materials, policies, and operations) deemed essential for compliance with CEB requirements. Records may be reviewed at the Provider's location, the ASHA National Office, or another location determined by ASHA CE.

- Visits and assessment of specific courses.
- Investigation of complaints or information regarding alleged violations of the CEB requirements or the Approved Provider agreement.
- Self-assessment conducted by the Provider.

### **Probation**

ASHA CE may place a Provider on probation for repeated and documented failure to comply with CEB requirements, policies, and/or procedures or for failure to participate in the Provider 5-Year Review, as scheduled. The Provider may be placed on probation for not more than 1 year before being withdrawn. The reasons for probation will be specified in writing to the Provider's CE administrator. During the period of probation, the Provider must provide evidence of a plan for compliance with the requirements established by the CEB. If, at the end of the probationary period, the Provider continues to be out of compliance, approval will be withdrawn. ASHA CE may withdraw Provider approval at any time during the probationary status period if the situation warrants. If Provider approval is withdrawn, any fees credited to the program will be forfeited; any fees outstanding will be due.

### **Withdrawal of Provider Approval**

ASHA CE reserves the right to withdraw ASHA Approved CE Provider status, following due process, if an organization (a) provides false information on the application or subsequent Provider reviews, (b) fails to conduct CE courses in compliance with the CEB requirements, (c) fails to comply with the conditions listed in the CE Provider agreement, (d) fails to maintain the organizational and administrative requirements necessary for ASHA Approved CE Provider status, and/or (e) fails to meet the requirements placed upon the Provider during a probationary or inactive status.

In most cases, a Provider is placed in a probationary or inactive status before having Provider status withdrawn. The probationary or inactive period allows the Provider time to make necessary changes in order to meet CEB requirements.

When ASHA CE withdraws ASHA Approved CE Provider status, the Provider is notified in writing. The Provider has the right to appeal that decision. The appeals process is outlined in Section 3.

## **Fees**

The cost of becoming an ASHA Approved CE Provider involves an application fee and an annual Provider fee. The application fee is submitted to ASHA CE with the application for ASHA Approved CE Provider status and is nonrefundable. The Provider fee, which is due annually, provides for the recognition and promotion of the Provider's CE program, the regular listing of the Provider's courses in ASHA CEFind, and other consultative and administrative functions. Providers who are approved after December 1 of a given year will be expected to pay an annual fee in the upcoming year and each year of approval thereafter. Providers who receive initial approval before December 1 of any given year will be expected to pay an annual fee for the year in which they are approved. Annual Provider fees are nonrefundable.

In addition, a co-op fee is charged when a Provider offers a CE course offering with an organization that is not an ASHA Approved CE Provider. The co-op fee(s) must be submitted with the course and/or offering registration. Co-op fees are nonrefundable.

## **Requirements for ASHA CE Provider Approval**

The following requirements pertain to initial ASHA CE Provider approval, as well as ongoing ASHA Approved CE Provider status. Guidelines clarify and interpret the requirement. Required Practices are mandatory. Additional Effective Practices are suggested but not mandatory.

### **Requirement 1: Organization**

*The Provider (organization) must have an identifiable continuing education group or unit with assigned responsibility for administering continuing education courses.*

### **Guidelines**

The continuing education group or unit is clearly identified within the Provider's organizational structure. The courses of the group/unit should support the organization's mission. This support may be evidenced by the group's/unit's own mission statement or by a similar document that defines the group's/unit's responsibilities.

Large complex organizations in which continuing education is conducted by various parts of the organization may choose to seek initial and ongoing Provider approval for specific divisions, departments, colleges, or units, rather than for the entire organization. Whenever an applicant seeks ASHA Approved CE Provider status for more than one group/unit in an organization, it is the responsibility of the applicant to clearly identify the units and their relationship (fiscal, human, and physical resources) to each other and the entire organization.

## **Required Practices**

- 1.1 The administrative group/unit responsible for continuing education is clearly identified within the organization.
- 1.2 Assigned responsibilities of the continuing education group/unit support the organization's mission.
- 1.3 The group/unit administers continuing education programs as indicated in the group's/unit's mission statement or similar document.
- 1.4 There is a sense of stability and permanence to the organization and the continuing education group/unit.
- 1.5 The organization has sufficient fiscal, human, and physical resources to support the continuing education group/unit and program, as well as its continued improvement.
- 1.6 The organization and its staff demonstrate high standards of professional conduct and respect the rights and worth of the individuals served.
- 1.7 The organization has established written policies concerning the criteria for (a) refund of fees in the event a program is canceled or rescheduled by the Provider, (b) refund of fees when a participant cancels, and (c) the resolution of complaints from individuals not satisfied with the organization's continuing education services/programs. These policies should be stated clearly to participants (e.g., in promotional materials, in course handouts).
- 1.8 The organization has a system in place to retain all information related to CE course planning and registration for a period of 7 years.

## **Additional Effective Practices (encouraged)**

- The mission of the continuing education group/unit is evident in policies, procedures, and programs.
- The continuing education policies and procedures are articulated clearly.
- There is evidence of commitment to organizational and program improvement.

## **Requirement 2: Responsibility and Control (Administration)**

*The Provider (organization), through its continuing education group/unit, ensures that the Continuing Education Board (CEB) requirements and procedures are followed.*

### **Guidelines**

Written internal policies should clearly show that the continuing education (CE) group/unit has the authority and responsibility to establish and implement review procedures that ensure that CE courses continually meet the ASHA Continuing Education Board's requirements. In jointly offered programs, assurance that requirements are met is the responsibility of the ASHA Approved CE Provider.

There should be designated professionals within the organization who have authority to administer and coordinate an organized schedule of CE courses. Sound administrative practices are a prerequisite for maintaining and continuously improving the quality of CE courses.

The organization will designate one person from the organization as the ASHA CE administrator. The CE administrator is the liaison and contact person between the Provider organization and the CEB. The professional designated by the organization as the CE administrator is responsible for seeing that all CEB requirements and procedures are followed.

If the CE administrator is neither an ASHA member nor a holder of one of the ASHA Certificates of Clinical Competence (i.e., certified by ASHA), the organization must designate a CE Content Consultant who is an ASHA-certified speech-language pathologist; audiologist; speech, language, or hearing scientist; and/or ASHA member. The CE Content Consultant must be involved in all continuing education course planning, implementation, and evaluation.

### **Required Practices**

- 2.1 Internal policies of the organization clearly indicate that there is a review process, with oversight by the ASHA CE administrator that ensures adherence to the CEB's requirements, including deadlines for submission of reports, forms, participant credit, etc.
- 2.2 The review process, authority, and responsibility for adherence to CEB requirements is conducted by an individual who has sound working knowledge of the CEB requirements and the professions of speech-language pathology and audiology.
- 2.3 The individual designated as the ASHA CE administrator should be an ASHA-certified speech-language pathologist, audiologist; speech, language, or hearing scientist; and/or ASHA member. If the CE administrator is neither an ASHA member nor certified by ASHA, the organization must designate a CE Content



Consultant who is a certified speech-language pathologist; audiologist; speech, language, or hearing scientist; and/or an ASHA member. The CE Content Consultant must be involved in all CE course planning, implementation, and evaluation and designated as the CE Content Consultant.

- 2.4 The review process incorporates the latest revisions in CEB requirements, policies, procedures, and guidelines.
- 2.5 If an ASHA Approved CE Provider agrees to offer a course with an organization that is not an approved provider, the Approved Provider must ensure adherence to the 12 CEB requirements. Such assurance requires that the Provider be significantly and directly involved in the planning, promotion, implementation, evaluation, and reporting of that course. (See Provider Requirements/Responsibilities Related to Cooperative CE Offerings in Section 3).

### **Additional Effective Practices (encouraged)**

- The designated CE administrator has previous experience using the CEB requirements and other individuals involved in the review process are trained in and/or experienced in using the CEB requirements.
- The review process examines the use of additional practices beyond those spelled out in the CEB requirements to enhance program quality.
- Efforts toward program improvement are evident, including the use of data from needs assessments, learner assessments, and program evaluations from previous programs.

### **Requirement 3: Transparency in Course Planning, Delivery, and Marketing**

*The Provider (organization) must focus their courses on scientific and professional education, not product or service promotion. The Provider must have processes to resolve and disclose conflicts of interest. These processes must also address the management and disclosure of financial and in-kind support of CE courses. Additionally, the Provider must appropriately manage exhibits and advertising associated with CE courses.*

#### **Guidelines**

The purpose of having processes to manage financial and in-kind support, exhibits/advertising, and conflicts of interest is to ensure that learners are informed of situations that might influence the content or presentation of courses. Disclosure contributes to a transparent relationship between providers and presenters of continuing education and consumers of that education.

#### **Required Practices**



3.1 The Provider must ensure that CE course content and the presentation focus on the science and/or contemporary practice of speech-language pathology and/or audiology. Attempts to persuade organizations and individuals involved in planning, implementing, or evaluating the course to favor, recommend, purchase, use, or promote a particular product, equipment, device, or service are not permitted. Likewise, attempts to persuade learners of the same are not permitted in courses offered for ASHA CEUs.

3.1.a The Provider must ensure that the sale or promotion of products or services are not the focus of CE course content and related materials.

Product and service promotion should not influence the following decisions:

- (a) Identification of learning needs;
- (b) Determination of learner outcomes;
- (c) Selection and presentation of content;
- (d) Selection of all persons and organizations that will be in a position to control the content of the course;
- (e) Selection of educational methods;
- (f) Assessment of learning outcomes;
- (g) Evaluation of the course;
- (h) Selection of facilities.

3.1.b Providers who offer courses about products or services or jointly plan courses with an organization that has products or services:

- (a) Must provide information in a scholarly manner regarding (1) theoretical aspects related to the product or service and/or (2) the details of operation.
- (b) Must disclose prior to the course that there will be limited, or no information provided about similar products or services when a course is focused on a specific product or service. Conversely, when a specific product or service is not presented, the use of trade and product names from several companies will be considered.

3.2 The Provider must have a written process in place to (1) identify relevant conflicts of interest, (2) determine if the existence of those conflicts of interest disqualifies an individual from being involved in the course planning and delivery, and (3) disclose conflicts of interest to learners. *Conflicts of interest* in continuing education arise when financial and/or nonfinancial considerations, relevant to the course content, compromise or have the potential to compromise professional judgment.

3.2.a The Provider must document that each individual developing and/or delivering course content has disclosed, prior to and during course planning, all existing and relevant financial and nonfinancial relationships.

3.2.b The Provider must have a process to identify relevant financial and nonfinancial relationships that have developed after course planning and prior to course delivery.

3.2.c Any individual involved in developing and/or delivering course content who refuses to disclose relevant financial and nonfinancial relationships will be disqualified and cannot have control of, or responsibility for, the planning, management, presentation, or evaluation of the CE course.

3.2.d The Provider must have a process to determine whether relevant conflicts of interest disqualify the individual from participation in course planning and/or delivery or if the conflicts may be resolved through disclosure.

3.2.e The Provider must have a process for disclosing relevant conflicts of interest for all instructional personnel.

3.2.f The Provider must ensure that instructional personnel disclosure is available to potential registrants in promotional efforts and at the start of the course.

3.2.g The Provider must ensure that the following information is disclosed to learners:

- The name of the instructional personnel.
- Relevant financial relationship(s): Listing the name of the organization and the type of financial relationship; and/or
- Relevant nonfinancial relationship(s): Listing the name of the organization and the type of nonfinancial relationship; or
- No relevant financial or nonfinancial relationships exist.

3.3 The Provider must manage and disclose all financial and in-kind support given by other organizations that is used to pay all or part of the costs of the CE course.

3.3.a The Provider must make all decisions regarding the allocation and disbursement of funds received from other organizations.

3.3.b The Provider must be able to produce accurate and detailed written documentation of:

- i. Names of organizations that provided financial and/or in-kind support,
- ii. Dollar amount received from each organization,
- iii. Monetary value and description of in-kind support received,
- iv. How the money and in-kind support were used.

3.3.c As a condition of receiving financial and in-kind support, a Provider is not required to accept advice or services from contributing organizations concerning planners, instructional personnel, learners, course content, planning, implementation, or evaluation.

3.3.d If payment for planners and instructional personnel is involved, it must come directly from the Provider or cooperative party (or parties) involved in course content development, not from the other organization(s) providing financial or in-kind support for the CE course.

3.3.e The Provider may use financial or in-kind support received from other organizations to pay for travel, lodging and other expenses for learners. The Provider must manage the disbursement of this assistance.

3.3.f The names of other organizations contributing financial and in-kind support must be disclosed to learners prior to the beginning of the CE course.

3.4 The Provider must appropriately manage exhibits and advertisements associated with a CE course.

3.4.a The Provider controls decision making over placement of exhibits and advertisements and the time and place of social events or meals.

3.4.b Promotional activities, such as exhibits, commercial presentations, and printed or electronic advertisements, are prohibited in the physical or virtual location where CE courses are conducted. Likewise, promotional activities are prohibited as part of the instructional portion of CE courses. For example:

- a) Live, face-to-face CE courses: Display or distribution of advertisements and promotional materials is prohibited in the instructional space where the CE course is conducted.
- a. Print-based CE courses: Advertisement and promotional materials are prohibited within the pages of the CE content. Advertisements and promotional materials may face the first or last pages of printed CE content.
- b. Web/computer-based CE courses: Advertisements and promotional materials are prohibited on the screen, the web page, or as “pop-ups” where the CE content is displayed.
- b) Recorded CE courses: Advertisements and promotional materials are prohibited within the CE course. There will be no “commercial breaks.”

3.4.c Providers must ensure that products, equipment, or devices used in conducting the course are not sold or marketed as part of the instructional portion of the CE course.

3.4.d Print or electronic information distributed about the CE course that is not directly related to the transfer of education to the learner, such as schedules and content descriptions, may include product, service, or organizational promotion or product-specific advertisements.

3.4 e Print or digital course descriptions, promotional materials or advertisements must adhere to the following requirements:

1. When referencing the credit offered, the specific types of CEUs, credit, or hours must be identified. For example, use the phrase “ASHA CEUs: versus “CEUs.”
2. Advertising cannot include the phrase “free ASHA CEUs,” or any

- language implying or suggesting that the awarding of ASHA CEUs is free.
3. The word “free” may be used when advertising a course that has no registration fee.
  4. If course registration is free, but the purchase of an item related to the course is required to participate in the course—for example, a book or a device—then this must be disclosed to the learner prior to their registering for the course.
  5. The acronym “CEU” should not be used to mean “course.” For example, say “New courses for ASHA CEUs” versus “New CEUs.”

#### **Requirement 4: System for Offering and Verifying Continuing Education Units**

*The Provider (organization) has an established procedure to identify participants who meet requirements for satisfactory completion of the course and who are qualified to earn ASHA Continuing Education Units (CEUs). There is also a system for maintaining permanent participant records for a period of at least 2 years.*

#### **Guidelines**

The ASHA CE administrator verifies and reports that each participant has (or has not) met the specified requirements for satisfactory completion of the course and is (or is not) eligible to be awarded ASHA CEUs. Only learners who successfully complete a program or course are awarded ASHA CEUs. This information, verified by the ASHA CE administrator, is reported to ASHA CE.

The Provider is expected to retain a record of each participant who successfully completes a course for ASHA CEUs and the number of ASHA CEUs earned.

Records must be maintained for a minimum of 2 years from the completion date of the course offering. These records are used by the Provider to verify and check the course roster. The system also ensures that back-up records are accessible in the event that original documentation is damaged, incorrect, or in the event that they never reach the ASHA CE Registry.

#### **Required Practices**

- 4.1 The Provider uses the internationally recognized quantitative measure, the Continuing Education Unit (CEU), to record learner participation.
- 4.2 The Provider has a process for calculating the number of ASHA CEUs available for each course. Sixty minutes or 1 clock hour is equal to 0.1 ASHA CEU. Ten clock hours equal one (1.0) ASHA CEU. Increments of less than an hour are rounded down to the nearest half-hour or hour when computing the total number of ASHA CEUs for a course.
- 4.3 In courses in which the method of educational delivery does not lend itself to easy translation to 1.0 ASHA CEU for 10 contact hours, the

method of assigning credits should be described, and the Provider must justify the method of determining the number of ASHA CEUs for that course. The CEB reserves the right to evaluate and determine the appropriateness of the number of ASHA CEUs offered.

- 4.4. If a Provider initiated or jointly offered course is to be offered for ASHA CEUs, the Provider shall submit course and offering registration to CE that arrives no less than 15 days in advance of the start date for the earliest offering of the course.
- 4.5 Subsequent offerings of the course must be registered no less than 3 days in advance of the start date of the offering. Applicable registration fees must be paid at the time of submission.
- 4.6 If a cooperative offering course is to be offered for ASHA CEUs, the Provider shall submit course and offering registration to CE that arrives no less than 30 days in advance of the start date for the earliest offering of the course. Cooperative fees must be paid at the time of submission.
- 4.7 If a course requiring pilot study is to be offered for ASHA CEUs, the Provider shall submit course and offering registration to CE that arrives no less than 15days in advance of the start date for the earliest offering of the course.
- 4.8 The course description included on the course and offering registration should include the key learning outcomes for the course.
- 4.9 The primary promotional materials for courses offered for ASHA CEUs must include the ASHA Approved CE Provider Brand Block and the required course information that indicates the number of ASHA CEUs to be offered for successful completion of the course and the instructional level of the course. The Brand Block identifies the Provider as Approved to offer ASHA CEUs. (See “Requirements for Use of ASHA Approved CE Provider Brand Block and Course Information,” Section 4.)
- 4.10 The Provider has a systematic process for verifying attendance and identifying individuals who satisfactorily complete a course and are eligible to earn ASHA CEUs.
- 4.11 If earning ASHA CEUs is dependent on participant attendance, the Provider has an appropriate system in place to track and monitor participant attendance, especially with large conferences and conventions. For programs such as conventions and large conferences, the Provider has a system to track, calculate, and offer variable credit to participants who do not attend the entire course.
- 4.12 The Provider has a system in place to collect the information required to

report participant's successful completion to ASHA CE.

4.13 The Provider will report on each offering submitted to the ASHA CE Registry within stated deadlines. Reporting is required for course offerings with participants as well as those offerings that are canceled or held but with no participants requesting or eligible for ASHA CEUs.

4.14 The Provider has a permanent record-keeping system for retaining participants' names and ASHA CEUs earned for a minimum of 2 years from the completion date of the course offering.

4.15 The Provider has a system to ensure the privacy and security of participants' records.

4.16 The Provider has a system in place to review the ASHA CE Registry course offering record (i.e., offering roster) to ensure the accuracy and completeness of the offering participants' names and ASHA CEUs. Corrections to the ASHA CE Registry course offering record must be received by the roster correction deadline (see "Correcting the Course Offering Roster" in Section 3).

4.17 The Provider may not offer ASHA CEUs retroactively; however, Provider records can be used to correct ASHA CE Registry records if participant credit is incorrectly recorded by the Registry.

#### **Additional Effective Practices (encouraged)**

- A reasonable degree of security is used to ensure that necessary requirements have been met for satisfactory completion.
- Criteria for successful completion are compatible with learning outcomes of each course.
- Additional information, such as current address, telephone number, identification number, and assessment scores, are part of the records maintained by Provider.

### **Requirement 5: Needs Identification**

*The Provider (organization) ensures that continuing education courses are planned in response to identified needs of a target audience.*

#### **Guidelines**

The purpose of identifying learning needs is to determine the difference between an existing condition and a desired condition. The gap between the existing and desired condition is the foundation for any continuing education course. Once needs have been identified, a needs analysis is used to determine if continuing education is an appropriate method of intervention to narrow the gap. The failure to correctly identify the reason for the

gap may result in an ineffective education course that has little or no impact.

The need for continuing education may arise from a variety of factors, such as new legislation or regulations; new performance expectations or deficiencies; and changes in information, skills, attitudes, processes, systems, organizations, occupations, and professions. Product and service promotion should not influence the identification of learning needs. Each individual continuing education course does not require a separate needs assessment; however, the rationale and planning for each course should be the result of needs that have been identified and documented by some assessment method(s).

### **Required Practices**

- 5.1 The Provider has an established process for systematically identifying and updating needs.
- 5.2 Needs assessment data provide the basis for continuing education course planning and development.
- 5.3 Each continuing education course topic and its content originate from identified needs.
- 5.4 The Provider defines the potential participants for each continuing education course and should specify the target audience and any prerequisites in all promotional efforts.

### **Additional Effective Practices (encouraged)**

- "Needs" versus "interests" are identified.
- Potential learners are involved in identifying and/or verifying needs.
- Multiple sources of information are tapped for needs assessments.
- Needs reflect differences between existing levels and desired levels of knowledge, skills, or attitudes.
- Needs are based on objective data.
- Needs are documented.

## **Requirement 6: Learning Outcomes**

*The Provider (organization) has clear and concise written statements of intended learning outcomes (e.g., behavioral or performance objectives) that are based on identified needs for each continuing education course.*

### **Guidelines**

Intended learning outcomes are synonymous with behavioral and performance objectives. Unlike program objectives that identify the instructional goals of the presenter, learning outcomes define the skills, knowledge, and/or attitudes that the learner should be able to demonstrate following the learning experience. Learners should be informed of these intended learning outcomes before and during the course. Learning outcomes should be published in promotional materials about the course. If publication of learning outcomes is not possible, information should be available to prospective participants upon request. Learning outcomes are the foundation for planning, instruction, measuring progress, obtaining periodic feedback, and making final assessment.

### **Required Practices**

- 6.1 Written learning outcomes that reflect what learners will be able to demonstrate are established for each continuing education course. Product and service promotion should not influence the determination of learning outcomes.
- 6.2 When learning outcomes are established for a large course such as a convention, each session within that course must be keyed to one or more of the overall course outcomes, or each individual session must have its own learning outcomes.
- 6.3 Learning outcomes define the skills, knowledge, and/or attitudes that the learner should be able to demonstrate following the learning experience.
- 6.4 Written learning outcome statements are clear, concise, measurable, observable (when applicable), and focused on the performance of the learner.
- 6.5 Planned learning outcomes are based on identified needs.
- 6.6 The number of planned learning outcomes is limited and reasonable.
- 6.7 Learners are informed of intended learning outcomes.

### **Additional Effective Practices (encouraged)**

- Learning outcomes serve as an outline for curriculum development.
- References to outcomes during courses serve as feedback to learners regarding their progress.
- Identified needs, learning outcomes, and assessment methods are directly linked throughout program planning and delivery.



## **Requirement 7: Planning and Instructional Personnel**

*The Provider (organization) ensures that qualified individuals are directly involved in determining the continuing education course's purpose, developing intended learning outcomes, and planning and conducting each course.*

### **Guidelines**

Continuing education course development may require a team approach involving the ASHA CE administrator, program development experts, and content experts. The ASHA CE administrator has oversight responsibilities and also should be directly involved in this phase of course development. The quality of a continuing education course and its value to the participant rests heavily on the course's planners, the instructors' competence in the subject matter, and the ability of both to communicate and facilitate learning. It is the joint responsibility of the Provider (represented by the ASHA CE administrator) and of the planner(s) and instructor(s) to ensure that the learning experience results in the intended learning outcomes.

Decisions about course planning and development should be made by individuals who:

1. are competent in the subject matter,
2. understand the program purpose and intended learning outcomes,
3. have knowledge and skill in instructional methodologies and learning processes, and
4. have the ability to communicate to participants at an appropriate level.

Continuing education courses should be for scientific and professional educational purposes and not for promoting products or services. Conflicts of interest disclosure is required of each individual developing and/or delivering a course. Individuals who participate in CE courses have the right to know of any conflicts of interest an instructor or planner may have. Providers must comply with Required Practice 3.2 in the selection of all planning and instructional personnel in a position to control course content.

### **Required Practices**

- 7.1 The Provider ensures that individuals involved in program planning and instruction are qualified by virtue of their education and/or experience.
- 7.2 Planning and instructional personnel are identified and screened using a systematic process. This process must include the identification and resolution of conflicts of interest.
- 7.3 Expertise in course content and instructional methodologies is used in developing courses.

- 7.4 Individuals involved in program planning understand and use learning outcomes in program planning and development.
- 7.5 Planning and instructional personnel are reasonably and consistently effective in meeting learning outcomes and learner expectations.
- 7.6 Planning and instructional personnel demonstrate high standards of professional conduct and will not discriminate against participants on the basis of gender, age, socioeconomic or ethnic background, sexual orientation, or disability.
- 7.7 The Provider ensures that conflicts of interest are disclosed to learners. Providers must comply with Required Practices 3.2.e, 3.2.f, and 3.2.g when disclosing relevant conflicts of interest to learners.
- 7.8 Instructors are provided feedback on their performance.

#### **Additional Effective Practices (encouraged)**

- Effectiveness of program planning and delivery is evaluated.
- Information on educational processes is provided to instructors.
- Program content and educational methodologies are well balanced.

### **Requirement 8: Learning Environment and Support**

*The Provider (organization) ensures that appropriate educational facilities, resource or reference materials, and instructional aids and equipment are consistent with the purpose, design, and intended learning outcomes of each course.*

#### **Guidelines**

The design and use of facilities should enhance teaching and learning. For example, lighting, sound, seating, visual aids, reference materials, and other needed resources should be appropriate and available to enhance learning.

The facilities, resources, and reference materials should be accessible to all individuals, including participants with disabilities.

In learning formats such as self-study, journal study, computer-based instruction, and distance learning with audio, video, and television, the Provider may not be able to control the learning environment. In such cases, the Provider should consider other ways to support learners and enhance learning.

Promotional activities, such as exhibits, commercial presentations, and printed or electronic advertisements, cannot be in the same physical or virtual location where the

CE course is conducted. Providers must comply with Required Practice 3.4 in the management of exhibits and advertisements associated with a CE course.

### **Required Practices**

- 8.1 The facilities are appropriate and adequate to the content and method of delivery of the course and should enhance learning.
- 8.2 The facilities, learning experience, and resource materials are accessible to all individuals, including participants with disabilities.
- 8.3 Educational services and equipment are available to support learning in a manner consistent with the organization's mission and with the course's learning outcomes. Products, equipment or devices used in conducting the course should not be sold or marketed as part of the instructional portion of the CE course.
- 8.4. If it is recommended or required that the learner purchases a product or service in order to participate in a course, this must be communicated to the learner prior to registration.

### **Additional Effective Practices (encouraged)**

- The facilities accommodate varied instructional techniques, such as small-group discussion, experiential learning, and interactive learning.
- The facilities enhance the transfer of learning by replicating workplace conditions in which new knowledge and skills will be applied.
- A learning atmosphere is promoted.
- Light, sound, seating, and physical conditions are appropriate for skill building.
- Learners have access to resources, such as job aids, reference materials, hardware, software, and subject matter experts

## **Requirement 9: Content and Methodology**

*The Provider (organization) ensures that content and instructional methodologies are consistent with stated learning outcomes, are appropriate for learning, and permit opportunities for learners to participate and receive feedback.*

### **Guidelines**

Selected content logically supports statements of intended learning outcomes. Both learners and instructor(s) understand intended outcomes and how they will be achieved.

Content is current and organized in a logical manner, proceeding from basic to advanced levels. Instructional methodologies should permit learners to interact and to receive

feedback that reinforces learning.

Certain products and services are effective in speech, language, and hearing assessment, treatment, and research. Many of these products and services are complex in their operation or administration and require substantial training in their use. Therefore, it is appropriate that Providers offer instruction in the theory and operation or administration of products and services. However, the sale or marketing of products and services in the instructional portion of the CE course is prohibited.

### **Required Practices**

- 9.1 The course's content is directly related to learning outcomes. The content and learning outcomes should be related to the sciences and/or the contemporary practice of speech-language pathology, audiology, and/or speech/language/hearing sciences. Promotion of products and services should not influence the development and delivery of the course content.
- 9.2 Course content that includes reference to products and services must focus on scientific and professional education, not product or service marketing and promotion. Selling or marketing specific products or services during the instructional portion of a course is prohibited in courses offered for ASHA CEUs. Providers must comply with Required Practice 3.1.
- 9.3 The content and instructional methodologies are based on, and appropriate to, the stated learning outcomes of the continuing education course.
- 9.4 The content is organized in a logical manner.
- 9.5 All content as well as supplemental learning materials (audiovisuals, handouts, etc.) are current, suitable, and appropriate for the course.
- 9.6 The content of the continuing education course is designed to explore one subject or a group of closely related subjects. If the course involves multiple components, such as a lecture series, all segments should be devoted to integrally related subjects.
- 9.7 The continuing education course is of sufficient duration to achieve the stated learning outcomes. A course offering may not last longer than 12 months and must start and end in the same calendar year.
- 9.8 The Provider will specify the instructional level of each course in all promotional efforts. The instructional level should be classified as Introductory, Intermediate, Advanced, or Various, according to the definition of instructional levels described in Section 3.
- 9.9 The Provider will specify the content area when registering each course. The content area should be specified as Professional Area (P), or Related Area (R), according to the definition of content areas described in Section 3

- 9.10 Learner interaction, instructor feedback, and reinforcement of learned knowledge and skills are used to reinforce learning.
- 9.11 Varied instructional methodologies are used to accommodate various learning styles.
- 9.12 Provider has established policies and procedures to address intellectual property rights.
- 9.13 The Provider has policy and procedures to review course content for quality, currency, and effectiveness in assisting learners achieve learning outcomes.

### **Additional Effective Practices (encouraged)**

Instructors rely on learning outcomes for guidance in selecting content and instructional methodologies.

- The instructional methodologies that are used represent effective educational practices.
- Content includes an appropriate balance between instructor and learner activities.
- Content is based on principles of evidence-based practice.

## **Requirement 10: Requirements for Satisfactory Completion**

*The Provider (organization) ensures that satisfactory completion requirements are established for each course. These requirements are based on the purpose and intended learning outcomes. Participants should be informed of the requirements before participating in the course.*

### **Guidelines**

Satisfactory completion requirements are established before the beginning of the course. Requirements may be based on demonstrated learning, a predetermined level of attendance, or a combination of performance and attendance.

Requirements for performance levels should be based on the intended learning outcomes. When participant attendance is used to determine satisfactory completion, attendance requirements should be high and documented on rosters, sign-in sheets, or some other reliable documentation method.

Participants should be informed of requirements in advance and should know that only those who meet those requirements will earn ASHA CEUs.

## **Required Practices**

- 10.1 Satisfactory completion requirements are established for each planned course.
- 10.2 Satisfactory completion requirements are based on the course's purpose and planned learning outcomes.
- 10.3 Participants are informed of the satisfactory completion requirements before the course.
- 10.4 Special attention is given to verifying satisfactory completion for participants in large conferences and conventions with multiple sessions.
- 10.5 Learners are notified if they have not met satisfactory completion requirements (e.g., learner will not be recommended for ASHA CEUs).

## **Additional Effective Practices (encouraged)**

- Methods of verifying satisfactory completion are well defined and executed.

## **Requirement 11: Assessment of Learning Outcomes**

*The Provider (organization) ensures that achievement of the course's intended learning outcomes is assessed using procedures established during the course's planning.*

### **Guidelines**

Learning assessment refers to the measurement of individual performance or behavior in relation to intended learning outcomes. Assessments may be made during and at the conclusion of the course. Learning assessment made during the course may help reinforce learning and provide a point of reference for the learner's progress.

The learning assessment procedure, its timing, and its application are part of the planning process. Because the learning assessment procedure depends on the intended learning outcomes, the outcomes must be measurable, observable (when applicable), clearly stated, and focused on the performance of the learner. If satisfactory completion of the course and/or the earning of ASHA CEUs is based on satisfactory completion of a learning assessment, then the assessment is considered "formal," and participants must be informed about the nature of the required assessment before the start of the course.

Learning assessments may take diverse forms, such as performance demonstrations under real or simulated conditions, written or oral examinations, a question-and-answer session, written reports, completion of a project, self-assessment, or locally or externally developed standardized examinations. A self-examination may be used to elicit participants' opinions

about the degree to which learning took place. For example, questions may be developed to ask participants if they learned new information, how they intend to use the information, and so forth. Learning assessments may be made during, at the conclusion of, or sometime after the learning experience.

### **Required Practices**

- 11.1 Learning assessment procedures are established during course planning.
- 11.2 Learning assessment procedures measure intended learning outcomes achieved.
- 11.3 Participants are informed in advance when formal learning assessment procedures are to be used to determine satisfactory completion of the course and/or the earning of ASHA CEUs.

### **Additional Effective Practices (encouraged)**

- Learning assessments are used throughout the course to monitor learner progress and to reinforce learning.
- Varied learning assessment methods are used.
- Results of formal learning assessments are made available to individual learners.

## **Requirement 12: Program Evaluation**

*The Provider (organization) ensures that in the planning stage of the continuing education course, an evaluation process is established to examine various aspects of the course, such as the needs assessment, logistical and instructional planning, selection and preparation of instructors, course implementation, and extent to which intended learning outcomes are achieved.*

### **Guidelines**

Program evaluation is a measurement of the quality of the program or course as a whole, whereas learning assessment refers to the measurement of individual learning outcomes.

Using only participant-reaction surveys will not yield the data needed for an adequate evaluation of learning experiences. Program evaluations should be designed to capture specific information that will allow Providers to make continuous improvements in their offerings.

Program evaluation is a coordinated process that examines all parts of the course planning and delivery process. It consists of gathering data about the course that is based on established criteria and observable evidence. Program evaluation, which takes into account the program planning process and the decisions made in the process, provides information aimed at answering the following questions:

1. Was the input of the potential learners fully understood and communicated during the need's analysis and identification phase of the course's planning process?
2. Was there a clear relationship between the educational needs of the learners and the stated purposes of the course?
3. Was the course's content associated with the learning outcomes?
4. Were the intended learning outcomes learner-focused and stated in measurable and observable (when applicable) terms?
5. Were the intended learning outcomes appropriate for the stated purpose of the course and for the learners involved?
6. Did the learning experience and the instructional methods used result in individual behavioral or performance change, that is, the intended learning outcomes?
  - Were the Provider's philosophy, mission, structure, functions, and processes effective and efficient in producing the learning outcomes intended for the course?
  - Were conflicts of interest and commercial support managed in a way that fostered transparency and openness?

Continuous quality improvement of learning experiences is enhanced through long-range, systematic evaluation of what is intended in relation to what actually occurs. The difference can be used as the basis for whatever change is needed to ensure that intended learning outcomes are attained. Providers should find evaluation results a useful tool when accounting for the results of their programming efforts.

### **Required Practices**

- 12.1 Program evaluation procedures are established during course planning.
- 12.2 Each course is evaluated. (For large courses with multiple components, such as conventions, program evaluations are not required for each component within the course.)
- 12.3 Program evaluation results are incorporated into program improvements.

### **Additional Effective Practices (encouraged)**

- Program evaluation methods are comprehensive, well planned, and appropriately administered.
- A tracking system incorporating past evaluations is used to monitor program improvements.
- Tangible commitment to the process of evaluation is evident. Varied



evaluation techniques are used.

## **Section 3: Policies and Procedures**

### **Overview**

This section describes the additional responsibilities and requirements of American Speech-Language-Hearing Association (ASHA) Approved Continuing Education (CE) Providers. Initial and ongoing Provider approval is dependent on a Provider's adherence to the 12 requirements outlined in Section 2 of the manual, as well as adherence to the policies, procedures, and required practices described in the remaining sections. This section also addresses ASHA CE's due process procedure and sanctions that may be brought against Providers who fail to comply with CEB requirements.

Policies and procedures related to ASHA CE participants are included in this section for easy reference on the part of Providers who wish to respond to an inquiry from a CE learner.

### **How This Section Is Organized**

Section 3 is organized under three major headings: (1) Components of ASHA's Continuing Education Program—general information about the structure and function of ASHA's CE program as well as mandatory continuing education, state licensure requirements, and reciprocity issues; (2) Provider-Related Policies and Procedures—detailed information about issues pertaining to ASHA Approved CE Providers; and (3) Participant-Related Policies and Procedures—detailed information about issues pertaining to ASHA CE participants. Use the index at the end of the appendices to locate topics by specific page numbers and to locate additional details about a topic that may appear elsewhere in the manual.

Components of ASHA's Continuing Education Program

### **ASHA Approved CE Providers**

ASHA Approved CE Providers are organizations that have been approved by the Continuing Education Board (CEB) of ASHA to offer continuing education courses for speech-language pathologists, audiologists, and speech/language/hearing scientists. Quality continuing education is assured by initial Provider application review, ongoing monitoring, and technical assistance—all provided by ASHA CE. However, ASHA CE approval of CE Provider status does not imply endorsement of course content, specific products, or clinical procedures. ASHA Approved CE Providers represent state speech-language-hearing associations, universities, hospitals/clinics, health care corporations, publishers, manufacturers, continuing education companies, allied health organizations, and government entities.

## **ASHA CE Administrator's**

The ASHA CE administrator is the person charged with overseeing a Provider's continuing education program and is the identifiable and continuous authority designated to ensure that the organization is in compliance with all CEB requirements. The ASHA CE administrator may be the chairperson of a university's communication disorders department, CE chairperson for a state association, CE program planner for a company, or other responsible individual assigned as CE administrator by the ASHA Approved CE Provider.

The ASHA CE administrator should be an ASHA member or ASHA Certificate of Clinical Competence holder. If the ASHA CE administrator meets neither of these requirements, the Provider must designate someone who meets the requirements to serve in an advisory capacity and to be involved in all course planning, implementation, and evaluation. This person is designated the Provider's CE content consultant.

The ASHA CE administrator must have oversight for the Provider's continuing education course planning, implementation, and evaluation and serve as the sole liaison between the ASHA Approved CE Provider and ASHA CE. As such, the CE administrator signs and receives all correspondence and communication among the Provider, the CEB, and ASHA CE staff. This one-person contact policy facilitates ASHA CE's efforts to maintain quality standards among its approximately 550 Providers. Each ASHA CE administrator has a designated ASHA CE staff contact person assigned to him or her.

See "Requirement 2: Responsibility and Control" in Section 2 and "Changing CE Personnel" in this section.

## **CE Courses Offered by ASHA Approved CE Providers**

There are two broad categories of continuing education courses offered through ASHA Approved CE Providers: (1) Provider-initiated courses, and (2) participant-initiated courses. ASHA Approved CE Providers may assume responsibility for providing continuing education in either or both categories. Only ASHA Approved CE Providers have the authority to offer CE courses for ASHA CEUs. Refer to "Provider-Related Policies and Procedures" in this section for more information on ASHA CE courses.

## **ASHA CE Participants**

ASHA CE participants are primarily ASHA members and ASHA certificate-holders who are dedicated to advancing their knowledge in human communication sciences and disorders.

Individuals must meet at least one of the following conditions to be eligible to earn ASHA CEUs.

- ASHA Member (includes Life member and international affiliates)

- ASHA Certificate of Clinical Competence (CCC) Holder
- Licensed by a state or provincial regulatory agency to practice speech -language pathology (SLP) or audiology
- Credentialed by a state regulatory agency to practice SLP or audiology
- Credentialed by a national regulatory agency to practice SLP or audiology
- A Clinical Fellow supervised by someone who holds the ASHA CCC
- Currently enrolled in a masters or doctoral program in SLP or audiology

If individuals in your course are not certain if they meet the eligibility requirement or need to establish eligibility with the ASHA CE Registry, have them contact the ASHA CE Registry at 301-296-8591 or at [continuinged@asha.org](mailto:continuinged@asha.org).

Individuals who do not meet the eligibility requirements may attend and participate in courses offered by ASHA Approved CE Providers if they meet the pre-requisites established by the Provider. However, they cannot earn ASHA CEUs. Refer to “Participant-Related Policies and Procedures” in this section for specific information on issues related to ASHA CE participants.

### **ASHA CE Registry**

The ASHA CE Registry is similar in function and nature to a college registrar service. All courses offered by ASHA Approved CE Providers are entered on the database. It contains the course records of Registry participants and past and present Providers and is maintained permanently by ASHA CE staff. Registry records can be used in many ways, such as to generate a list of continuing education offerings over time for a given Provider or to produce a CE participant’s transcript of his or her ASHA CE course record. Refer to “Participant-Related Policies and Procedures” in this section for additional information on the ASHA CE Registry.

When participants complete a CE course offering and indicate that they want to earn ASHA CEUs using the method determined by the Provider, the Provider submits the participants’ information to the ASHA CE Registry. In order to have ASHA CEUs recorded on their ASHA CE Registry transcript, each participant must be eligible and have paid an annual ASHA CE Registry fee. The fee allows participants to register an unlimited number of ASHA CEUs, taken through ASHA Approved CE Providers only, on the ASHA CE Registry during that calendar year. Providers are not responsible for collecting ASHA CE Registry fees. Providers are discouraged from charging participants additional fees to process their ASHA CEUs. Any processing fee charged by Providers must be identified in promotional material as being charged by the Provider, not ASHA.

### **ASHA Continuing Education Board**

The ASHA CEB identifies and projects the CE needs of ASHA CE consumers and advises ASHA Approved CE Providers regarding programs to meet those needs. The Board is also responsible for establishing ASHA CE requirements, approving ASHA CE Providers, and assisting them in continually improving their CE programs. A minimum of eight volunteer ASHA members, representing a variety of work settings and experience, make up the CEB.

## **ASHA Continuing Education Staff**

ASHA CE staff implement the CEB's programs by maintaining the ASHA CE Registry, reviewing ASHA Approved CE Providers' courses, providing ongoing technical assistance to participants and Providers, and processing the ASHA Award for Continuing Education.

## **Mandatory Continuing Education**

The American Speech-Language-Hearing Association's Code of Ethics indicates that individuals shall continue their professional development throughout their careers. Holders of the ASHA Certificate of Clinical Competency must document their participation in continuing professional development courses to maintain their certification. Forty-eight state regulatory agencies require evidence of continuing education before speech-language pathologists and audiologists can renew their license in that state. All of these states accept ASHA CEUs toward license renewal. Each state has different requirements and different numbers and types of credit that are required. For a complete list of states that require continuing education for licensure renewal, see ASHA's Web site (<http://www.asha.org>).

ASHA Continuing Education provides state licensing agencies with the names of ASHA Approved CE Providers and the CEB requirements and policies and works with licensing agencies to facilitate the exchange of information about courses offered for ASHA CEUs. At participants' requests, the ASHA CE Registry can transmit CE transcripts directly to state licensing agencies.

## **State Licensure of Audiologists and Speech-Language Pathologists**

Currently 50 states have licensure laws that regulate the practice of audiology and speech-language pathology. Of those 50 states, 48 require evidence of continuing professional education in order for licensees to renew their license to practice. See ASHA's Web site (<http://www.asha.org>) for a list of states that require licensure and that require continuing education for licensure renewal. Through ASHA Approved CE Providers, licensees can earn ASHA CEUs to use toward their renewal of their state license.

## **Recognition of ASHA CEUs by Regulatory Agencies**

ASHA CE has agreements with 48 state licensing/ regulatory agencies that require evidence of continuing education for speech-language pathology and/or audiology licensure renewal. ASHA CEUs earned through ASHA Approved CE Providers and documented on the ASHA CE Registry are accepted by those licensing agencies for renewal of individual participant's licenses.

ASHA CE staff and the CEB continue to investigate the feasibility of reciprocity of CEUs across professions. For ASHA CEUs to be reciprocal, organizations offering continuing education courses and awarding CEUs must use similar requirements and standards. Currently, there are wide variances in the standards used by different

professions to approve CE providers and to award CEUs. ASHA Approved CE Providers can facilitate the reciprocity movement by, (a) adhering to the CEB requirements, (b) explaining the reasoning and importance of the requirements to participants and other entities that are not ASHA Approved CE Providers, (c) requiring that entities with whom they join to provide a cooperative CE offering adhere to the ASHA CEB requirements, (d) advocating for the highest standards and adherence to CEB requirements within their organizations, and (e) encouraging other organizations that offer CE courses to use internationally recognized standards for CE and training or to apply to be a recognized ASHA Approved CE Provider.

## **Provider-Related Policies and Procedures**

### **Types of ASHA CE Courses**

There are two broad categories of continuing education courses offered through ASHA Approved CE Providers: (1) Provider-initiated courses, and (2) participant-initiated courses. Continuing education must involve endeavors that exceed the participant's routine employment responsibilities.

Provider-initiated courses are developed by an ASHA Approved CE Provider and are offered for group instruction or for individual self-study. Examples range from traditional workshops, seminars, and conventions to audio- or videoconferences, self-study modules, journal clubs, and grand rounds. Participant-initiated courses, also known as independent studies, are planned by an individual to meet his or her unique continuing education needs and are monitored by an ASHA Approved CE Provider designated as an Independent Study Provider. Examples include independent study at a college or university, clinical visitations, independent reading, publication of scientific/clinical materials, CE courses of other professional organizations, or teaching a course or seminar for the first time if it is outside the instructor's routine employment responsibilities.

### **Components of an ASHA CE Course**

#### **Needs Assessment**

All continuing education courses should be based on the identified needs of a target audience. To determine learning needs, planners should conduct a needs assessment. For more information about this requirement or conducting a needs assessment, refer to “Requirement 5: Needs Identification” in Section 2 and Appendix B.

#### **Learning Outcomes**

Learning outcomes refer to the product(s) of a particular learning experience — changes in learner knowledge, attitude, or skill, subsequent behavior changes, and impact of behavior changes on the learner's environment. Learner outcomes drive the course's development, influence the content and methodology, and determine faculty and delivery selection. Learning outcomes are written statements of what the learner is expected to accomplish as a result of the course. The outcome statements should be concise, clear, measurable, observable (when applicable), and learner focused.

Learning outcomes may be written in simple or complex form. A simple outcome statement might be "Participants will develop an action plan to incorporate the Americans with Disabilities Act (ADA) regulations into the workplace." A complex outcome statement might be "Given a list of requirements specific to the Americans with Disabilities Act (ADA), participants will develop an action plan that addresses implementation within the next 2 months of 100% of the requirements applicable to their work setting." For additional information, refer to "Requirement 6: Learning Outcomes" and "Requirement 10: Assessment of Learning Outcomes" in Section 2 and Appendices D and E.

### **Time-Ordered Agenda**

This document details the events within a CE course according to the time of the event, the speaker, the topic and/or learning outcomes, and the instructional methods or learning resources used. The time-ordered agenda is used to calculate the number of ASHA CEUs for the course.

### **Instructional Personnel Disclosure**

Continuing education (CE) courses should be for scientific and professional educational purposes and not for promoting products or services. Individuals who participate in CE courses have the right to know of any financial or nonfinancial interest that any instructional personnel may have in a product or service mentioned during a course. The Continuing Education Board (CEB) requires Approved Providers to disclose any relevant conflicts of interest instructional personnel have in any products or services discussed in the course. This information must be made available to the participants before the course through promotional materials and at the start of the course. This disclosure is used to inform CE participants of any financial or nonfinancial interest on the part of the instructional personnel and its possible influence on the information presented. Sample disclosure statements and additional information can be found by referring to "Requirements for Instructional Personnel Disclosure" in Section 4. For additional information, refer to Requirement 3: Transparency in Course Planning, Delivery, and Marketing.

### **Learning Outcome Assessment**

Providers should offer opportunities in courses for learners to measure their individual performance or behavior in relation to the intended learning outcomes of that course. Assessments may be made during or at the conclusion of the course and can take diverse forms. The method to assess outcomes is determined by the learning outcomes. For example, if the learning outcome is "Participants will administer and score the Test of Child Language within recognized standardized procedures," then having participants actually administer and score the test would be the appropriate method for assessment of learning. Requirements for satisfactory completion of a course must be established by the Provider before the course and must be based on the course's purpose and planned learning outcomes. For additional information, refer to "Requirement 6: Learning Outcomes," "Requirement 10: Requirements for Satisfactory Completion," and "Requirement 11: Assessment of Learning Outcomes"

in Section 2 and Appendices D and E.

## **Program Evaluation**

ASHA Approved CE Providers are required to establish a program evaluation process during course planning that examines various aspects of the course. Program evaluation is a measurement of the quality of the course as a whole. Refer to “Requirement 12: Program Evaluation” in Section 2 and Appendix E.

## **Course Promotion and Registration Policies and Procedures**

### **Course Promotion Requirements**

ASHA Approved CE Providers are required to provide potential participants in their courses with promotional material that identifies the Approved CE Provider of the course, the number of ASHA CEUs available for completing the course and the instructional level. This information is contained in the standard Brand Block that includes the Provider name, course information (ASHA CEU amount and instructional level) and the graphic image. See the Section 4, “Other Requirements Related to Planning and Conducting CE Courses,” for more details about promotional requirements, the ASHA Approved CE Provider Brand Block and the required course information.

### **Course Components Identified Upon Course Registration**

To provide a reliable basis for participants to select quality continuing education courses to meet their personal learning needs, the Continuing Education Board has Providers categorize continuing education courses by instructional level and number of ASHA CEUs--both of which are described further below.

### **Instructional Level**

Instructional levels are described as follows:

1. **Introductory.** Instruction at the Introductory Level of difficulty is generally intended for professionals with novice experience in the content area. Material presented is based on fundamental principles or concepts that are fairly well known and regularly applied. Often this level of training is intended to be a prerequisite to successive, more difficult topics offered at the Intermediate Level. At times, experienced professionals might be advised to take this training for review or in preparation for more advanced level training. Introductory level can also be used to describe course content related to new or emerging areas of practice.
2. **Intermediate.** Instruction at the Intermediate Level assumes some familiarity with the basic literature as well as some experience in professional practice within the area covered and is targeted for more experienced professionals. The pace of the



training and difficulty of concepts presented require more advanced knowledge and skills than the Introductory Level. Examples used at this level are often based on recent research and case studies that are complex in nature.

3. **Advanced.** Instruction at the Advanced Level assumes the participant already has established experience, knowledge and skill within the area covered. The focus of courses at this level is on comprehension of findings in the current literature, and the synthesis and application of information presented to advance current clinical and research practices. The pace and level of difficulty of material presented is commensurate with the needs of a professional with comprehensive knowledge, ability, and experience in the content area.
4. **Various.** Some continuing education courses comprise two or more levels of instruction. If more than half of the course falls within the Introductory, Intermediate, or Advanced level of instruction, the course should be classified in that level. If the course is made up of many sessions (e.g., convention or conference), all at various levels, then the course should be classified as Various.

### **Continuing Education Units (CEUs)**

The Continuing Education Unit (CEU) is a nationally recognized standard unit of measurement for participation in a continuing education course. Established by the U.S. Department of Education (1968), one (1.0) CEU is defined as 10 contact hours of participation in an organized continuing education experience offered by a provider, excluding meals and breaks. The contact hour is defined as 1 clock hour of interaction between a learner and instructor or between a learner and materials that have been prepared to facilitate learning. Contact implies a connection between a learner and a learning source. For purposes of the CEU, that connection is two-way; that is, the instructor or learning source must monitor the learner's progress and/or provide some form of feedback to the learner.

The caretaker for the CEU standards is the International Association for Continuing Education and Training (IACET).

### **ASHA CEU**

ASHA CEUs is awarded for courses offered through Providers approved by the ASHA Continuing Education Board (CEB). Approved Providers' courses must meet the CEB's requirements to be offered for ASHA CEUs. Course content and learning outcomes must be related to the sciences as they pertain to speech-language pathology, audiology, speech/ language/hearing sciences, and/or the contemporary practice of speech-language pathology and audiology.

Note: ASHA has adopted position statements on Auditory Integration Therapy (AIT), Facilitated Communication (FC) and Rapid Prompting Method (RPM). ASHA Continuing Education (CE) will not accept, register, or grant ASHA CEUs for courses that promote, encourage, or demonstrate how to practice AIT, FC or RPM.

Courses for which Approved Providers plan to offer ASHA CEUs must be registered with the ASHA CE Registry no less than 15 days before the starting date of the



earliest course offering and 3 days before subsequent offerings of the same course. Cooperative offerings must be registered no less than 30 days before the start date of the earliest course offering. For additional information on filing courses with the ASHA CE Registry, refer to the Section 4.

### **Course Components to Include When Calculating ASHA CEUs**

The following are examples of types of activities to include when calculating contact hours for ASHA CEUs:

- Learning activities led by an instructor and/or discussion leader.
- Activities in which a learner is engaged in a planned program of learning whereby the learner's progress is monitored, and the learner receives feedback. Examples include independent study, computer-based instruction, interactive video, and planned projects. For information on how to calculate ASHA CEUs for courses that may vary in length for different learners, see the subsection on “Calculating ASHA CEUs” in this section.
- Learner assessment and program evaluations.
- Field trips, projects, and assignments that are an integral part of a course and for which the Provider can verify that the CEB requirements were met. For example, if the learner must read five articles before the start of the course, the instructor must have some mechanism for determining satisfactory completion of that part of the course in order to include it in the total ASHA CEUs offered.

### **Course Components Not Included When Calculating ASHA CEUs**

The following activities should not be included when calculating contact hours for ASHA CEUs:

- Breaks, meals, socials. A presentation germane to the course during the meal function may be counted if the presentation meets CEB requirements. Only that portion of the meal during which time the presentation is taking place can be counted toward ASHA CEUs.
- Meeting time devoted to business or committee activities, announcements, introductions, welcoming speeches, reports, etc.
- Exhibits, sales tours of commercial facilities, time used to promote products or services.
- Time for study, travel, assigned reading, or related activities outside the classroom or course's schedule, unless the learning is monitored and/or assessed, and the learner receives feedback. See “Calculating ASHA CEUs” in this section and “Using Pilot Studies and Word Counts to Calculate ASHA CEUs” in Section 4.

## Activities for Which ASHA CEUs are Not Intended

The following activities are not intended for ASHA CEUs. While these activities may be judged worthwhile learning experiences, they do not meet the criteria established for the CEU by the International Association for Continuing Education and Training nor do they meet the requirements of the ASHA CEB to qualify for ASHA CEUs.

- Association membership and leadership activities. Holding membership or serving in some leadership capacity in an association or society does not qualify.
- Committee/board meetings. Participation in committee or board meetings does not qualify.
- Business meetings. Meetings to discuss business, make policy, develop procedures, discuss association/organizational management, develop long-range plans, etc., do not qualify.
- Some meetings, conventions, exhibitions. Meetings, conventions, and exhibitions that attract large numbers of participants, involve different activities, and are conducted primarily for product promotion or networking purposes generally do not qualify for ASHA CEUs. Planned courses within such events that meet the CEB requirements are eligible for ASHA CEUs.
- Work experience. On-the-job training and other work experience does not qualify for ASHA CEUs unless the work experience is structured as part of a planned and supervised continuing education experience that meets the CEB requirements. Continuing education typically is defined as learning that takes place outside one's typical employment responsibilities.
- Entertainment and recreation. Attendance at cultural performances, or at entertainment or recreational activities does not qualify unless these events are an integral part of a planned course that meets the CEB requirements.
- Travel. Travel or participation in a travel study program does not qualify, unless the educational component of the travel study program meets the CEB requirements.
- Unsupervised study. Individual, self-paced study, or other forms of independent learning experience not planned, directed, and supervised by an ASHA Approved CE Provider do not qualify.

## Calculating ASHA CEUs

ASHA CEUs may be recorded in half-hour increments, so that a program of 14.5 contact hours would be recorded as 1.45 ASHA CEUs. Increments of less than a half-hour are dropped when computing the total number of ASHA CEUs for a course. Although some organizations define a contact hour as a minimum of 50 minutes, 50 minutes is not the current ASHA CEU standard nor is it used by the Continuing Education Board for ASHA CEUs. Organizations that offer programs for a variety of professionals, some of which use different clock hour definitions, must count their

contact hours and advertise ASHA CEUs based on the 60-minute clock hour.

When calculating the number of ASHA CEUs for a course, the number of contact minutes can include the educational content of the course, learning assessment and program evaluation. Breaks, meals, and other non-educational events are excluded.

Divide the total number of minutes by 60 to arrive at the number of contact hours. Total contact hours should be divided by 10, and then rounded down to the nearest ½ hour or hour to obtain the ASHA CEU amount.

ASHA CE offers alternate methods for calculating ASHA CEUs for example conducting a pilot study and/or using a standardize word count formula.

A continuing education course should not be less than a half-hour in length to be calculated for ASHA CEUs. Caution should be exercised with shorter length courses to ensure adherence to the CEB requirements.

### **Calculating Partial Credit**

A continuing education (CE) course may have partial credit if the Provider deems it appropriate, with the Provider offering partial credit to participants who attend only a portion of the CE course offering but have meet all of the course's learning outcomes. The Provider must monitor participant attendance and completion of the course and report partial credit to ASHA CE. Among the issues to consider when determining whether to offer partial credit is whether the participant can meet all of the learning outcomes established for the course without attending the entire course. Refer to Section 4, "General Procedures for Planning and Reporting Provider-Initiated Continuing Education Courses," for specific instructions on offering and reporting partial credit.

### **Refund and Cancellation Policies**

ASHA Approved CE Providers are required to have established written policies concerning the criteria for refund of fees in the event a course is canceled or re-scheduled by the Provider, and refund of fees when a participant cancels. To avoid misunderstandings, ASHA CE recommends that these policies be available to potential participants in registration materials. If a Provider changes its refund policy, they must provide ASHA CE with the new policy. See Requirement 1, Required Practice 1.7 in Section 2.

### **Course Registration Requirements**

When an ASHA Approved CE Provider plans to offer a course for ASHA CEUs, the Provider must submit course and offering registration and required attachments to the ASHA CE Registry (refer to Section 4 for instructions). Course and offering registration and accompanying materials in their entirety must be received by the ASHA CE Registry no less than 15 days before the earliest course offering, 3 days for subsequent offerings of the same course or 30 days for cooperative offerings. Applicable registration fees must also be paid at the time of submission.

ASHA CE encourages Providers, however, to register their courses as early as possible to maximize the opportunities for promotion on ASHA's Web site offered as a benefit of ASHA Approved CE Provider status. Course and offering registration and accompanying materials received after the deadline are considered late. When a course reaches the ASHA CE Registry past the deadline; ASHA CE staff contact the ASHA CE administrator and ask for an explanation of why the deadline was missed.

## **Components of the Course and Offering Registration**

The following components of the course and offering registration provide essential information for the registration of an ASHA CE course. Key components not identified in this section have been addressed previously under "Components of an ASHA CE Course."

### **Provider Code**

When the Continuing Education Board (CEB) approves a Provider, ASHA Continuing Education (CE) staff forward a letter from the CEB, officially notifying the Provider that the application has been approved and assigns a unique four-letter Provider code to the organization. An example of a Provider code might be AQDA. This code is used on all correspondence and forms between the Provider and the CEB, ASHA CE staff and the ASHA CE Registry. Whenever the ASHA CE administrator calls or writes the CEB, ASHA CE staff, or the ASHA CE Registry, he or she should have the Provider code readily available.

### **Course Number**

The course number is a 4-digit number the ASHA CE administrator assigns to a course and reports on the course and offering registration(s). Each course must have a different number. Numbers used previously cannot be used again. It is recommended that Providers number their courses sequentially beginning with 0001 or develop another system that will facilitate internal tracking. Refer to the Section 4 for additional information on completing course and offering registration.

### **Offerings**

Providers can register multiple offerings of the same course. An individual offering must start and end in the same calendar year. Offerings can't be registered beyond the course validity period. The offering number, assigned by ASHA CE, is a 3 -digit extension to the course number.

### **Subject Code**

CE courses offered for ASHA CEUs must fall within one or more of the subject codes established by the Continuing Education Board. Courses that do not fit in one or more of the subject codes are not appropriate for ASHA CEUs. Courses can only be assigned one subject code, which should represent the majority of course content. Refer to Appendix F for a list of the subject codes.

## Content Area

CE courses offered for ASHA CEUs must fall within one of the content areas described below. Courses that do not fit in one or more of the content areas are not appropriate to be offered for ASHA CEUs.

1. **Professional (P).** Information pertaining to disorders of speech, language, and hearing—for example, (a) various types of disorders of communication and their manifestations, classifications, and causes; (b) evaluation skills, including procedures, techniques, and instrumentation for assessment; and (c) management procedures and principles in habilitation and rehabilitation of communication disorders.
2. **Related (R).** Study pertaining to the understanding of human behavior, both normal and abnormal, as well as services available from related professions that apply to the contemporary practices of speech-language pathology and/or audiology—for example, (a) theories of learning and behavior; (b) services available from related professions that also deal with persons who have disorders of communication; (c) information from these professions about the sensory, physical, emotional, social, and/or intellectual status of a child or adult; and (d) such other areas as program management, economics of professional practice, legislative issues, professional ethics, clinical supervision, counseling and interviewing, application of computers, and modern technology and statistics.

## Course Description

A key element of the course and offering registration is the course description. This description should include the key learning outcomes or key elements of the course. The description is limited to 400 total characters, including letters, numbers, spaces, and punctuation marks. Course descriptions are used by licensing agencies and employers to determine if a course meets certain requirements for license renewal or employee advancement. For additional information on writing course descriptions, see Section 4.

## Filing Courses in a Series

The content of a continuing education course should be designed to explore one subject or a group of closely related subjects. If the course involves multiple components, such as in a lecture series, all segments should be devoted to integrally related subjects and fall within the same subject code. It is recommended that subject codes and descriptions in Appendix F be used as guidelines for determining integrally related subjects.

In determining whether multiple components in a course are integrally related, ASHA CE looks first to see if each component fits in the same subject code. If not, and if the course lasts over 14 consecutive days, ASHA CE determines (a) if the overall course description is relevant to each component, (b) whether the learning outcomes for the entire course encompass each component activity, (c) whether participants must attend each component to satisfactorily demonstrate achievement of learning, (d) whether each component in the series is directed at the same target audience, and (e) whether

the entire series is advertised as a whole with one registration fee and with the understanding that a registrant must attend all components to attain ASHA CEUs.

ASHA CE also determines whether a course is a cooperative CE offering. Organizations with whom ASHA Approved CE Providers join to provide a cooperative offering may not group multiple unrelated courses into one course to circumvent the co-op fee system. Grouping unrelated courses together is not appropriate in ASHA's CE system. This is not to say that the courses are not valuable, but simply that grouping them does not meet the CEB's requirements for planning continuing education courses.

Series may not be registered with ASHA with start and end dates crossing calendar years. For example, if a series starts in the fall of one year and ends in the spring of the next, register the series as two separate courses: one covering the sessions held in one calendar year, and the other covering the sessions held in the next year.

Additional problems occur when yearlong courses are grouped together. Participants do not receive ASHA CEUs until 12 to 14 months after the course began. Often, the series course description that appears on participants' transcripts is very general and fails to clarify what actually was learned in the course. As a service to participants, the best method for filing courses is to file each component of a series as a separate course.

It is the responsibility of the ASHA CE administrator of the ASHA Approved CE Provider to adhere to these requirements and to monitor the planning and filing of courses in a series.

### **Filing Courses Offered for Academic Credit**

When a college or university is an ASHA Approved CE Provider, it may offer ASHA CEUs for courses that are also offered for academic credit. The Provider registers and reports on the course as it would any other type of CE course.

### **Course Offering Reporting Requirements**

At the conclusion of a course offering available for ASHA CEUs, the ASHA CE administrator must file reporting with ASHA CE. There are several ways to report participant information. Some reporting methods will require the Provider code, course number, offering number, course offering completion date, number of attendees at the offering, and whether the course was registered as offering partial credit.

It is important that the information reported to ASHA CE be correct and correspond to the information initially submitted to the ASHA CE Registry during the registration process. The ASHA CE Registry awards ASHA CEUs. If the incorrect course offering information is provided, the wrong information will be placed on each participant's transcript. ASHA CE administrators are responsible for reporting information before submitting it to the ASHA CE Registry. Refer to Section 4 for additional information.

The ASHA CE Registry must receive reporting within the defined deadlines (see

<https://www.asha.org/uploadedFiles/CE-Deadline-Reference-Guide.pdf>). If participants in a course want ASHA CEUs, the appropriate participant information must be collected and reported to the CE Registry. Reporting is required for course offerings with participants as well as those offerings that are canceled or held but with no participants requesting or eligible for ASHA CEUs.

When reporting reaches the ASHA CE Registry past the deadline, ASHA CE staff contact the ASHA CE administrator and ask for an explanation of why the deadline was missed.

### **ASHA CEU Participant Information**

ASHA participant information must be collected from participants who request ASHA CEUs, and who have met the requirements to earn ASHA CEUs for a particular course. The ASHA Approved CE Provider collects all relevant participant information to report to the ASHA CE Registry. Reporting must be received within the stated deadlines (see <https://www.asha.org/uploadedFiles/CE-Deadline-Reference-Guide.pdf>).

### **Reporting for Distance Learning or Individual/Self-Study Courses**

When ASHA Approved CE Providers offer CE courses where participants are dispersed across multiple sites (e.g., in a tele- or videoconference) or when completion of the course occurs at varying times according to the participant's schedule (e.g., for a self-study course), they should consider the following factors before filing the course:

- Are there clear instructions for site coordinators to follow at satellite sites regarding satisfactory completion requirements, and filing deadlines?
- Do the instructions for participants in these courses clearly explain the satisfactory completion requirements, submission deadlines, and when they can expect the credit to appear on their ASHA CE Registry record?
- How will the relevant participant information be collected and how with the information be reported after successful completion.

Refer to Section 4 for detailed information about reporting for various kinds of continuing education courses.

### **Reporting When There are No ASHA CEU Participants**

When a course offering is held but no one requests ASHA CEUs, the course offering is NOT considered canceled. Because the course offering was held, the ASHA CE administrator must report that zero participants requested ASHA CEUs. Doing so allows the ASHA CE Registry to close out the course offering.



If reporting with zero participants is not received within 45 days of the course offering's completion date, the course offering reporting will be considered late, and ASHA CE staff will contact the ASHA CE administrator and ask for an explanation of why the deadline was missed.

### **Canceled Course Offerings**

On occasion, a Provider decides to cancel a course offering that has been registered with the ASHA CE Registry. The ASHA CE administrator canceled the offering no more than 45 days after the originally scheduled completion date of the course offering in the CE Portal. All course offering cancelations must be reported in order to close out our records.

If a course offering cancelation is not received within 45 days of the originally scheduled completion date, the course offering will be considered late, and ASHA CE staff will contact the ASHA CE administrator and ask for an explanation of why the deadline was missed.

### **Filing Forms for Rescheduled Course Offerings**

If the offering is being rescheduled to a future date, the web form found on the CE website at [www.asha.org](http://www.asha.org) should be used. The form must be submitted at least 3 days prior to the new start date. If the original offering dates occurred in the past, the original offering should be reported on as canceled/not held and a new offering should be added. All new offerings will be assigned a new course offering number.

### **Provider Requirements/Responsibilities Related to Alternative CE Delivery Methods**

ASHA CE recognizes and supports the delivering CE courses to learners through alternative formats. The CEB has established requirements and procedures to avail learners of such opportunities while maintaining the standards and integrity of the ASHA CEU. Following are the definition and basic requirements related to self-study and independent study. Additional information regarding this topic can be found under "Calculating ASHA CEUs" in this section and in Section 4; "Requirements for Providers That Offer Self-Study Courses" in Section 4; and in Section 5.

#### **Self-Study (Course Type: Individual)**

Self-study materials (i.e., self-paced courses such as journals, newsletters, recorded webinars, audio recordings, podcasts, etc.) are considered Provider-initiated courses. To offer self-study courses for ASHA CEUs, Providers must follow the procedures under "Requirements for Providers That Offer Self-Study Courses" in Section 4. In addition, Providers that offer self-study materials should be aware of the following requirements:



1. The ASHA Approved CE Provider that offers self-study materials for ASHA CEUs must adhere to the same requirements and procedures used to plan, market, deliver, and evaluate other types of Provider-initiated courses, such as live workshops and conferences. For example, Providers must include the required ASHA Approved CE Provider Brand Block and required course information (ASHA CEU amount and instructional level) in any self-study materials offered for ASHA CEUs as well as in any marketing or promotion of the materials. Learner assessment, disclosures, and program evaluation components must also be included with the materials.
2. A self-study course is valid for five years from the start date of the first offering. Course offering registration periods will be prompted by the system. Providers reporting participation in real-time through web calls use calendar year offerings.
3. Providers must have a method for assigning ASHA CEUs to the self-study materials. To determine how many ASHA CEUs may be offered for self-study materials, refer to “Calculating ASHA CEUs” in this section and the “Requirements for Providers That Offer Self-Study Courses” in Section 4.
4. The Provider must disclose if any instructional personnel have a financial or nonfinancial interest in any products or services discussed in a self-study course. This information must be made available to the participants in the promotional materials before the start of the self-study course and conveyed at the start of the course. The mechanism for disclosure is dependent on the format of the self-study. This disclosure is intended to inform CE participants of any financial or nonfinancial interest instructional personnel may have and its possible influence on the information presented.

**Self-study materials offered for ASHA CEUs are:**

- Prepackaged continuing education products that have been planned and evaluated by an ASHA Approved CE Provider.
- Intended for use by an individual learner, but developed for, and marketed to, a large audience of potential users
- Typically, in a fixed format (e.g., recorded webinars, journals).
- Filed as CE courses with the ASHA CE Registry. Course offering registration periods will be prompted by the system. Participant information is reported according to established deadlines.
- Subject to a pre-assigned ASHA CEU limit that reflects the actual run time of the event or the average time a sample group of learners took to complete the self-study. Users of the self-study materials typically may not deviate from the self-study format and can earn only the amount of ASHA CEUs assigned that self-study.

**Independent Study**

Independent Study is a learner-initiated and designed education experience for the enhancement of skills and knowledge in a specific area relevant to the field of communication disorders. The Independent Study plan is proposed by the learner and

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reviewed, monitored, and approved by an ASHA Approved CE Provider designated as an Independent Study Provider. Providers may voluntarily elect to be Independent Study Providers when they apply for ASHA Approved CE Provider status or at any time while they are an Approved Provider.

Independent Study Providers are designated as such on all published lists of ASHA Approved CE Providers. Designation as an Independent Study Provider in no way obligates a Provider to accept requests for processing an Independent Study plan. Providers may agree to assume such responsibilities at their discretion on a case-by-case basis and may charge an administrative fee for this service. Refer to Section 5 for specific requirements and procedures related to Independent Study.

#### **Independent study plans that qualify for ASHA CEUs are:**

- Planned and initiated by the learner with the assistance and approval of an ASHA CE Provider designated as an Independent Study Provider.
- Are intended for the individual learner who plans and undertakes a unique learning experience to meet personal learning needs.
- Made up of materials and learning formats of the learner's choice (subject to approval by the Independent Study Provider).
- Scheduled by the learner and Independent Study (IS) provider. IS plans must be completed by December 31st of the year they were started. If the learner's IS plan runs into another calendar year, a separate plan must be developed for the next year. The IS Provider files the IS plan with ASHA CE not more than 45 days after the learner has completed the independent study.
- Limited to 2.0 ASHA CEUs per Independent Study plan. However, there is no limit to the number of plans that can be submitted to the ASHA CE Registry on a learner's behalf. The number of ASHA CEUs that will be earned for the Independent Study course is subject to negotiation between the learner and the Independent Study Provider

#### **Provider Requirements/Responsibilities Related to Cooperative CE Offerings**

*A cooperative course/offering(s)* is when an ASHA Approved CE Provider joins with an organization or entity that is not an ASHA Approved CE Provider to plan, deliver, and evaluate a continuing education course/offering(s) for ASHA continuing education units (CEUs), and a fee is incurred. The fee must be paid at the time of registration. The ASHA Continuing Education Board (CEB) considers a course/offering(s) cooperative if another party or entity is not part of the organization that has been approved as the ASHA Approved CE Provider, as detailed in the application to become an ASHA Approved CE Provider.

Entering into a cooperative agreement with an entity outside the group or organization approved as the ASHA CE Provider is optional. Some ASHA Approved CE Providers do not join with others to conduct cooperative CE offerings. Others conduct only a select number of cooperative offerings per year. Once a cooperative agreement is

established with another entity, it is the responsibility of the ASHA Approved CE Provider to see that all CEB requirements are met. If the non-Provider fails to meet CEB requirements, the ASHA Approved CE Provider is responsible for the consequences. ASHA Approved CE Providers should not allow a cooperative agreement to jeopardize ASHA Approved CE Provider status. ASHA CE therefore recommends that the ASHA CE administrator be thoroughly satisfied that the course meets CEB requirements before entering into a cooperative agreement and before providing the ASHA Approved CE Provider Brand Block and course information (ASHA CEU amount and instructional level). Course and offering registration must include information about the cooperative party and the nonrefundable co-op fee(s) in order to be registered by the ASHA CE Registry. The ASHA Approved CE Provider, not ASHA CE staff, is responsible for collecting the co-op fee(s) from the non-Provider organization.

ASHA CE reserves the right to revoke a Provider's ability to conduct cooperative CE offerings because of repeated demonstration of noncompliance with CEB requirements. ASHA CE also may revoke a non-Provider's cooperative offering privileges if it has a history of noncompliance with CEB requirements.

The ASHA Approved CE Provider who conducts a cooperative CE offering with an organization or unit that is not an ASHA Approved CE Provider must be significantly and directly involved in the planning, promotion, implementation, and evaluation of the cooperative offering. Frequent contact during the planning of the course is required. The contact may be on-site or through phone calls and email correspondence. ASHA Approved CE Providers are urged to establish their own timelines, procedures, and agreements for conducting cooperative offerings that will allow them to comfortably meet the CEB requirements. ASHA Approved CE Providers may charge an administrative fee (in addition to the co-op fee that is submitted to ASHA) to conduct cooperative CE offerings with others.

The ASHA Approved CE Provider and the ASHA CE administrator for the Provider are responsible for assuring that cooperative offerings meet CEB requirements. The ASHA Approved CE Provider's CE administrator is responsible for all contact with the ASHA CEB, the ASHA CE Registry and ASHA CE staff relative to the cooperative offering. Refer to "Requirements for Providers That Conduct Cooperative CE Offerings" Section 4.

## **Documents Created by ASHA CE**

### **Course and Offering Registration and Reporting**

When an ASHA Approved CE Provider plans to offer a course, the Provider must submit a course and offering registration with the ASHA CE Registry. At the conclusion of a course offered for ASHA CEUs (or upon its cancellation), the Provider must file reporting with the ASHA CE Registry. Instructions for reporting are included at [www.asha.org/ce](http://www.asha.org/ce).

### **Course Registration Confirmation**

Upon receipt of a Course and offering registration, ASHA CE staff review the course. If the information on the course and offering registration and the accompanying materials meet the CEB requirements, the information on the course and offering registration is entered in the ASHA CE Registry. The ASHA CE Registry generates a course registration confirmation. This confirmation should be checked for accuracy because the information will appear on transcripts of participants who earn ASHA CEUs for the course. The ASHA CE administrator should correct the errors to the course registration confirmation using the form found at [www.asha.org/ce](http://www.asha.org/ce). The ASHA CE Registry will make the corrections and generate a corrected course registration confirmation.

It is not necessary to wait for the receipt of the course registration confirmation before promoting or proceeding with the course or before offering ASHA CEUs. ASHA CE entrusts Providers with planning and conducting their CE courses according to the CEB requirements. Should items submitted reflect noncompliance with CEB requirements, the Provider's designated CE Provider Manager will contact the ASHA CE administrator and request the information necessary to register the course.

### **Course Offering Roster**

A course offering roster will generate after participant information is submitted. The roster lists the names of participants who were received by the ASHA CE Registry. ASHA CEUs are not awarded or posted to the ASHA CE Registry until the fee is paid.

### **Checking the Accuracy of the Roster**

A roster should be reviewed carefully to see that all participants who earned ASHA CEUs are listed and that the ASHA CEU amounts are correct. If there is a discrepancy between the ASHA CE Registry course offering roster and Provider's records, the ASHA CE administrator should notify the Registry. Errors made by CE staff must be corrected by the roster correction date printed on the course offering roster.

### **Correcting the Course Offering Roster**

Corrections to the roster will be accepted when the ASHA CE administrator's records indicate that (a) the ASHA CE Registry made an error in the amount of credit a participant should have received or (b) the ASHA CE Registry omitted the name and credit of a participant for whom the Provider submitted participant information. The ASHA CE administrator should submit the roster corrections in the system. The ASHA CE administrator should contact their CE Accounts Manager if there are questions about how to correct the roster.

### **Situations That Are Not Corrections to the Roster**

The Provider cannot use the process of correcting the roster to file or change participant information in any of the following situations:

1. The 45-day post-course offering deadline has passed.

2. A participant decided after the course offering that he or she wanted ASHA CEUs; ASHA CEUs cannot be awarded retroactively.
3. The Provider forgot report participants with the initial reporting.

To avoid these situations, ASHA CE suggests the following:

1. All participants should be asked if they intend to earn ASHA CEUs and information needed to report participants should be collected. The ASHA CE administrator or a representative should announce or publicize what steps the participants need to take to have their records reported to the ASHA CE Registry. Providers should also make it clear to participants that the Provider does not accept information received after the course offering closes. The ASHA Approved CE Provider is responsible for seeing that participants satisfactorily complete their requirements to earn ASHA CEUs. If attendance is used to measure satisfactory completion of the learning experience, participants should follow the provider's procedures immediately after the course. The Provider should publicize and adhere to this requirement.
2. When ASHA Approved CE Providers offer CE courses where participants are dispersed across multiple sites (e.g., in an audio- or videoconference) or when completion of the course occurs at varying times according to the participant's schedule (e.g., for a self-study course), they should ensure the instructions regarding satisfactory completion requirements, providing the information necessary to submit the participant to ASHA CE Registry, and filing deadlines are clearly stated.

Any reporting submitted after the initial batch or after the 45 -day deadline must be accompanied by an explanation about why ASHA CE should alter its usual processing procedure or deadline and accept the reporting. Providers who have questions about how to correct a roster or about submitting materials to the ASHA CE Registry should contact their designed CE Accounts Manager.

### **Communications from ASHA CE**

The Continuing Education Board and the ASHA CE staff frequently send additional information of importance to ASHA Approved CE Providers (e.g., e-newsletters, changes in procedures, revision of forms, or memoranda to the ASHA CE administrator). The material should be carefully reviewed and maintained with the current CEB Manual. ASHA Approved CE Providers and ASHA CE administrators are responsible for updates and changes in procedures and requirements and for communicating those changes to new ASHA CE administrators.

### **Fee Invoices**

There are only two Provider-related fees that are regularly invoiced by ASHA CE staff. The ASHA Approved CE Provider annual fee is invoiced in the fall, with payment due no later than January 1st of the following year. Second invoices are issued in February and include a late fee. Third invoices are issued in March and

include a second late fee. Late fees are assessed and accrue each month the payment is late. Unpaid Providers are withdrawn as of April 1 of the year invoiced. Every 5 years, a Provider is invoiced for the 5-year review fee.

Co-op fees are listed on the ASHA CE Program fee schedule found at [www.asha.org](http://www.asha.org) and must accompany the course and offering registration submitted for any cooperative CE offering.

### **Past Due Notification**

Routinely, the ASHA CE Registry runs a search for all reporting that has not been received within 45 days of the respective course offerings or participant's completion date. The ASHA CE Registry notifies the ASHA CE administrator that the reporting and, if applicable, any accompanying materials have not been received. The Provider must submit reporting for the course offering in question ASHA CE staff will contact the ASHA CE administrator and ask for an explanation of why the deadline was missed.

### **Sanctions Against Providers for Noncompliance With CEB Requirements**

To maintain ASHA Approved CE Provider status, Providers must adhere to all CEB requirements, policies, and procedures. ASHA CE monitors Providers on an ongoing basis. Failure to adhere to the CEB requirements will result in sanctions being placed against the Provider. ASHA CE sanctions fall into two categories: inactive status and probationary status.

#### **Inactive Status**

Providers may be placed on inactive status for (a) failure to pay Provider -related fees (i.e., annual, late, and co-op offering); (b) failure to respond in a timely manner to requests from ASHA CE staff or the CEB; and (c) repeated and pervasive failure to meet CEB Requirements and/or policies. The Provider may be reinstated to active status when (a) fees are paid; (b) the Provider responds as requested; and (c) demonstrates ability to meet CEB Requirements and/or policies. Inactive status is limited to 1 year, after which the process to withdraw ASHA Approved CE Provider status begins. If a Provider is placed on inactive status, the Provider may appeal this decision to the CEB in the form of a request for reconsideration. The Provider may not appeal the decision to the Board of Directors of the American Speech-Language-Hearing Association. Review by the Regulations and Monitoring Committee will represent final appeal in these cases.

During inactive status, new courses or course offerings may not be registered with the ASHA CE Registry and a Provider may not engage in cooperative offerings nor conduct independent studies.

#### **Probationary Status**

ASHA CE may place a Provider on probation for failure to comply with CEB requirements, policies, and/or procedures or for failure to participate in the Provider 5-year review, as scheduled. The Provider may be placed on probation for not more than 1 year.



The reasons for probation and stipulations of the probation period will be specified in detail in a letter to the ASHA Approved CE Provider from ASHA CE. During the period of probation, the Provider must demonstrate compliance with the requirements established by the CEB. If, at the end of the probationary period or at any point during the probationary period, the Provider is found to be in noncompliance, ASHA Approved CE Provider status will be withdrawn.

If Approved CE Provider status is withdrawn, any fees credited to the Provider will be forfeited; any fees outstanding will be due and payable. If the decision of ASHA CE is to withdraw Provider status, the Provider may appeal that decision. The first level of appeal is a request for reconsideration by the Regulations and Monitoring Committee. If the Regulations and Monitoring Committee sustains the original decision, the Provider may then appeal the decision to the full CEB. The Provider may not appeal the decision further.

## **Contacting the ASHA CEB and ASHA CE Staff**

### **Contacting the ASHA CEB**

Providers and participants who have concerns about the Continuing Education Board (CEB) review process, CE administration, or other CE issues are encouraged to contact the CEB in writing. CEB members are volunteers and receive correspondence through ASHA CE staff.

Correspondence should be addressed to the:

ASHA Continuing Education Board  
American Speech-Language-Hearing Association  
2200 Research Blvd #340  
Rockville, MD 20850

For a list of current Continuing Education Board members, visit <https://www.asha.org/about/governance/committees/committeesmartforms/continuing-education-board/>.

See additional information regarding contacting the ASHA CEB under “Participant-Related Policies and Procedures” in this section.

To avoid confusion and miscommunication between ASHA CE staff, the CEB, and the ASHA Approved CE Provider, ASHA CE requires that the Provider’s ASHA CE administrators sign all correspondence and forms. ASHA CE staff will limit their communication to the appointed ASHA CE administrator for the same reasons. Difficulties arise when ASHA CE communicates with or coordinate information among several contact persons. ASHA CE staff interact with over 550 ASHA CE administrators and process over tens of thousands of courses per year. Given the volume of calls, email and mail processed by ASHA CE, it is necessary to work directly with the ASHA CE administrator on all matters related to the ASHA

Approved CE Provider.

### **Contacting ASHA CE Staff**

Providers who have questions about the CEB requirements and procedures or other CE issues are encouraged to contact ASHA CE staff. Each Provider has been assigned a two person teams that includes a CE Provider Manager and a CE Accounts Manager. CEAs should reach out to their appointed team with questions.

### **Appeals Process**

#### **Appeals re: Provider Application Denied or ASHA Approved CE Provider Status Withdrawn**

If the decision of ASHA CE is to deny or withdraw Approved CE Provider status, the applicant/Provider may appeal that decision. The first level of appeal is a request for reconsideration by ASHA CE. If the decision is upheld, the applicant/Provider then may appeal the decision to ASHA's Board of Directors.

#### **Request for Continuing Education Board Reconsideration of Denied or Withdrawn Status**

Upon receipt of notification of ASHA CE's decision to deny or withdraw Approved CE Provider status, the applicant/Provider may request the CEB to reconsider its decision. The request for reconsideration must be made in writing to the chair of the CEB within 30 days from the date on the decision letter. The right to request reconsideration will be waived if such request is not received (postmarked if mailed) within the 30-day period. During the reconsideration procedure, a Provider will retain its Approved CE Provider status.

In the request for reconsideration, the applicant/Provider must provide evidence that (a) ASHA CE committed an error or violated its procedures, (b) ASHA CE made an oversight in its decision-making process, or (c) matters have arisen in the organization since the application review or ASHA CE decision that might indicate current compliance with CEB requirements. Should the applicant/Provider wish to make a personal appearance before the CEB, it should be so stated in the written request for reconsideration. The CEB will review the request for reconsideration no later than its next meeting. The CEB will notify the applicant/Provider of the time, date, and location of the meeting in order that a representative of the organization may appear or be heard. The CEB reserves the right to hold meetings and hearings via conference calls.

The appellant applicant/Provider will be responsible for travel expenses or conference call expenses of its own representative. If the applicant/Provider wishes to have an official transcript of the proceedings of the reconsideration hearing, arrangements and payment for a transcriber will be the applicant's/Provider's responsibility. The applicant/Provider will supply one copy of the transcript to the CEB at the appellant's expense.



The CEB will notify the applicant/Provider of its reconsideration decision by mail or email within 10 days of reaching the decision. If the decision of the CEB is to affirm the initial decision to deny or withdraw Approved CE Provider status, notice of the right to appeal the decision to the ASHA Board of Directors will be sent with the decision letter.

### **Appeal to ASHA Board of Directors**

Upon receipt of notification of the CEB's decision after reconsideration, the applicant/Provider will have 30 days from the date of the email and decision letter within which to appeal the decision to the ASHA Board of Directors. The appeal request must be in writing and sent by certified or registered mail to the ASHA National Office.

If such appeal is not received (postmarked if mailed) within the 30-day period, the right of appeal will be forfeit. An approved Provider will retain its Approved CE Provider status until the appeal is decided. The appeal will be made on the record that was considered by the CEB at the time of its reconsideration decision. No new information (e.g., developments, plans, or improvements made after ASHA CE review and action) may be introduced during the appeal. All supporting materials must be submitted with the request for appeal.

The Board of Directors will review the appeal at its next regularly scheduled meeting. The Board of Directors has the option to appoint an appeals committee, made up of members of the Board, to hear and rule on appeals on behalf of the Board. The appellant applicant/Provider will be notified of the date, time, and place of the scheduled appeal hearing. A representative (or representatives) of the appellant organization and the chair of the CEB (or a designated representative) will have the right to attend the hearing to present a statement in support of or in opposition to the appeal. The appellant applicant/Provider will be responsible for travel expenses of its own representative(s). If the applicant/Provider desires to have an official transcript of the proceedings of the hearing, arrangements and payment for a transcriber will be the applicant's/Provider's responsibility. The applicant/Provider will supply one copy of the transcript to the CEB at the appellant's expense.

The Board of Directors appeals committee will reach a decision in private by majority vote. The decision may be to (a) uphold the CEB's decision or (b) reverse the decision and award or reinstate Approved CE Provider status. The president of ASHA or the chair of the Board appeals committee will advise the appellant applicant/Provider of the Board's decision by mail or email within 10 days after the appeal hearing. The decision of the Board of Directors will be final.

### **Provider Fees**

ASHA reserves the right to change fees as conditions warrant. A current fee schedule

can be obtained at [www.asha.org](http://www.asha.org). Refer to “Participant Fees” in this section.

### **Application Fee**

The cost of becoming an Approved Provider of continuing education entails an application fee, an annual Provider fee, and a Provider 5 -year review fee (incurred every 5 years). The application fee is submitted to the Continuing Education Board with the application for CE Provider approval and is nonrefundable. Following approval of the application, the Provider is billed for the annual fee. Every 5 years, a Provider is invoiced for the 5-year review fee.

### **Annual Fee**

Provider annual fees are billed in September for the coming year. Fees are payable by January 1st of each year. The Provider annual fee provides for the recognition and promotion of the Provider’s CE Program, the review and processing of the Provider’s CE courses, posting of courses on the ASHA CE Registry and other advertising outlets, and additional consultative and administrative functions. Provider annual fees are nonrefundable.

Providers who are approved after December 1 of a given year will be expected to pay an annual fee in the following year and each year of approval thereafter. Providers who receive initial approval before December 1 of any given year will be expected to pay the annual fee for the year in which approval is granted.

Additional fees are assessed and accrue each month the Provider annual fee payment is late. Unpaid Providers are withdrawn as of April 1 of the year invoiced.

### **Co-op Fee**

A co-op fee is charged when a Provider joins with another entity that is not an ASHA Approved CE Provider to conduct a cooperative CE offering. The ASHA Approved CE Provider collects the fee(s) from the non-Provider. The co-op fee(s) must accompany the course and offering registration and must be received by the ASHA CE Registry no later than 30 days before the start date of the first course offering (see “Provider Requirements/Responsibilities Related to Cooperative CE Offerings” in this section and “Requirements for Providers That Conduct Cooperative CE Offerings” in Section 4 for additional information). There is a fee for the initial course offering, with a lesser fee for each subsequent offerings of that course. Co-op fees are due at the time of course or offering registration, are nonrefundable, and made payable to the ASHA CE Registry. If a cooperative offering is canceled, the co-op fee may be applied to another cooperative offering to be registered within 12 months of the end date of the originally scheduled course offering.

### **Five-year Review Fee**

ASHA CE charges a fee to conduct Provider 5-year reviews. This is a non-refundable fee. Refer to “Provider Five-year review” in Section 2 of the manual and in this section.

### **Reorganization Fee**

ASHA CE reserves the right to charge a fee to review applications of Providers whose organizational or administrative structure may have changed.

## **Provider Requirements/Responsibilities for Ongoing Maintenance of Approved CE Provider Status**

### **Changing CE Personnel**

If an ASHA Approved CE Provider wishes to replace the person who is designated as the ASHA CE Administrator (CEA), the CE Content Consultant, Support Staff or the CEA's Supervisor for that Provider, the following are required:

1. At least 30 days in advance of replacement, review the CEA and/or CE Content Consultant job descriptions found at <https://www.asha.org/ce/for-providers/admin/changeadmin/> to determine if the replacement is a good fit for the position. See "Requirements for ASHA CE Provider Approval" Section 2 for additional information about the CE personnel requirement.

2. Complete the appropriate Changing CE Personnel Web Form.

- Change of CE Administrator. The ASHA CE Administrator is the person charged with overseeing the ASHA Approved CE Provider's continuing education program and is the identifiable and continuous authority designated to ensure that the organization complies with all ASHA Continuing Education Board requirements. The form to request a change of CE Administrator can be found at <https://www.asha.org/Form/Changing-Continuing-Education-Administrator/>
- Change or add a CE Content Consultant. If the proposed ASHA CE Administrator is neither an ASHA member nor certified by ASHA, the ASHA Approved CE Provider must select another staff person who is an ASHA member or certified by ASHA who can serve as a consultant to the ASHA CE Administrator. The function of the ASHA CE Content Consultant is to provide input on clinical content and professional practice issues during the planning, implementation, and evaluation phases of the continuing education process. The form to add or change a CE Content Consultant can be found at <http://www.asha.org/Form/Changing-Continuing-Education-Content-Consultant/>

1.

- Changing Support Staff. This is an optional contact that can be added to the Provider Personnel Record and given access to the Course and Offering Registration and Cancellation form in order to support the CE Administrator in course data management. The form to make a change of support staff can be found at <https://www.asha.org/Form/Changing-Support-Staff/>

2.

- Changing CEA's Supervisor or Alternate Contact. This is an individual to whom the CE Administrator reports to regarding the organization's ASHA Approved CE Provider status or is an additional contact at the ASHA Approved CE Provider organization who is

familiar with ASHA CE requirements. The form to request a change of supervisor/alternate contact can be found at <https://www.asha.org/Form/Changing-CEA-Supervisor-or-Alternative-Contact/>

ASHA CE will review the materials and notify the Provider if additional information is needed. The new ASHA CE Administrator and/or CE Content Consultant does not become effective until the Provider receives notification from ASHA CE of their confirmation. Supervisors and Support Staff can be added immediately.

### **Provider 5-year review**

Provider approval is for a 5-year period. The 5-year period starts from the date of initial Provider approval by the Continuing Education Board (CEB). The approval letter issued by the CEB to the Provider indicates the 5-year approval period.

Providers who regularly file courses with the ASHA CE Registry (i.e., at least one course per year) will be apprised of their compliance with CEB requirements on an ongoing basis. A letter summarizing a Provider's record and eliciting feedback for the CEB will be issued in the year in which a Provider's approval is scheduled to expire. Providers who do not regularly file courses with the ASHA CE Registry may be asked to provide additional information to enable ASHA CE to assess continued compliance with its requirements. Any Provider whose record reflects inconsistent compliance with CEB requirements may be asked to respond to select questions regarding how compliance will be assured in the future. Any report or letter requesting such information will be issued in the year in which a Provider's approval is scheduled to expire.

ASHA CE charges a fee to evaluate 5-year review materials (the invoice is issued with correspondence related to the 5-year review in the year in which a Provider's approval is scheduled to expire). ASHA CE reserves the right to request additional information upon evidence of noncompliance with the CEB requirements.

The Provider will be notified of the status of the review and notified of continued Provider approval or other status determined by ASHA CE as a result of the review. If the review is satisfactory, the Provider will be approved for an additional 5-year period. Subsequent 5-year review cycles follow a similar pattern, with each review date based on the previous approval expiration date.

## **Participant-Related Policies and Procedures**

### **ASHA CE Registry**

The ASHA CE Registry contains the course records of ASHA Approved CE Providers and participants. When participants complete a CE course and indicate that they want to earn ASHA CEUs using the method determined by the Provider, the Provider submits their information to the ASHA CE Registry.

### **Award for Continuing Education (ACE)**

An Award for Continuing Education (ACE) is available to ASHA members and nonmembers who hold an ASHA Certificate of Clinical Competence (CCC). Only credit accrued while the participant is an ASHA member or certificate-holder and is participating in the ASHA CE Registry is applicable toward the ACE.

The requirements for the ACE can be fulfilled by earning 7.0 ASHA CEUs (i.e., representing 70 instructional contact hours) within a 36-month period by participation in courses offered through ASHA Approved CE Providers.

The ACE is automatically sent to individuals who have qualified on the basis of their cumulative current ASHA CEUs. “Current ASHA CEUs” are defined as those earned in the preceding 36-month period. Subsequent awards are made to qualified participants as soon as ASHA CEU requirements are met.

The ACE is dated as of the date that the award is approved and is considered valid for a 36-month period (for example, an ACE awarded in May 2019 would have a validity period of May 2019 until May 2022). The ACE certificate and participant’s ASHA CE Registry record indicate the “award” date and the “valid-through” date. Requirements for a subsequent ACE may be completed any time after the award date. ACE recipients (a) are listed on the ASHA Web site; (b) receive two notification letters confirming the award to forward to recipients of their choice (e.g., employer, supervisor); (c) have their names submitted to the state association newsletter editor and president in the state in which the awardee resides; and (d) may purchase a personalized ACE certificate (instructions for ordering the certificate are included in the ACE notification letter).

ASHA members and Certificate holders can contact ASHA CE staff for additional information about the ACE. Refer to “Participant Appeals Process” in this section for information on the appeals process if the awarding of the ACE is denied.

## **ASHA CEFind**

The ASHA CE Registry displays its course database to ASHA’s Web site. This enables Providers and participants alike to search the ASHA CE Registry for information about upcoming courses. Individuals may search by topic, course format, date, location, or key words in the course title or description. The resulting report identifies courses that meet the search criteria. Each course listed includes the title, date, Provider and registration information (if provided), location, and number of ASHA CEUs offered. The service is free to ASHA Approved CE Providers, ASHA members, and ASHA CE Registry users.

## **Participant-Related Documents Used by the ASHA CE Registry**

### **ASHA CEU Participant Information**

When eligible individuals participate in a course offered through an ASHA Approved CE Provider, providers will ask that the participant provide their first and last names, mailing address, email address, phone number, and ASHA account number, if applicable. This information, along with course information (i.e., course title and

completion date) is used to create or update a participants' record on the ASHA CE Registry. Participants who already have an ASHA CE Registry record but need to update identifying or contact information (e.g., name, address, phone number) are instructed to contact ASHA's Action Center (800 -498-2071) or to go through ASHA's Web site to update their records. Note: Only members can access the membership directory database. The Provider forwards the information from the participants in that course offering to the ASHA CE Registry. The ASHA CE Registry is a computerized record-keeping system that is similar in function and nature to a college registrar service.

In order to have ASHA CEUs recorded on their ASHA CE Registry transcript, each participant pays an annual ASHA CE Registry fee. The fee allows participants to register an unlimited number of ASHA CEUs, taken through ASHA Approved CE Providers only, on the ASHA CE Registry during that calendar year. ASHA Approved CE Providers are not responsible for collecting ASHA CE Registry fees. Rather, participants pay the ASHA CE Registry fee directly to ASHA when they pay their annual membership or certification fee, upon receipt of an invoice from the ASHA CE Registry, or by completing the ASHA CE Registry subscription form. Refer to "Participant Fees" in this section.

### **Transcripts**

When ASHA Approved CE Providers file a course with ASHA CE the information regarding that course is entered on the ASHA CE Registry. The ASHA CE Registry is a database of Providers' courses and learners' continuing education participation. When Providers send reporting to the ASHA CE Registry, the reporting is processed, and participant credit is entered on the database. The database links the course description with the ASHA CEU credit and places the information on each participant's permanent record (transcript).

The ASHA CE Registry can generate a participant's transcript upon request by the participant. Transcripts include a cumulative list of the CE courses for which a participant earned ASHA CEUs. Each listing on the transcript includes the course description, title, content code and instructional level, subject code, the course completion date, the course Provider, and the number of ASHA CEUs earned in that course. Transcripts also indicate the date(s) on which the participant received the ASHA Award for Continuing Education (ACE). Transcript files are maintained indefinitely and are issued upon request by the participant. Participants use transcripts to document their continuing education participation for such purposes as state licensure renewal, teacher certification, and job/salary advancement.

### **ASHA CE Registry Subscription Form**

Individuals may choose to pay their annual ASHA CE Registry fee at any time during the year. The ASHA CE Registry subscription form should accompany the payment. Individuals can obtain a subscription form by downloading it from ASHA's Web site (<http://www.asha.org>).



## **ASHA CE Registry Invoice**

When ASHA Approved CE Providers file reporting with the ASHA CE Registry, ASHA CE staff process the reporting onto respective Providers' and participants' records. If the ASHA CE Registry has no record of a participant's payment of the ASHA CE Registry fee for the calendar year in which the course ended, an invoice will be generated and sent to the participant. Until the ASHA CE Registry fee is paid for the calendar year in question, the ASHA CEU credit will not appear on an individual's ASHA CE Registry record nor on his or her official transcript. Refer to "Participant Fees" in this section for additional information.

## **ACE Letter**

Individuals who earn the ACE are notified by a letter signed by the current chair of the Continuing Education Board (CEB) and the director of ASHA Continuing Education. The letter specifies the term during which the ACE is considered valid and "current" and includes (a) two notification letters confirming the award for ACE awardees to forward to recipients of their choice (e.g., employer, supervisor); (b) ACE ribbons to be worn on ASHA and/or state convention registration badges; and (c) an ACE Certificate order form. Refer to "Award for Continuing Education (ACE)" in this section for additional information.

## **ACE Certificate**

The ACE Certificate, which is produced by a third party, is an embossed certificate suitable for framing and available for purchase by ACE awardees. The Certificate, signed by the current ASHA President, identifies the ACE recipient, and the month and year in which the ACE is awarded. Refer to "Award for Continuing Education (ACE)" in this section for additional information.

## **Contacting the ASHA CEB and ASHA CE Staff**

Refer to sections of the same name under "Provider-Related Policies and Procedures."

## **Complaints and Concerns About ASHA Approved CE Providers**

Complaints and concerns about ASHA Approved CE Providers, such as those regarding administrative issues, program procedures, physical setting, qualifications and appropriateness of instructional personnel, and quality of course content should be addressed in the following manner.

1. The participant should inform ASHA CE of the complaint or concern in writing. All submitted complaints must be signed. No anonymous complaints will be acted upon.
2. The CEB Regulations and Monitoring (R & M) Committee, a subcommittee of three members from the CEB, will review the complaint or concern and the ASHA Approved CE Provider information on file.
3. When appropriate, ASHA CE will notify the Provider in writing of the nature of the complaint or concern and invite a response within 30 days. The identity of the

complainant will not be revealed unless the complainant gives permission to disclose his or her name.

4. The CEB R & M Committee will then consider all data and correspondence pertinent to the issue and make a decision. Both the complainant and ASHA Approved CE Provider then will be advised of the decision in writing, specifying: (a) lack of evidence to support further investigation or (b) recommendations to the Provider for meeting CEB requirements, including a designated time limit in which the Provider must demonstrate compliance or submit a statement of reasons for noncompliance.
5. Failure to abide by the CEB findings may result in sanctions, including withdrawal of ASHA Approved CE Provider status, where appropriate.
6. In those cases that suggest violation of the ASHA Code of Ethics, the CEB will make referral to the ASHA Board of Ethics.
7. In cases in which withdrawal of Approved CE Provider status results, the Provider may appeal the CEB decision in accordance with procedures outlined in the CEB's Appeals Process (see “Appeals re: Provider Application Denied or ASHA Approved CE Provider Status Withdrawn” in this section for additional information).

### **Complaints and Concerns About Organizations Erroneously Offering ASHA CEUs**

Only ASHA Approved CE Providers have the authority to offer continuing education courses for ASHA CEUs. If a course is promoted as being offered for ASHA CEUs (or it can be construed as such by the wording on the promotional materials or announcements at the course itself), individuals are encouraged to contact ASHA CE staff with this information. Upon receipt of notification about ASHA CEUs being advertised without authority, ASHACE staff will contact the non-Provider organization to explain the process by which ASHA CEUs are awarded. If necessary and possible, ASHA CE will advise the organization to issue a letter to participants at the event to notify them that ASHACEUs will not be offered for the course in question.

### **Participant Appeals Process**

Participants who have been denied ASHA Continuing Education Units (CEUs) or the Award for Continuing Education (ACE) may appeal those decisions to ASHA CE. Such appeals must be submitted using the web form noted below and must address the reasons the ASHA CEUs or ACE should have been awarded. The appeal also should address any unusual circumstances that might have prevented the appellant from meeting the requirements for earning ASHA CEUs or the ACE. ASHA CE will only accept appeal requests from participants asking that ASHA CEUs be granted for a course within 12 months from the course end date.

The appeal should be submitted via ASHA’s website: <http://www.asha.org/CE/for-providers/Participant-Appeal-Form-Announcement/>



ASHA CE decisions related to denial of ASHA CEUs, denial of the ACE, or appeals related to other administrative actions of the CEB review process may not be appealed to the ASHA Board of Directors. In these cases, review by the full CEB in the form of a request for reconsideration will represent final appeal.

## **Participant Fees**

A variety of fees are charged participants to use the services of the ASHA CE Registry or to purchase items/services related to the Continuing Education Program. ASHA reserves the right to change fees as conditions warrant.

The current fee schedule is found at [www.asha.org](http://www.asha.org).

## **Annual ASHA CE Registry Fee**

Participants pay an annual fee to use the ASHA CE Registry. The annual fee covers the processing of all ASHA CEUs for courses taken through ASHA Approved CE Providers during the calendar year. ASHA members and nonmember certificate holders may pay the annual CE Registry fee with their ASHA membership dues or certification fees through the ASHA annual invoice method. Qualified participants who are neither ASHA members nor ASHA certificate holders may pay the annual fee by obtaining subscription information from the ASHA CE Registry?

Individuals are eligible to earn ASHA CEUs if they meet at least one of the following criteria:

- ASHA Member (includes Life member and international affiliates)
- ASHA Certificate of Clinical Competence (CCC) Holder
- Licensed by a state or provincial regulatory agency to practice speech-language pathology (SLP) or audiology
- Credentialed by a state regulatory agency to practice SLP or audiology
- Credentialed by a national regulatory agency to practice SLP or audiology
- A Clinical Fellow supervised by someone who holds the ASHA CCC
- Currently enrolled in a masters or doctoral program in SLP or audiology

Providers do not collect annual CE Registry fees from participants, nor do they verify that annual ASHA CE Registry fees have been paid before submitting participant information to the CE Registry. When the ASHA CE Registry receives participant information, those participants who have not paid the annual ASHA CE Registry fee will be identified and billed for the fee. ASHA CEUs will not be placed on the participant's transcript until the annual ASHA CE Registry fee is paid and eligibility to earn ASHA CEUs is verified.

Providers are discouraged from charging participants additional fees to process their ASHA CEUs. Any processing fee charged by Providers must be identified in promotional material as being charged by the Provider, not ASHA.

## **ACE Certificate Fee**

ASHA members and nonmember ASHA certificate holders who earn the ASHA Award for Continuing Education (ACE) may purchase an ACE certificate of recognition. The certificate is suitable for framing and is signed by the current ASHA President. The ACE is awarded at no charge. The certificate is available for a nominal fee.

### **Transcript Fee**

When participants pay the annual ASHA CE Registry fee, then their account is credited with a voucher that can be used to request an ASHA CE Registry transcript at no cost. Additional transcripts can be purchased for a fee. Refer to [www.asha.org](http://www.asha.org) or contact ASHA CE staff at the ASHA National Office for a current fee schedule.

### **Transcript Fee (Express Service)**

For a fee, the ASHA CE Registry will print a participant's CE transcript within 24 hours and fax or express mail it to the location indicated by the participant. Express service requests are taken by phone and charged to the participant's credit card (MasterCard, Visa or Discover).

## **Section 4: Provider-Initiated Courses**

### Overview

### **Organizations Qualified to Offer Provider-Initiated Courses for ASHA CEUs**

When the Continuing Education Board (CEB) approves an organization as an ASHA Approved Continuing Education (CE) Provider, that organization may offer its continuing education courses for ASHA CEUs if those courses meet the CEB requirements. The organization also may choose to jointly offer continuing education courses for ASHA CEUs with other ASHA Approved CE Providers, called a joint providership, or with an entity that is not an ASHA Approved Provider, called a cooperative.

If an ASHA Approved CE Provider chooses to offer a CE course for ASHA CEUs, the Provider must adhere to the CEB requirements in planning, promoting, implementing, evaluating, and reporting that course. Some ASHA Approved CE Providers may offer all of their organization's CE courses for ASHA CEUs, whereas other Providers may choose to offer only certain courses for ASHA CEUs. It is the responsibility of the Provider and the ASHA CE administrator to determine whether a course will meet all the CEB requirements and whether that course will be offered for ASHA CEUs.

### **Purpose of Provider-Initiated Continuing Education Courses**

The ASHA Approved CE Provider plans provider-initiated courses for groups of participants. Courses should be based on needs assessment data and should be designed to meet the needs of speech-language pathologists, audiologists, and speech/language/hearing scientists. Provider-initiated CE courses should be designed to enhance professionals' skills and knowledge in a specific area that is relevant to the

field of communication disorders.

Providers developing group CE courses must base the course on an identified need, develop participant learning outcomes, have a system to assess learning outcomes, have a mechanism to determine satisfactory completion of the learning course, and have a method to evaluate the program. Development of Provider-initiated courses should be based on principles of adult learning and sound program planning. Providers planning group CE courses must adhere to the 12 requirements for initial and ongoing ASHA Approved CE Provider status (see Section 2 -ASHA Continuing Education Provider).

### **Requirements for Providers of Provider-Initiated Courses**

ASHA Approved CE Providers who offer continuing education courses for ASHA CEUs must adhere to the 12 CEB requirements (see “Requirements for ASHA CE Provider Approval” in Section 2) when planning, promoting, implementing, evaluating, and reporting CE courses. Providers must adhere to the Guidelines and Required Practices of each Requirement as well as to the additional requirements and procedures described in the Policies and Procedures and in this section of the manual.

### **General Procedures for Planning and Reporting Provider-Initiated CE Courses**

The ASHA CE administrator should follow these administrative procedures to plan, promote, report, and conduct a course for ASHA CEUs.

#### **Before the Course**

The ASHA CE administrator should:

1. Identify the needs of a potential target audience.
2. Decide to conduct a continuing education course to address the identified needs of potential participants. Refer to “Requirements for ASHA CE Provider Approval” in Section 2 for information on planning the learning course.
3. Determine the learning outcomes of the course based on the identified needs of potential participants.
4. Choose the qualified individuals who will be involved in planning and conducting the course.
5. Document that each person planning and delivering the course has disclosed relevant financial and nonfinancial relationships.
6. Determine whether relevant financial or nonfinancial relationships will disqualify the individual from participation in course planning and/or delivery or if the conflicts may be resolved through disclosure.
7. Ensure that appropriate facilities are selected for the learning course.

8. Manage all financial and in-kind support given by other organizations that is used to fund the costs of the CE course and/or expenses for learners. See Required Practice 3.3.
9. Determine the resources and aids needed to accomplish the learning outcomes.
10. Establish the requirements that participants must meet to satisfactorily complete the course, including a method for documenting attendance and/or special forms to track attendance and achievement of learning outcomes. Determine how satisfactory completion requirements will be disclosed to participants before the course.
11. Decide how to assess participant learning outcomes.
12. Establish a method to conduct a program evaluation of the continuing education course.
13. Develop a time-ordered agenda for the continuing education course.
14. Produce promotional materials, according to CEB requirements, to advertise the continuing education course. Items that must be included in promotional materials are instructional personnel disclosure, financial and in-kind support disclosure (if applicable) and that the course is focused on a specific product or service (if applicable). See Requirement 3: Transparency in Course Planning, Delivery, and Marketing for details. The Provider's brand block and course information (ASHA CEU amount and instructional level) are required on promotional materials. See "Other Requirements Related to Planning and Conducting CE Courses" in this section.
15. Complete and submit a course and offering registration and accompanying required materials and any applicable fees so that the information is received in the ASHA CE Registry no fewer than 15 days before the starting date of the earliest course offering or 30 days before the start date of the earliest cooperative offerings. See "Instructions for Completing the course and offering registration" in this section.
16. Additional offerings can be added to the course using the course and offering registration. These additional offerings are assigned the next consecutive extension numbers (e.g., 004, 005) by ASHA CE. Additional offerings must be received no later than 3 days before the new offering's start date. An offering must start and end in the same calendar year.
17. Upon receipt of the Course and offering registration and accompanying materials, the ASHA CE Registry will:
  - Review the course and offering registration and materials on behalf of the Continuing Education Board to ensure that they meet CEB requirements.

Request additional information from the ASHA CE administrator if the course and offering registration is incomplete or does not meet the CEB requirements. If the information is not received in the ASHA CE

Registry by the 15-day/30-day pre-course filing deadline, ASHA CE staff will contact the ASHA CE administrator and ask for an explanation of why the deadline was missed.

- A course registration confirmation letter is posted to the course's overview page.
18. The ASHA CE administrator should review the information in the course registration confirmation letter and report errors and corrections immediately to the ASHA CE Registry.
  19. Immediately prior to offering the course, the ASHA CE Administrator should request instructional personnel to update their disclosure information. They should review this information to determine if any new relevant financial and nonfinancial relationships have developed since initial disclosure. If new relationships have developed, the ASHA CE Administrator should determine if
    - relevant financial or nonfinancial relationships may be resolved through disclosure,
    - relevant financial or nonfinancial relationships disqualify the individual from participation in course planning and/or delivery (see [Required Practice 3.2](#)),
- instructional personnel disclosure statements need to be updated.

### **During the Course**

The ASHA CE administrator or instructor should:

1. Provide the following information about all instructional personnel:
  - a. The name of the instructional personnel.
  - b. Relevant financial relationship(s): Listing the name of the organization and the type of financial relationship; and/or
  - c. Relevant nonfinancial relationship(s): Listing the name of the organization and the type of nonfinancial relationship; or
  - d. No relevant financial or nonfinancial relationships exist.
2. Announce or provide written disclosure statements regarding satisfactory completion requirements.
3. Conduct the course according to the CEB requirements.
4. Maintain an attendance record of all participants.
5. Conduct the learning assessment procedures.
6. Conduct the program evaluation procedures.
7. Collect participant information from those who satisfactorily meet completion requirements and who wish to document their participation with ASHA CEUs.

## **After the Course**

The ASHA CE administrator should:

1. Verify attendance for those who wish to earn ASHA CEUs.
2. Check participant information to ensure it is complete and accurate.
3. If partial credit could be earned for the course, report partial credit accordingly based on the method of submission.
4. Maintain records for a minimum of 2 years from the completion date of the course offering. These records are used by the Provider to verify and check the course roster. The system also ensures that back-up records are accessible in the event that original documentation is damaged, incorrect, or in the event that they never reach the ASHA CE Registry.
5. Ensure reporting is received by the stated deadlines (see <https://www.asha.org/uploadedFiles/CE-Deadline-Reference-Guide.pdf>). Even if no participants earned ASHA CEUs reporting must be received no later than 45-days after the course offerings completion date.
6. Details about the different reporting options can be found at [www.asha.org](http://www.asha.org).

## **Upon receipt of the course offering report, the ASHA CE Registry will:**

1. Review the reporting and contact the ASHA CE administrator if additional information is needed.
2. Process the course offering reporting and enter ASHA CEUs on the participants' ASHA CE Registry transcripts. The information about the course and offering registration (filed earlier) will be entered on each participant's ASHA CE Registry transcript.
3. Bill participants who have not paid the annual ASHA CE Registry fee but are eligible to earn ASHA CEUs. To earn ASHA CEUs and have the ASHA CEUs and course information entered and retained permanently on the ASHA CE Registry; the participant must have paid the annual ASHA CE Registry fee for the year in which the course was completed. The ASHA CE Registry will bill the participant for the fee and hold the ASHA CEU credit until the fee is paid. The Provider is not responsible for collecting ASHA CE Registry fees. The participant should contact ASHA CE staff for ASHA CE Registry annual fee subscription information.
4. Produce a roster for the ASHA CE Administrator to review.

## **When the course roster is ready, the ASHA CE administrator should:**

1. Review the course roster. It includes the names, ASHA account numbers, ASHA CEU date and ASHA CEU credit for, participants who earned ASHA CEUs for the course. This part of the document should be checked immediately against the Provider's records.

2. Submit any corrections to the ASHA CE Registry if a) the ASHA CE Registry made an error in the amount of credit a participant should have received or (b) the ASHA CE Registry omitted the name and credit of a participant for whom the Provider submitted in the reporting. It is incumbent upon the ASHA CE administrator to verify the accuracy of the course roster and make any corrections immediately.

## **Requirements for Providers That Conduct Cooperative CE Offerings**

A *cooperative course/offering(s)* is when an ASHA Approved CE Provider joins with an organization or entity that is not an ASHA Approved CE Provider to plan, deliver, and evaluate a continuing education course/offering(s) for ASHA continuing education units (CEUs), and a fee is incurred. A course/offering(s) is considered a cooperative if another party or entity is not part of the organization that has been approved as the ASHA Approved CE Provider, as detailed in the application to become an ASHA Approved CE Provider.

Note: A *joint providership course/offering(s)* happens when two or more ASHA Approved CE Providers jointly offer continuing education courses. In these cases, the administrative responsibility for compliance with CEB Requirements shall be held by only one of the Providers. No co-op fee is required if both organizations are ASHA CE Providers.

An ASHA Approved CE Provider who agrees to conduct a cooperative CE offering must ensure that the non-Provider entity adheres to the 12 CEB requirements (Described in the Section 2, “Requirements for ASHA CE Provider Approval”) when planning, promoting, implementing, evaluating, and reporting the course. Non-Providers must adhere to the guidelines and required practices of each requirement, as well as to the additional requirements and procedures described in this manual.

Conducting a cooperative offering with an organization outside the group or organization approved as the ASHA Approved CE Provider is optional. Some ASHA Approved CE Providers do not conduct cooperative CE offerings. Others conduct only a select number of cooperative offerings per year. Once an agreement is made to conduct a cooperative CE offering with another entity, it is the responsibility of the ASHA CE Administrator to see that all CEB requirements are met. If the non-Provider fails to meet CEB requirements, the ASHA Approved CE Provider is responsible for the consequences. ASHA Approved CE Providers should not allow the cooperative offering process to jeopardize ASHA Approved CE Provider status. ASHA CE therefore recommends that the ASHA Approved CE Provider obtain all the necessary information from the non-Provider entity before providing the Brand Block and the required course information (ASHA CEU amount and instructional level). The course and offering registration must include information about the cooperative party and a nonrefundable co-op fee for each offering in order to be registered by the ASHA CE Registry. The ASHA Approved CE Provider, not ASHA CE staff, is responsible for this fee and its collection from the non-Provider.

ASHA CE reserves the right to revoke a Provider’s ability to conduct cooperative CE



offerings because of repeated demonstration of noncompliance with CEB requirements. ASHA CE also may revoke a non-Provider's cooperative offering privilege if it has a history of noncompliance with CEB requirements.

The ASHA Approved CE Provider who conducts a cooperative offering must be significantly and directly involved in the planning, promotion, implementation, and evaluation of the cooperative offering. Frequent contact during the planning of the course is required. The contact may be on-site or through telephone calls and correspondence. ASHA Approved CE Providers are urged to establish their own time lines, procedures, and agreements for conducting cooperative offerings that will allow them to comfortably meet the CEB requirements. ASHA Approved CE Providers may charge an administrative fee (in addition to the co-op fee that is submitted to ASHA) to conduct a cooperative CE offering with another party.

The ASHA Approved CE Provider and the ASHA CE administrator for the Approved CE Provider are responsible for ensuring that cooperative offerings meet CEB requirements. The Approved Provider's CE administrator is responsible for all contact with the ASHA Continuing Education Board, the ASHA CE Registry, and ASHA CE staff relative to the cooperative offering course.

### **Requirements for Providers That Conduct Cooperative CE Offerings with Non-Providers**

The ASHA Approved CE Provider should use the following requirements when conducting a cooperative offering with a non-Provider:

1. The ASHA CE administrator or a designated staff representative must have direct significant involvement in the planning, conduct, and evaluation of all cooperative CE offerings. This involvement includes holding a joint planning meeting with the non-Provider. To the extent possible, the joint planning meeting should include the principal planners and instructors, as well as representatives of the target audience. Joint planning meetings must be held sufficiently in advance of the continuing education course so that plans for developing and implementing the course can be mutually agreed upon. The ASHA Approved CE Provider and the other party should hold an additional planning meeting if the content or format of the course is changed significantly. Ongoing cooperative offerings should include planning meetings at least annually.
2. The ASHA CE administrator and the cooperative party must pay particular attention to elements in Requirement 3 to ensure transparency in course planning, delivery and marketing.
3. The ASHA CE administrator and the cooperative party must determine how many times a group course will be offered or how long a self-study will be available for ASHA CEUs. This information is used to compute the cooperative fees owed.
  - a. Group or blended courses: A cooperative fee is charged each time the course content is offered.
  - b. Self-study (Individual): A cooperative fee is charged for each month the

course is available for ASHA CEUs.

4. The ASHA CE administrator (not a representative of the non-Provider) must complete the course and offering registration and include information about the cooperative party and collect the co-op fees from the non-Provider. The co-op fee must accompany the course and offering registration that is due in the ASHA CE Registry no fewer than 30 days before the start date of the earliest course offering. The ASHA Approved CE Provider should either (a) collect the co-op fee and then write a check or make a credit card payment to the ASHA CE Registry, or (b) obtain the co-op fee in the form of a check, made payable to the ASHA CE Registry, from the non-Provider. The check should be accompanied by the invoice created in the Provider Portal and note the Provider code and assigned Course and Offering number (if applicable) for the course so that it can be tracked and appropriately credited by ASHA CE staff.
5. The ASHA CE administrator submits the course and offering registration, accompanying materials, and the co-op fee(s) so that it is received by the ASHA CE Registry no fewer than 30 days before the start date of the earliest course offering. Course and offering registrations for cooperative offerings that arrive at the ASHA CE Registry late or without the co-op fee(s) will not be registered and ASHA CE staff will contact the ASHA CE administrator and ask for an explanation of why the deadline was missed.
6. All promotional materials for cooperative CE offerings must identify the ASHA Approved CE Provider and include the Brand Block and the required course information that identifies the number of ASHA CEUs being offered and instructional level. The ASHA Approved CE Provider's name, not the organization with whom the Provider is conducting the cooperative offering, appears in the Brand Block. See “Other Requirements Related to Planning and Conducting CE Courses” in this section.
7. The ASHA CE administrator must submit reporting to the ASHA CE Registry so that they arrive in the ASHA CE Registry within established deadlines (see <https://www.asha.org/uploadedFiles/CE-Deadline-Reference-Guide.pdf>). Even if there are no participants who earned ASHA CEUs or if the course was canceled, reporting is required and must be received in the ASHA CE Registry no more than 45 days after the course offering’s completion date.
8. Providers that conduct cooperative CE offerings with other units or departments within the same institution/organization may be liable for a co-op fee if those units were not described in the original application for CE Provider approval as part of the organization seeking Approved CE Provider status. ASHA CE reserves the right to ask for clarification or documentation of a non-Provider’s organizational relationship and a group's eligibility to conduct a cooperative CE offering without incurring the co-op fee.
9. The ASHA CE administrator should be the one to contact ASHA CE staff with any questions regarding a cooperative offering. Representatives of the non-Provider

who contact ASHA CE staff with questions or to request forms will be directed to the ASHA CE administrator of the Provider with whom they are conducting the cooperative offering. This one-person contact policy should be conveyed by the ASHA CE administrator to the appropriate representatives of the non-Provider.

## **General Procedures for Planning and Reporting Cooperative CE Offerings**

The ASHA CE administrator should follow these administrative procedures to plan, promote, report, and conduct a cooperative CE offering for ASHA CEUs.

### **Before the Course**

The ASHA CE administrator and the representative(s) of the non-Provider should:

1. Identify the needs of a potential target audience.
2. Decide to conduct a continuing education course to address the identified needs of potential participants. Refer to “Requirements for ASHA CE Provider Approval” in Section 2 for information on planning the learning course.
3. Determine the learning outcomes of the course based on the identified needs of potential participants.
4. Choose the qualified individuals who will be involved in planning and conducting the course.
5. Document that each person planning and delivering the course has disclosed relevant financial and nonfinancial relationships.
6. Determine whether relevant financial or nonfinancial relationships will disqualify the individual from participation in course planning and/or delivery or if the conflicts may be resolved through disclosure.
7. Ensure that appropriate facilities are selected for the learning course.
8. Manage all financial and in-kind support given by other organizations that is used to fund the costs of the CE course and/or expenses for learners. See Required Practice 3.3.
9. Determine the resources and aids needed to accomplish the learning outcomes.
10. Establish the requirements that participants must meet to satisfactorily complete the learning course, including a method for documenting attendance and/or special forms to track attendance or achievement of learning outcomes. Determine how satisfactory completion requirements will be disclosed to participants before the course.
11. Decide how to assess participant learning outcomes.
12. Establish a method to conduct a program evaluation of the continuing education course.

13. Develop a time-ordered agenda for the continuing education course.
14. Determine the number of course offerings to be available for ASHA CEUs.
15. Produce promotional materials, according to CEB requirements, to advertise the continuing education course. Items that must be included in promotional materials are instructional personnel disclosure, financial and in-kind support disclosure (if applicable) and that the course is focused on a specific product or service (if applicable). See Requirement 3: Transparency in Course Planning, Delivery, and Marketing for details. The Provider's Brand Block and course information are required on promotional materials. See "Other Requirements Related to Planning and Conducting CE Courses" in this section.
16. Complete and submit the course and offering registration, accompanying required materials and the nonrefundable co-op fees so that the information is received in the ASHA CE Registry no fewer than 30 days before the starting date of the earliest course offering.
17. Additional offerings can be added to the course using the course and offering registration. These additional offerings are assigned the next consecutive extension numbers (e.g., 004, 005) by ASHA CE. Additional offerings must be received no later than 3 days before the new offering's start date. An offering must start and end in the same calendar year. There is a non-refundable co-op fee for each additional offering due at the time of registration.
18. Provide instructions on how required participant information should be collected with the non-Provider or the representative from the ASHA Approved CE Provider who will be monitoring and assisting with the cooperative offering.

Upon receipt of the Course and offering registration and accompanying materials, the ASHA CE Registry will:

1. Review the course and offering registration and materials on behalf of the Continuing Education Board to ensure that they meet CEB requirements.
2. Request additional information from the ASHA CE administrator if the course and offering registration is incomplete or does not meet the CEB requirements. If the information is not received in the ASHA CE Registry by the 30-day pre-course filing deadline, ASHA CE staff will contact the ASHA CE administrator and ask for an explanation of why the deadline was missed.
3. A course registration confirmation letter is posted to the course's overview page.

The ASHA CE administrator should review the information in the course registration confirmation letter and report errors and corrections immediately to the ASHA CE Registry.

Immediately prior to offering the course, the ASHA CE Administrator should request instructional personnel to update their disclosure information. They should review this

information to determine if any new relevant financial and nonfinancial relationships have developed since initial disclosure. If new relationships have developed, the ASHA CE Administrator should determine if

- relevant financial or nonfinancial relationships may be resolved through disclosure,
- relevant financial or nonfinancial relationships disqualify the individual from participation in course planning and/or delivery (see [Required Practice 3.2](#)),
- instructional personnel disclosure statements need to be updated.

### **During the Course**

The ASHA CE administrator or instructor should:

1. Provide the following information about all instructional personnel:
  - a. The name of the instructional personnel.
  - b. Relevant financial relationship(s): Listing the name of the organization and the type of financial relationship; and/or
  - c. Relevant nonfinancial relationship(s): Listing the name of the organization and the type of nonfinancial relationship; or
  - d. No relevant financial or nonfinancial relationships exist.
2. Make an announcement or provide written disclosure statements regarding satisfactory completion requirements.
3. Ensure that the course is conducted according to the CEB requirements.
4. Maintain an attendance record for all participants.
5. Conduct learning assessment procedures.
6. Conduct program evaluation procedures.
7. Collect participant information from those individuals who satisfactorily meet completion requirements and who wish to document their participation with ASHA CEUs
8. If the ASHA CE administrator is not at the course, forward participant information and attendance records to the ASHA CE administrator immediately upon completion of the course.

### **After the Course**

The ASHA CE administrator should:

1. Check participant information for those requesting ASHA CEUs against attendance

records.

2. Ensure that participant information is complete and accurate.
3. Submit reporting to the ASHA CE Registry within established deadlines (see <https://www.asha.org/uploadedFiles/CE-Deadline-Reference-Guide.pdf>). Directions should be followed and relevant information should be submitted based on reporting method. Descriptions of reporting methods can be found at [www.asha.org](http://www.asha.org). Maintain copies of participants' names, attendance records, ASHA CEU credit, and other identifying information for a period of 2 years. These records should be accessible to the ASHA CE Administrator.
4. Even if no participants earned ASHA CEUs or the course was canceled, the reporting must be received by the ASHA CE Registry no more than 45 days after the course's completion date.

**Upon receipt of reporting, the ASHA CE Registry will:**

1. Review the reporting and contact the ASHA CE administrator if additional information is needed.
2. Process the course offering information and enter ASHA CEUs on the participants' ASHA CE Registry transcript.
3. Bill participants who have not paid the annual ASHA CE Registry fee. To earn ASHA CEUs and have the ASHA CEUs and course information entered and retained permanently on the ASHA CE Registry, the participant must have paid the annual ASHA CE Registry fee for the year in which the course was completed. The ASHA CE Registry will bill the participant for the fee and hold the ASHA CEU credit until the fee is paid. The Provider is not responsible for collecting ASHA CE Registry fees. The participant should contact ASHA CE staff for ASHA CE Registry annual fee subscription information.
4. Created a course roster for the ASHA CE Administrator to review.

**After receipt of the course roster is ready, the ASHA CE administrator should:**

1. Review the course roster. It includes the names, ASHA account numbers, ASHA CEU date and ASHA CEU credit for participants who earned ASHA CEUs for the course. This part of the document should be checked immediately against the Provider's records of the cooperative offering.
2. Submit roster correction(s) if a) the ASHA CE Registry made an error in the amount of credit a participant should have received or (b) the ASHA CE Registry omitted the name and credit of a participant for whom the Provider submitted reporting. It is incumbent upon the ASHA CE administrator to verify the accuracy of the course roster and to submit the corrections immediately.

**Requirements for Providers That Offer Self-Study (i.e., Individual Learning**

## Experience) Courses

Self-study materials (i.e., self-paced courses such as journals, newsletters, recorded webinars, audio recordings, etc.) are considered Provider-initiated courses. Providers considering developing self-study materials to be offered for ASHA CEUs are advised to contact their respective CE Provider Manager early in the development stage for recommendations and instructions specific to the materials they are developing. Providers that offer self-study materials should be aware of the following requirements:

- The ASHA Approved CE Provider that offers self-study materials for ASHA CEUs must adhere to the same requirements and procedures used to plan, market, deliver, and evaluate other types of Provider-initiated courses, such as live workshops and conferences. For example, Providers must include the required ASHA Approved CE Provider Brand Block and course information (ASHA CEU amount and instructional level) in any self-study materials offered for ASHA CEUs as well as in any marketing or promotion of the materials. Instructor disclosure, learner assessment and program evaluation components must also be included with the materials. Additional items that must be included in the self-study materials are instructional personnel disclosure, financial and in-kind support disclosure (if applicable) and that the course is focused on a specific product or service (if applicable). See Requirement 3: Transparency in Course Planning, Delivery, and Marketing for details.
- The self-study is valid for 5 years from the date of the first registered course offering. Course offering registration periods will be prompted by the system.
- Providers will input the earliest date and the last date that a learner can access the course content and monthly offerings will be autogenerated. Providers reporting participant using web service (system to system) reporting will have yearly offerings.
- Providers must have a method for assigning ASHA CEUs to the self-study materials. To determine how many ASHA CEUs may be offered for self-study materials, refer to “Calculating ASHA CEUs” and “Requirements for Providers That Offer Self Study Courses” in this section.

The Provider must disclose the following in course promotional materials as well as in the self-study materials:

- Instructional personnel disclosure to include:
  - The name of the author(s) and/or instructional personnel; and
  - Relevant financial relationship(s): Listing the name of the organization and the type of financial relationship; and/or
  - Relevant nonfinancial relationship(s): Listing the name of the organization and the type of nonfinancial relationship; or
  - If no relevant financial or nonfinancial relationships exist.
  - Financial and in-kind support disclosure (if applicable); and
  - Content disclosure if the course is focused on a specific product or service (if applicable).



This information must be made available to the participants before the self-study course begins and must be conveyed through promotional materials, written handouts, or announcement by the instructor, ASHA CE administrator, publisher, or editor, or person introducing the instructor, depending on the format of the self-study. The format used for disclosure will vary depending on the format of the self-study material. For example, with webinars, the disclosure could be made in the form of an announcement at the beginning of the webinars. If there is accompanying print material, include the disclosures in the print material. With periodicals, the disclosure can be made at the beginning of the article where authors are listed or at the end of the article in the acknowledgments section.

The Provider should be sure that there are clear instructions for participants to follow regarding satisfactory completion requirements, how to request ASHA CEUs and how long the course is valid for ASHA CEUs.

The Provider that offers self-study materials for ASHA CEUs is encouraged to have the product independently peer reviewed prior to release and periodically throughout the life of the product. Independent means the reviewer had no role in developing the materials and has no proprietary interest in the materials or the organization offering the materials as self-study products.

The purpose of the peer review is to:

- offer the Provider feedback to improve the materials before publication
- review course content for quality, currency, and effectiveness in assisting learners achieve learning outcomes.

For non-periodical enduring materials, a typical peer review process might include two independent reviews of materials that address form, content, and appropriateness for use as an educational course.

For periodical enduring materials, a typical peer review process is a standing editorial review board.

## **General Procedures for Planning and Reporting Self-Study Courses**

The ASHA CE administrator should follow these administrative procedures to plan, promote, report, distribute, and evaluate a self-study course for ASHA CEUs.

### **Before the Self-Study Course**

The ASHA CE administrator should:

1. Identify the needs of a potential target audience.
2. Decide to conduct a continuing education course to address the identified needs of potential participants. Refer to “Requirements for ASHA CE Provider Approval” in Section 2 for information on planning a course.

3. Determine the learning outcomes of the course on the basis of the identified needs of potential participants.
4. Ensure that a self-study format is appropriate for achieving the desired learning outcomes.
5. Choose the qualified individuals who will be involved in planning, developing, writing, and/or presenting the self-study course.
6. Document that each person planning and delivering the course has disclosed relevant financial and nonfinancial relationships.
7. Determine whether relevant financial or nonfinancial relationships will disqualify the individual from participation in course planning and/or delivery or if the conflicts may be resolved through disclosure.
8. Ensure that appropriate facilities are selected for the learning course.
9. Manage all financial and in-kind support given by other organizations that is used to fund the costs of the CE course and/or expenses for learners. See Required Practice 3.3.
10. Determine the resources and aids needed to accomplish the learning outcomes. For example, if the self-study is presented in an audiotape format, determine whether there will be accompanying written or visual resource materials.
11. Establish the requirements that participants must meet to satisfactorily complete the self-study learning course (e.g., they must complete a project, achieve a score of 90% on a learning assessment) and determine how these requirements will be disclosed to participants.
12. Establish a method to determine how ASHA CEUs will be calculated and offered for successful completion of the self-study.
13. Decide how to assess self-study participants' learning outcomes.
14. Establish a method to conduct a program evaluation of the self-study continuing education course.
15. Develop a time-ordered agenda (e.g., recorded presentations) or a storyboard or outline (e.g., journals, newsletters,) for the self-study course.
16. Determine how long the self-study materials will be offered for ASHA CEUs and how required participant information will be collected to submit to the ASHA CE Registry. Providers developing self-study materials are advised to contact their respective CE Provider Manager early in the product development stage to discuss logistics and options for registering self-study materials for ASHA CEUs and for eliciting participant information.
17. Develop a final draft of the self-study materials, including the learner assessment and program evaluation forms.

18. Produce promotional materials, according to CEB requirements, to advertise the self-study course. Items that must be included in promotional materials are instructional personnel disclosure, financial and in-kind support disclosure (if applicable) and that the course is focused on a specific product or service (if applicable).  
Requirement 3: Transparency in Course Planning, Delivery, and Marketing for details. The Provider's Brand Block and course information (ASHACEU amount and instructional level) are required on promotional materials. See "Other Requirements Related to Planning and Conducting CE Courses" in this section.
19. Complete and submit the course and offering registration and accompanying required materials, so that the information is received in the ASHA CE Registry no fewer than 15 days before the start date of the earliest offering date for the course (i.e., the first day the course materials are available to learners to complete).

### **Self-Study Course Registration Considerations**

The ASHA CE administrator must consider the following factors when registering a self-study course:

1. **Length of course availability:** Self-study materials may be offered for ASHA CEUs for 5 years from the date of the first registered offering.
2. **Frequency of reporting:** Providers reporting through .csv files or excel will report monthly. Providers reporting participation in real time through the web service (system to system) will have yearly offerings. ASHA CEUs are awarded to participants based on the end date of the offering for Providers reporting through .csv files or excel and completion date for Providers reporting using the web service (system to system). Course offering registration periods will be prompted by the system.
3. **Instructions to participants:** Instructions to participants in self-study courses must clearly explain the satisfactory completion requirements, how to request ASHA CEUs and when they can expect the credit to appear on the ASHA CE Registry transcript. ASHA CE administrators should contact their respective CE Provider Manager for suggestions and sample language.

Upon receipt of the course and offering registration and accompanying materials, the ASHA CE staff will:

1. Review the course and offering registration and self-study materials on behalf of the Continuing Education Board to ensure that they meet CEB requirements.
2. Request additional information from the ASHA CE administrator if the course and offering registration, self-study materials is incomplete or does not meet the CEB requirements.
3. Create a course registration confirmation that includes the course validity dates (the timeframe that the course can be offered for ASHA CEUs). The ASHA CE administrator should review the information in the course registration confirmation letter and report errors and corrections immediately to the ASHA CE Registry.

Immediately prior to offering the course, the ASHA CE Administrator should request instructional personnel to update their disclosure information. They should review this information to determine if any new relevant financial and nonfinancial relationships have developed since initial disclosure. If new relationships have developed, the ASHA CE Administrator should determine if

- relevant financial or nonfinancial relationships may be resolved through disclosure,
- relevant financial or nonfinancial relationships disqualify the individual from participation in course planning and/or delivery (see [Required Practice 3.2](#)),
- instructional personnel disclosure statements need to be updated.

### **After the Self-Study Course**

The ASHA CE administrator should:

1. Receive participants' learner assessment and program evaluation materials within the pre-established deadlines.
2. Ensure that the learning assessment is completed and meets the requirements for satisfactory completion of the self-study.
3. Ensure that the program evaluation is completed.
4. Collect participant information from those individuals who satisfactorily meet completion requirements to qualify to earn ASHA CEUs and who wish to document their participation with ASHA CEUs.
5. Reporting is required even if no participants earned ASHA CEUs during the reporting period.
6. Maintain copies of participants' names, assessment scores, ASHA CEU credit, and other identifying information for a period of 2 years in an accessible place. In the event the reporting is lost, the Provider must reconstruct it.
7. Submit reporting to the ASHA CE Registry so it is received no more than 45 days after the completion date of the course offering. Web service (system to system) providers will need to submit each record within 45-days of the actual individual's completion date. Even if no participants earned ASHA CEUs, reporting must be received no more than 45 days after the course's completion date.

Upon receipt of the reporting, the ASHA CE Registry will:

1. Review the reporting and contact the ASHA CE administrator if additional information is needed.
2. Process the course and enter ASHA CEUs on the participants' ASHA CE Registry transcripts.
3. Bill participants who have not paid the annual ASHA CE Registry fee. To earn ASHA CEUs and have the ASHA CEUs and course information entered and retained permanently on the ASHA CE Registry, the participant must be eligible to

earn ASHA CEUs and have paid the annual ASHA CE Registry fee for the year in which the course was completed. The ASHA CE Registry will bill the participant for the fee and hold the ASHA CEU credit until the fee is paid. The Provider is not responsible for collecting ASHA CE Registry fees. The participant should contact ASHA CE staff for ASHA CE Registry annual fee subscription information.

#### 4. Create a course roster.

After the course roster is generated, the ASHA CE administrator should:

1. Review the course roster. It includes the names, ASHA account numbers, ASHA CEU date and ASHA CEU credit for, participants who earned ASHA CEUs for the course. This part of the document should be checked immediately against the Provider's records.
2. Submit changes if a) the ASHA CE Registry made an error in the amount of credit a participant should have received or (b) the ASHA CE Registry omitted the name and credit of a participant for whom the Provider reported. It is incumbent upon the ASHA CE administrator to verify the accuracy of the course roster and to notify the ASHA CE Registry immediately of any corrections.

### **Using Pilot Studies and Word Counts to Calculate ASHA CEUs**

When submitting courses for which the method of educational delivery does not lend itself to easy translation of 1.0 CEU for 10 contact hours, ASHA CE offers alternate methods for calculating ASHA CEUs for example conducting a pilot study and/or using a standardized word count formula.

Providers that conduct a pilot study of the course need a minimum of 10 participants who are representative of the course's target audience. Once the pilot study is completed, the Provider is expected to review the pilot study data carefully. The Provider then submits the pilot study data using the Pilot Study Report form along with the Course and offering registration and all required attachments. (See "Using Pilot Studies and Word Counts to Calculate ASHA CEUs" and "Instructions for Completing the Pilot Study Report.")

ASHA CE reserves the right to evaluate the appropriateness of the course for ASHA CEUs and to determine the actual number of ASHA CEUs offered.

### **Conducting Courses with Alternative Educational Delivery Mechanisms**

Providers use an array of mechanisms for delivering continuing education courses. The CEB has established requirements and procedures to assist Providers using alternative educational delivery mechanisms in maintaining the standards upon which the ASHA CEU is based.

The requirements that follow apply to courses (e.g., manuals, journals, field experience, assigned work outside of the classroom, etc.) where the delivery method is different from typical face-to-face or online webinar formats. Providers must adhere

to the 12 CEB Requirements (see “Requirements for ASHA CE Provider Approval” in section 2) when planning, promoting, implementing, evaluating, and reporting on courses with alternative educational delivery mechanisms.

### **Procedures for Planning CE Courses with Alternative Educational Delivery Mechanisms**

In addition to the “General Procedures for Planning and Reporting Provider -Planned CE Courses,” the ASHA CE administrator should use the following administrative procedures to plan, promote, conduct, and report on courses with alternative educational delivery mechanisms for ASHA CEUs.

#### ***Prior to registering the course for ASHA CEUs:***

1. For written materials only, determine if the 100 words-per-minute formula will be used or if pilot study data is needed to calculate ASHA CEUs.
2. If needed, conduct a pilot study with at least 10 participants who are drawn from the product/course’s intended target audience. Be sure to:
  - a. Explain the purpose of the pilot (i.e., to establish the typical amount of time it takes a learner to complete the course) to each participant.
  - b. Provide each pilot participant with the complete CE product (be sure to include learner assessment and program evaluation) and a tool to record their time.
  - c. Establish a date by which the pilot participants should complete the CE product and submit their time log.
  - d. Have the pilot study participants track, in minutes, the time required to complete each element of the product/course where an alternative educational delivery mechanism is employed (e.g., reading, case study, field experience, asynchronous discussion, research, assessment of learning, program evaluation, etc.). (See “Sample Participant Time Log” found on Provider only web site.)
3. Complete the Pilot Study Report form (found on Provider CE web site). In this report, the Provider explains the pilot study’s methodology, provides raw data, and explains the study’s analysis and ASHA CEU calculation. (See “Instructions for Completing the Pilot Study Report.”)
4. For written materials only - Establish a formula for periodical CE products (e.g., journals, newsletters) based on word count, learner assessment and course evaluation completion times from the initial pilot study. (See “Table II: Periodical Enduring Materials Formula.”)
5. Apply the formula to subsequent issues of the periodical (assuming no substantive changes in delivery, format, or content of the product). The rationale for ASHA CEUs offered must be provided when registering any subsequent issue of the periodical. (See “Instructions for Completing the Pilot Study Report/Table III: Future Journal/Newsletter ASHA CEU Calculation.”)

#### **Registering the course for ASHA CEUs:**

1. Submit the Pilot Study Report along with the course and offering registration and required attachments no less than 15 days prior to the start date of the earliest course offering.
2. Conduct a new pilot study if there are any substantive changes to the delivery, format, or content of the CE product/course.

## **Other Requirements Related to Planning and Conducting CE Courses**

### **Requirements for Writing Course Descriptions**

The course description should include the key learning outcomes or key elements of the course. The description is limited to 400 total characters, including letters, numbers, spaces, and punctuation marks. Course descriptions are used by licensing agencies and employers to determine if courses meet certain requirements for license renewal or employee advancement.

It is very important that course descriptions be clear, concise, and professional-sounding, and that they describe what the participant learned in the course. It is helpful to refer to the learning outcomes established for the course when constructing a course description.

### **Sample Course Title and Description**

"Discourse Abilities of Students with Learning Disabilities"

Seminar focused on evaluation of conversational and narrative discourse abilities of school-age children with learning disabilities. Figurative language, learning performance, and the clinical effects of discourse problems were discussed.

### **Person-First Language**

ASHA adheres to the style guide of the American Psychological Association (APA) in using person-first or identity-first language to describe attributes and diagnoses of individuals or groups of people. When there is a preference, ASHA honors that preference. For more information, see APA's [style guidelines on bias-free language](#).

In addition, Providers should be sensitive to the use of the words disability and handicap and use them correctly. People have disabilities, not handicaps. Handicaps are social or environmental obstacles imposed by society on those with disabilities. The words disability, disorder, and impairment can be synonymous. Disability does not equal inability or handicap.

### **Requirements for Instructional Personnel Disclosure**

The Continuing Education Board requires its Providers to have a written process in place to 1) identify relevant conflicts of interest, 2) determine if the existence of those conflicts of interest disqualifies an individual from being involved in the course planning and delivery, and 3) disclose conflicts of interest to learners. Instructional personnel disclosure information must be made available to the participants prior to the course through promotional materials and before the course conveyed through



written handout and/or announcement by the instructor, ASHA CE administrator, or person introducing the instructor.

The following information must be disclosed to learners:

1. The name of the instructional personnel.
2. Relevant financial relationship(s): Listing the name of the organization and the type of financial relationship; or
3. Relevant nonfinancial relationship(s): Listing the name of the organization and the type of nonfinancial relationship; or
4. A statement that no relevant financial or nonfinancial relationships exist.

### **Sample Instructional Personnel Disclosure Statements**

*Disclosing in promotional materials*

#### **Examples of a disclosure statement for a single presenter**

Dr. Wadelmann, Cognitive Rehabilitation After Traumatic Brain Injury, employed by University of Malibu Health Science Center

#### **Disclosure:**

*Financial* — Author for ABC SLP Publishers and receives royalty payments.

*Nonfinancial* — Board of directors: Association for Traumatic Brain Injury Specialist. Receives no compensation as member of board of directors.

#### **Example of no relevant financial relationship(s) or nonfinancial relationship(s) statement**

Evan Batten, Cognitive Rehabilitation After Traumatic Brain Injury

#### **Disclosure:**

Mr. Batten has no relevant financial or nonfinancial relationships to disclose.

#### **Disclosing relationship(s) at the start of a course**

##### **Relevant financial relationship(s)**

Spoken announcement (could be accompanied by slide)

Good morning, my name is Dr. Wadelmann, and I am here to discuss cognitive rehabilitation after traumatic brain injury. I am the author of the text “Management of Closed Head Injury” and of the Assessment of Language Skills in Head-Injured Patients test published by ABC SLP Publishers. Many of the concepts I’m presenting today are from my book and test. I do benefit financially from royalty payments from the sale of these products. I also serve on the Board of Directors of the Association for Traumatic Brain Injury Specialists.

Written announcement (in handouts or course materials)

Dr. Wadelmann, Cognitive Rehabilitation After Traumatic Brain Injury, employed by University of Malibu Health Science Center

**Disclosure:**

*Financial* — Author for ABC SLP Publishers and receives royalty payments.

*Nonfinancial* — Board of directors: Association for Traumatic Brain Injury Specialist. Receives no compensation as member of board of directors.

**Relevant nonfinancial relationship(s)**

Spoken announcement (could be accompanied by slide)

Hello, I'm Ken Johanson. My presentation compares augmentative communication devices currently on the market. I sit on the board of directors of Talking Boxes Company. Talking Boxes manufactures and sells one of the devices I'll be talking about today. I don't receive any financial compensation for my role on the board.

Written announcement (in handouts or course materials)

Mr. Ken Johanson; "Comparison of Augmentative Communication Devices."  
Employed by Speech and Hearing Clinic of Greater Baltimore.

**Disclosure:**

*Nonfinancial* - Board of directors: Talking Boxes Company. Receives no compensation as member of board of directors

**No relevant relationship(s) to disclose**

Spoken announcement (could be accompanied by slide)

My name is James Booker and I'm speaking on social media and Continuing Education. I work for Hearing Health Education. I have no relevant financial or nonfinancial relationships to disclose.

Written announcement (in handouts or course materials)

James Booker; "Social Media and Continuing Education."  
Employed by Hearing Health Education.

**Disclosures:** No relevant financial or nonfinancial relationships to disclose.

**Requirements for Financial and In-Kind Support Disclosure**

The Continuing Education Board requires its Providers to disclose if any financial or in-kind support is used to pay for all or part of the costs of the CE course. The names of other organizations contributing financial or in-kind support must be disclosed to learners prior to the beginning of the CE course.

*Sponsorship* is when an entity/organization provides financial and/or in-kind support for an ASHA CE course/offering(s) but is not involved in the planning, delivery, or evaluation of the course. The organization providing sponsorship has no influence

over the content of the course.

### **Promotional wording for sponsorship**

To clarify that another organization is a sponsor of a course/offering(s) or is providing sponsorship in the form of financial or in-kind support, here are some recommended options for the wording of promotional materials:

- Sponsored by . . .
- Financial support for this course provided by . . .
- Facilities and refreshments provided by . . .
- Equipment/materials for use in this course provided at no cost by . . .
- Equipment/materials for use in this course donated at no cost by . . .

### **Course Content Disclaimer**

All ASHA Approved CE Providers should include the following language on their website, promotional materials, and/or other communications so it is visible and clearly conveyed to those who participate in your courses:

***ASHA CE Provider Approval and use of the Brand Block does not imply endorsement of course content, specific products, or clinical procedures.***

This text serves to protect the Provider and ASHA. ASHA Approved CE Providers represent divergent philosophies and procedures. In professions as diverse as speech-language pathology and audiology, it is the responsibility of each professional to stay informed, to reflect on information and experiences presented in CE offerings, and to make educated judgments about information presented using their professional training, experience, critical thinking, and informed opinion. Professionals must be responsible for making informed decisions about the philosophical and procedural paths best suited for their professional practice. It has been, and continues to be, the policy of the ASHA Continuing Education Board to approve CE Providers, not course content, products, or procedures. In fairness to participants, this statement serves to apprise them of this policy.

### **Requirements for Use of ASHA Approved CE Provider Brand Block and Course Information**

The primary promotional materials for courses offered for ASHA CEUs are required to include the ASHA Approved CE Provider Brand Block and course information (ASHA CEU amount and instructional level). The Brand Block is customized to include the name of the Provider and the ASHA Continuing Education graphic image. To ensure truth in advertising and to protect participants and Providers, it is vital that all

Providers use their customized Brand Block and the required course information. Use of the customized Brand Block and required course information assures participants that the course is offered by an ASHA Approved CE Provider and that ASHA CEUs will be awarded. ASHA CE also recommends, but does not require, that Providers include the learning outcomes and an informational paragraph about ASHA CE Registry fees in their promotional materials.

### **Customized Brand Block and Required Course Information**

The ASHA CE administrator must use the Brand Block in the primary promotional materials. No changes or additions can be made to the Brand Block. For promotional materials advertising one course, the required course information (ASHA CEU amount and instructional level) should appear in the corresponding fields within the Brand Block, if possible. If the Provider publishes promotional material that advertises more than one course, or if the primary promotional information is housed on the Provider's web site, a Brand Block that does not include the course information may be used, and the course information (ASHA CEU amount and instructional level) may instead be placed under or next to the course title or course description. In this case, the course information must use the same format as would appear in the Brand Block:

#### **Introductory<sup>1</sup> Level**

#### **1.05<sup>2</sup> ASHA CEUs**

##### **Key**

1. Instructional level (e.g., Introductory, Intermediate, Advanced, or Various).
2. Maximum number of ASHA CEUs available for the course as determined by the time-ordered agenda.



### **Rationale for the Brand Block and Required Course Information**

The Brand Block signifies that the organization is an ASHA Approved CE Provider, demonstrating that the organization has met the stringent ASHA CE criteria to gain ASHA Approved CE Provider status.

The course information (typically contained within the Brand Block) must include the maximum number of ASHA CEUs available for the course and the instructional level (Advanced, Intermediate, Introductory, or Various) of the course.

This information is vitally important to participants who are seeking continuing education offerings that meet their specific learning needs and that meet requirements to renew state licensure, renew teacher certificates, or qualify for ASHA's Award for Continuing Education (ACE). By disclosing this information, the Provider informs participants in advance of the prerequisite skills and knowledge needed to participate in this course.

### **Acceptable Variations to the Brand Block and Course Information and Conditions for Their Use**

The number of ASHA CEUs offered, and the instructional level should be indicated in the corresponding fields within the Brand Block. There are exceptions, such as when promotional materials advertise multiple courses. In this case, the version of the Brand Block that includes the Provider name without course information may be included in the promotional material. The course information (ASHA CEU amount and instructional level) should then be included under the corresponding Course Description/s or Course Title/s (e.g., “1.0 **ASHA CEUs, Intermediate level**”). The Provider should also indicate if a course is available for partial credit in the promotional material, along with the requirements for satisfactory completion necessary for the participant to earn ASHA CEUs for the course.

### **Appropriate Use of the ASHA Approved CE Provider Brand Block**

The ASHA Approved CE Provider Brand Block is a hallmark that is owned and licensed by ASHA for use by ASHA Approved CE Providers. The Brand Block should be used in conjunction with the course information (ASHA CEU amount and instructional level) to identify a course as being offered by an ASHA Approved CE Provider for ASHA CEUs. It is acceptable for an Approved Provider to use the Brand Block on its website and other advertisements for the purpose of promoting the courses offered for ASHA CEUs.

It is inappropriate, however, for the Brand Block to be used in the following cases:

- In conjunction with the promotion of courses that are not being offered for ASHA CEUs.
- On Provider-issued certificates of attendance.

The reason for these stipulations is to prevent misinterpretation by learners who (a) may think that a particular course is being offered for ASHA CEUs when in fact, it is not, or (b) may think that the certificate of attendance you issue documents that they earned ASHA CEUs, when, in fact, only the ASHA CE Registry has the authority to award ASHA CEUs.

The Brand Block image should not be altered (e.g., cropped, distorted, or supplemented with additional text). The Provider can use either one of the black and white versions or one of the color versions delivered by ASHA CE. No other color can

be used.

### **Recommended Additional Information for Promotional Materials**

ASHA Approved CE Providers are encouraged to include the learning outcomes of the course written in learner-focused, measurable, and observable (when applicable) terms and information about the ASHA CE Registry fee on all promotional materials.

#### ***Sample Learning Outcome Statements***

At the completion of this course, you should be able to:

- evaluate complaints, with the appropriate history and diagnostic examination, of patients with suspected vocal cord pathologies,
- use a video stroboscope and other voice evaluation instruments, and
- communicate with professional colleagues regarding problems related to the client with vocal cord pathology.

#### ***Attendance Requirements***

Include a statement regarding the course's satisfactory completion requirements and attendance requirements. The sample wording that follows explains that participants must attend the entire course in order to be recommended for ASHA CEUs.

For a group learning experience:

**"Program completion requirements:** Participants are expected to be present for the entire program. Individuals who are not present for the full program will not be recommended for ASHA CEUs. No partial credit will be provided."

For a blended learning experience:

**"Program completion requirements:** Participants in this program must meet the time requirements for module completion and webinar participation. Individuals who do not meet both time requirements will not be recommended for ASHA CEUs. No partial credit will be provided."

#### ***Informational Paragraph About the ASHA CE Registry Fee***

An annual ASHA CE Registry fee is required to earn ASHA CEUs. Individuals must meet one of the following criteria to earn ASHA CEUs:

- ASHA Member (includes Life member and international affiliates)
- ASHA Certificate of Clinical Competence (CCC) Holder
- Licensed by a state or provincial regulatory agency to practice speech -language pathology (SLP) or audiology
- Credentialed by a state regulatory agency to practice SLP or audiology

- Credentialed by a national regulatory agency to practice SLP or audiology
- A Clinical Fellow supervised by someone who holds the ASHA CCC
- Currently enrolled in a masters or doctoral program in SLP or audiology

The participant pays ASHA CE Registry fees directly to the ASHA National Office. The annual ASHA CE Registry fee allows registration of an unlimited number of ASHA CEUs for the calendar year. Contact the ASHA staff at 800-498-2071 for CE Registry fee subscription and CE Registry eligibility information.

## **Instructions for Completing ASHA CE Registry Information**

### **Course and offering registration**

Deadlines: The course and offering registration must be complete, compliant, and received by ASHA CE no fewer than:

- Group (i.e., live) or blended learning experience: a minimum of 15 calendar days prior to the start date of the earliest offering.
- Individual learning experience (i.e., self-study): a minimum of 15 calendar days prior to the start date of the earliest offering.
- Cooperative course and offering: a minimum of 30 calendar days prior to the start date of the earliest offering. Cooperative offering fee(s) must be paid at the time of submission.
  - Guidance on completing a course and offering registration may be found at [www.asha.org](http://www.asha.org)

### **Submitting Additional Offerings**

The Manage Offerings section (Accessed through the course's specific Course Overview in the Registration and Cancellation Section) is where the Provider documents the course elements that may change from offering to offering (i.e., starting date, completion date, city/state of the offering, and whether the offering is a cooperative CE offering). If other elements of the course are different (e.g., ASHA CEUs, learning outcomes), a new Course Registration is required. Courses with multiple offerings must be re-registered at the end of their validity period every five (5) years.

### ***Instructions for Submitting Additional Offerings***

Deadlines: ASHA CE must receive additional offerings and cooperative fees (if applicable) no fewer than 3 days before each of the additional offerings' starting dates.

1. For each offering, you will need to provide the following information:
  1. The start and end date of the offering
  2. The location of the offering (either Online/Distance Learning or City, State/Province, and Country)



3. Whether the offering should be listed on ASHA CEFind
4. Whether or not the offering is a Joint Providership/Cooperative offering (See CEB Manual, Section 3)
  1. If Joint Providership, the partner organization's ASHA Approved Provider ID
  2. If Cooperative offering, the organization's name, address, and primary point of contact's name, email address, and phone number
2. Once entered, each offering will automatically be assigned a 3-digit code to go with the Course ID (e.g. #####-001)

## **Pilot Study Report Form**

Providers must submit a Pilot Study Report Form (found on the Provider CE website [www.asha.org](http://www.asha.org)) when registering group (live) or self-study courses that use a delivery mechanism that does not easily equate 10 hours of contact to 1.0 ASHA CEUs (e.g., manuals, journals, web-based courses, field experience, assigned work outside of the classroom, etc.).

In the Pilot Study Report, the Provider lists the course's alternate educational delivery components that were piloted and provides data and analysis to justify the number of ASHA CEUs for the course. Pilot study data must reflect the product you intend to register in the future. If there are significant changes in the product's delivery, format, or content, the Provider must submit new pilot study data or evidence as to how/why the existing pilot data remains a true measure of the time required to complete the product.

### **Instructions for Completing the Pilot Study Report Form**

Date of report-Fill in the date the Pilot Study Report Form was completed.

Provider code-Enter the four-letter Provider code (assigned by ASHA) in the boxes provided.

Course number-Write in the course number used for the Course and offering registration in the four boxes provided.

Title of course-Provide title of course. There is a limit of 80 characters, including letters, numbers, spaces, and punctuation marks.

#### **A. Methodology**

1. Start/End date of pilot: Indicate the date the pilot began and the date the pilot ended. The pilot study must be conducted in the 12 months prior to registration of the product.
2. Number of pilot testers: Indicate the number of pilot testers. The Provider must have a minimum of 10 individuals (drawn from the product's intended target audience) participate in the pilot study.
3. Course components piloted: Indicate each component that the participants piloted.

## **B. Course/Product description**

Periodical: Describe the periodical by checking the appropriate boxes for page size, number of columns, and provide word count.

*All other courses: Check off the applicable component(s) of the course.*

## **C. Data /Analysis/ASHA CEU calculation**

Table I

*If you are using the electronic form and have Excel software, double click on the Excel grid to enter your pilot study data. Otherwise provide data, analysis and ASHA CEU calculation in a similar format.*

### **Data**

1. Provide each pilot tester's name.
2. For each pilot tester, enter the number of minutes spent completing each component (i.e., reading time, discussion board, etc.) piloted.
3. Total the minutes for each pilot tester.

### **Analysis**

Calculate the mean, median and mode in minutes for product. Mean, median and mode are requested to ensure the appropriate measure of central tendency is used to calculate the ASHA CEUs. If using the electronic form, just enter your data into the Excel spreadsheet and the mean, median, mode and ASHA CEU amount will be calculated for you.

*Mean* is the summary statistic obtained by adding up all the data values and then dividing by the number of participants. Mean is the preferred measure of central tendency when your data is symmetrical.

*Median* is the summary statistic obtained by finding the middle value of your data set. Median is the preferred measure of central tendency when your data contains outliers. Outliers affect the distribution because they are extreme scores.

*Mode* is the summary statistic obtained by finding the most frequent value.

### **ASHA CEU calculation**

- Determine whether you will use the mean (data is symmetrical) or median (data contains outliers) to reflect the true average product completion time.
- Take either the mean or median for the product and divide that number by 60.
- To convert number of hours to ASHA CEUs, divide the number of hours by 10.

- Round down: Round the number calculated down to the nearest hour or half - hour.

Table II: Periodical Enduring Materials Formula

For written materials, the Provider may use a 100 words-per-minute formula or initial pilot study results to establish a formula that is used to determine the number of ASHA CEUs for subsequent material with similar instructional level and content. The steps below describe how to establish a formula using pilot study data.

**Establish formula:**

- Words per minute: Calculate the mean or median words read per minute based upon pilot study data.
- Learner assessment questions per minute: Calculate (if applicable) the mean or median number of minutes per learning assessment question based upon pilot study data.
- Course evaluation questions per minute: Calculate the mean or median number of minutes per course evaluation question based upon pilot study.

**D. Confirmation and Signature**

In this section, the ASHA CE administrator verifies that all information submitted on the Pilot Study Report is correct and complete. The ASHA CE administrator must sign and date the Pilot Study Report.

Table III: Future Journal/Newsletter ASHA CEU calculation

If you register subsequent issues of the periodical, use this procedure to calculate ASHA CEUs for that issue. Be sure to provide your calculations when registering the periodical:

- Calculate the number of minutes needed to read the subsequent issue by dividing the number of words in the current issue of the periodical by the previously calculated words per minute average.
- Calculate the number of minutes needed to complete the learning assessment by dividing the number of multiple-choice questions in the current learning assessment by the previously calculated learner assessment questions per minute average.
- Calculate the number of minutes needed to complete the course evaluation by dividing the number of questions in the current course evaluation by the previously calculated course evaluation questions per minute average.
- Add the total minutes reading time, the total minutes learning assessment time and total minutes for course evaluation time to arrive at the total number of minutes required to complete the product.
- Divide the total number of minutes needed to complete the product by 60 to get the proposed number of hours to complete the product.

- Finally, divide the proposed number of hours needed to complete the product by 10 to calculate the proposed ASHA CEUs for this product. Round number down to the nearest hour or half-hour.

*Example of How to Complete Table III--Calculating ASHA CEUs for Journals/Newsletters*

**Step 1 – Periodical Enduring Materials Formula.** Based on your pilot study report, your course registration form will include the following information:

- Words per minute average
- Learner assessment questions per minute average
- Course evaluation questions per minute average

This information is used to calculate the ASHA CEUs for subsequent issues of that newsletter or journal. An example of how to use this information to calculate the ASHA CEUs for the next issue of that newsletter or journal follows. If using the standard 100 words-per-minute formula:

If your pilot study data reflected:

Words per minute average = 153.60 words per minute

Questions per minute average = 1.38 questions per minute

Course evaluation questions per minute average = 2.50 questions per minute

**Step 2– Calculate ASHA CEUs.** If, for example, your next issue contains 16,750 words, 25 learner assessment questions, and 15 course evaluation questions -your calculations would look like this:

A. Number of words in journal/newsletter	A= 16,750 words
B. Divide the number of words in journal/newsletter “A” by established words per minute average	16750/153.6 B=109 minutes
C. Number of questions in learning assessment	C= 25 questions
D. Divide the number of questions in learning assessment “C” by established questions per minute average	25/1.38 D= 18.1 minutes
E. Number of course evaluation questions	E= 15 questions

F. Divide the number of course evaluation questions in “E” by established course evaluation questions per minute average	F= 2.8 minutes
G. Add the number of minutes calculated in step “B” to the number of minutes calculated in step “D” and to “F”	109 + 18.1 + 2.8 G= 129.9 minutes
H. Divide the number calculated in step “G” by 60 to arrive at average number of hours to complete the course	129.9/60 H= 2.16 hours
I. Divide the average number of hours calculated in “H” by 10	I= .216
J. Round number calculated in “I” down to the nearest hour or half-hour	J=.20 ASHA CEUs

Total number of ASHA CEUs (J) = 0.2. Example indicates 0.20 ASHA CEUs for the issue.

**Step 3– Provide calculations when registering the new course.**

**Section 5: Independent Study**

Overview

**ASHA Approved CE Providers Qualified to Offer Independent Study**

When an organization applies for initial ASHA Continuing Education (CE) Provider approval, there is an option to apply, in the same application, to be an ASHA Approved Independent Study Provider.

**Purpose of Independent Study**

All adults learn differently, and not every adult learns best in a group. Often adults prefer self-designed, individual learning courses over provider-planned courses. Designed to meet the needs of professionals who choose alternatives to group instructional courses, independent study is a self-designed educational experience for the enhancement of one's skills and knowledge in a specific area that is relevant to the field of communication disorders.

An independent study plan is proposed by the learner and reviewed, monitored, and approved by the ASHA Approved Independent Study Provider. Independent study can be inexpensive, can offer a flexible time schedule, and need not require travel. Most important, independent study provides the learner with an opportunity to design individualized learning courses to meet specific learning needs. Learners who want to register independent study courses for ASHA Continuing Education Units (CEUs) must have the independent study plan monitored and approved by an ASHA Approved Independent Study Provider.

Learners developing independent study plans must base their learning on an identified need, develop individualized learning outcomes, have a system to assess learning outcomes, and have a mechanism to determine satisfactory completion of the course. Development of independent study courses is based on the same principles of sound program planning that ASHA Approved CE Providers use to plan group learning courses. Independent study courses are limited to two (2.0) ASHA CEUs per independent study plan. There is no limit, however, to the number of independent study plans one can file with the ASHA CE Registry.

### **Types of Independent Study Courses**

Examples of independent study courses include, but are not limited to, the following:

- Traditional independent study. Develop a plan for independent study under the direction of an ASHA Approved Independent Study Provider. Traditional independent study usually involves a variety of activities, all contributing to achieving the desired learning outcomes. For example, if the outcome is to learn a new assessment procedure, the traditional independent study might involve a combination of reading journal articles, observing a master clinician conduct assessment, reviewing the assessment procedures in case files, and participating in an internship to receive hands-on experience conducting the assessment. These experiences might culminate with the learner's writing a critical review of the experience, including how he or she will incorporate newly acquired skills and knowledge into practice.
- Continuing education courses offered by an organization that is not an ASHA Approved CE Provider. Attend a course offered by another professional association, agency, or institution that is not an ASHA Approved CE Provider. Write a critical review of the experience including ways in which newly acquired skills and knowledge will be incorporated into practice.
- Course design and instruction. Develop and present information (speech, paper, workshop, short course, teleconference) of clinical significance to a group of peers, allied professionals, and/or laypersons.
- Research and publication. Design, implement, and report a study relevant to human communication and disorders.
- Audio and/or video recording instruction. Independently review recordings (podcasts, webinars, etc.) and write a critical review, including ways in which

the newly acquired skills and knowledge will be incorporated into practice. Some ASHA Approved CE Providers offer audio and video recorded instruction packages (self-studies) for ASHA CEUs (see Section 3 for information on distinguishing self-studies from independent studies). However, other commercial materials pertinent to the professions are available but are not offered by an ASHA Approved CE Provider as a pre-packaged self-study. In those situations, the learner can use the materials and develop an independent study plan around their use and successful completion.

- Clinical case studies/record review. Select individuals from clinical service files and analyze and critique the assessment, recommendations, intervention plan, counseling, and follow-up procedures with a final report to be reviewed by the ASHA Approved CE Provider and/or a group of peers. The report could include documentation and/or justification from the literature.
- Literature review. Review literature on a specified topic and submit a written summary. The summary could include critical comments and a plan for incorporating acquired information into the learner's clinical practice.
- Professional visitation. Identify experts or master clinicians and arrange to visit and observe them in their clinical setting. Following the visit, the learner can develop a written report summarizing the experience and describing how the information will have an impact on delivery of clinical services in the work setting.
- Internship. Spend a period of time working with colleagues who have special skills that would benefit the learner in his/her employment setting.
- Other. Devise and implement an independent study plan which does not fit any of the above categories.

### **Courses Unsuitable for Independent Study**

Independent study may not be used in the following situations:

1. Provider-initiated courses. Independent study cannot be used to offer participants ASHA CEUs for a group course offered by an ASHA Approved CE Provider. Group learning courses planned by the Provider must be offered for ASHA CEUs using the procedures described in Section 4. If a Provider fails to file a Course and offering registration for a Provider-initiated course within the 15-day/30-day pre-course filing deadline, independent study cannot be used as a substitute to offer ASHA CEUs to participants in the course.
2. Cooperative CE offerings. ASHA Approved CE Providers should not offer independent study services for courses that should have been conducted as cooperative CE offerings or as Provider-initiated courses. Independent study should not be used to offer ASHA CEUs to groups of participants in courses. Organizations that are not ASHA Approved CE Providers but want to offer ASHA CEUs to participants in their continuing education courses should (a) seek a Provider with whom to conduct a cooperative CE offering or (b) apply to be an



ASHA Approved CE Provider.

3. Courses initiated by the ASHA CE administrator through his or her ASHA Approved CE Provider. An ASHA CE administrator cannot supervise, approve, or sign his/her own independent study plan. Because the ASHA CE administrator of the ASHA Approved CE Provider has oversight and is responsible for planning, monitoring, and approving independent studies, it would represent a conflict of interest for the ASHA CE administrator to both offer and earn ASHA CEUs for his/her independent study. ASHA CE administrators may participate in independent study, but they must do so through another ASHA Approved CE Provider. That Provider's ASHA CE administrator should monitor, approve, sign, and file the independent study plan with ASHA CE and indicate the number of ASHA CEUs to be awarded.
4. By groups. It is inappropriate to use independent study to offer ASHA CEUs for a group of learners. Independent study is intended to be initiated by an individual for the purpose of addressing that individual's specific learning needs. Each independent study plan must be customized to the individual, and the learning outcomes must be specific to that participant. A Provider or group of participants cannot create one independent study plan and duplicate it for group use. Even if several participants engage in similar independent study endeavors, each participant must have a separate original plan with learning outcomes specific to what that participant will be able to demonstrate as a result of the experience. ASHA CE will reject plans that appear to be created for groups of learners or that are duplicates. Group courses should be filed as a cooperative CE offering or as a Provider-initiated course.
5. For other courses not appropriate for ASHA CEUs. The independent study course must relate to the science or practice of speech-language pathology and/or audiology. Refer to "Course Components Not Included When Calculating ASHA CEUs" and "Activities for Which ASHA CEUs are Not Intended" in Section 3.

### **Requirements for Providers of Independent Study Courses**

The 12 Requirements for initial and ongoing ASHA CE Provider approval are applicable to Providers who offer independent study courses. Refer to Section 2: ASHA CE Provider Approval for those requirements. Providers who offer independent study courses must adhere to the Required Practices in Section 2, as well as to the additional Requirements and Required Practices described in this section.

All Guidelines and Required Practices for each of the 12 Continuing Education Board Requirements are not restated in this section. Only those Required Practices that are specific to independent study courses are described.

#### **Requirement 1: Organization**

*The Provider (organization) must have an identifiable continuing education group or unit with assigned responsibility for administering continuing education courses,*

*including independent study courses.*

### **Required Practices**

1.1 The Provider has sufficient fiscal, human, and physical resources to support the continuing education group/unit and the independent study program, as well as its continued improvement.

1.2 The Provider has established written policies concerning the criteria for any fees charged to monitor and approve an independent study.

1.3 The Provider has established written policies concerning the criteria for (a) the refund of fees in the event the Provider decides not to monitor and/or approve the independent study, (b) refund of fees in the event the participant decides not to complete the independent study, and (c) the resolution of complaints from individuals not satisfied with the Provider's independent study services.

### **Requirement 2: Responsibility and Control (Administration)**

*The Provider (organization), through its continuing education group/unit, ensures that the Continuing Education Board (CEB) requirements and procedures are followed.*

### **Required Practices**

2.1 Internal policies clearly indicate that there is a review process, with oversight by the ASHA CE administrator, that ensures adherence to the CEB requirements pertaining to independent study.

2.2 The review process of all independent study courses is conducted by the ASHACE administrator.

2.3 The Provider may designate an individual instructor/supervisor for the independent study course; however, the Provider retains the ultimate responsibility for administration, quality, and approval of the course. The ASHA CE administrator must sign all independent study plans before they are submitted to ASHA CE.

### **Requirement 4: System for Offering and Verifying Continuing Education Units**

*The Provider has an established procedure to identify participants who meet requirements for satisfactory completion of the independent study course and who are qualified to earn ASHA Continuing Education Units (CEUs). There is also a system for maintaining permanent participant records for a period of at least 2 years.*

### **Required Practices**

4.1 The independent study course should be planned with the Provider and the participant before beginning the independent study course. If a plan is not filed in advance, it is the participant's responsibility to give the Provider adequate documentation demonstrating that a valid educational experience is under way.

Providers may refuse to monitor or approve plans that are not planned and approved by

the Provider before beginning the course.

4.2 The CEB does not award ASHA CEUs retroactively for independent study completed without Provider pre-approval of the plan. For example, if a participant attends a workshop offered by an organization that is not an ASHA Approved CE Provider and decides to use that experience as part of an independent study, the participant should contact the Provider and develop an independent study plan before attending the workshop. On occasion, usually because of time restraints, a participant may attend a workshop before contacting a Provider. At the completion of the workshop, the participant should meet with the Provider as soon as possible to discuss the independent study plan. Attending the workshop is only one part of the independent study course. The participant and Provider must decide the additional components of the independent study learning experience (e.g., writing a critical review of the workshop, presenting new skills to colleagues at an in-service meeting). The participant cannot complete the entire learning experience (attend a workshop, write a critique, present the information to peers) and then decide to contact a Provider to earn ASHA CEUs. This is considered retroactive awarding of ASHA CEUs. The participant has completed the entire learning experience (independent study) without the pre-approval of the Provider.

4.3 The Provider and participant will determine, before beginning the independent study course, the number of ASHA Continuing Education Units (CEUs) assigned to the plan. Independent Study is limited to 2.00 ASHA CEUs (20 hours) per plan. If the plan will exceed 20 hours, the participant can develop another plan to record the additional hours if new learning is obtained.

4.4 In independent study in which there is no easy translation of one ASHA CEU for 10 contact hours, the method of assigning ASHA CEUs must be agreed upon before beginning the course and should be described in the independent study plan. The participant and Provider must justify the method of determining the number of ASHA CEUs for the independent study course. The CEB reserves the right to evaluate and determine the appropriateness of the number of ASHA CEUs offered.

4.5 The Provider and participant have a systematic process for determining and verifying satisfactory completion of the independent study course.

4.6 The participant and Provider should agree on an ending date for the course/plan. Independent study plans may not extend beyond 12 consecutive months in one calendar year.

4.7 A copy of the independent study plan is retained by the Provider until the learner has completed the plan. The Provider does not submit the independent study plan to the CEB until the independent study is completed.

4.8 The Provider will verify the completion of the independent study course and submit the plan so that it is received by the CEB no more than 45 days after the ending date of the independent study plan.

4.9 The Provider has a permanent record-keeping system for retaining a copy of participants' names, ASHA CEU credits, and independent study plans for a minimum

of 7 years after the completion date of the independent study plan.

#### **Requirement 5: Needs Identification**

*The independent study course is planned in response to the identified needs of the individual.*

#### **Required Practices**

5.1 The independent study course and its content must originate from identified needs of the individual participant.

5.2 In planning the independent study course, the Provider and participant first should identify the participant's current skills and knowledge and then determine the skills and knowledge to be attained as a result of the independent study course.

#### **Requirement 6: Learning Outcomes**

*For each independent study course, the Provider and participant should develop clear and concise written statements of intended learning outcomes (e.g., behavioral or performance objectives) based on identified needs.*

#### **Required Practices**

6.1 Written learning outcomes that reflect what the learner will gain are established for the independent study course.

6.2 Written learning outcome statements are clear and concise.

6.3 Planned learning outcomes are based on identified needs of the individual.

6.4 The number of planned learning outcomes is limited and reasonable.

#### **Requirement 7: Instructional Personnel**

*The Provider ensures that instructional personnel that may be involved in the independent study course are qualified and serve as appropriate resources to the participant in achieving the intended learning outcomes.*

#### **Required Practices**

7.1 The Provider should ensure that individuals involved in independent study program planning and/or instruction are qualified by virtue of their education and/or experience.

#### **Requirement 8: Facilities and Learning Support**

*The Provider ensures that appropriate educational facilities, resource or reference materials, instructional aids, and equipment are consistent with the purpose, design, and intended learning outcomes of the independent study course.*

#### **Required Practices**

8.1 The facilities, resources, and instructional aids outlined in the independent study plan are appropriate and adequate to the content and learning outcomes of the independent study course and contribute to the participant's enhanced learning.

### **Requirement 9: Content and Methodology**

*Independent study content and instructional methodologies are consistent with stated learning outcomes, are appropriate for learning, and permit opportunities for the learner to participate and receive feedback.*

#### **Required Practices**

9.1 The independent study's content is directly related to the individual's anticipated learning outcomes. The content and learning outcomes are related to the sciences as they pertain to speech-language pathology, audiology, speech/language/hearing sciences, and/ or the contemporary practice of speech-language pathology and/or audiology.

9.2 The independent study's content and instructional methodologies are based upon, and appropriate to, the stated individual learning outcomes of the participant.

9.3 Learning materials (tapes, journals, etc.) used in the independent study should be current, suitable, and appropriate for the intended learning outcomes.

9.4 The content of the independent study course should be designed to explore one subject or a group of closely related subjects. (Refer to ASHA CE Registry Subject Codes in the Appendix F to determine integrally related subjects.)

9.5 The participant and Provider should agree on an ending date for the course/plan. Independent study plans may not extend beyond 12 consecutive months in one calendar year.

9.6 The Provider and participant should determine the instructional level of the independent study course and specify the level on the independent study plan. The instructional level should be classified as Introductory, Intermediate, Advanced, or Various, according to the definition of instructional level given in Section 3.

9.7 The Provider and participant should determine the content area of the independent study course and specify the area on the plan. The content area should be specified as Professional Area (P) or Related Area (R), according to the definition of content areas given in Section 3.

9.8 The independent study plan should allow for learner interaction, instructor feedback (if appropriate), and learner assessment of acquired knowledge and skills to reinforce learning.

### **Requirement 10: Requirements for Satisfactory Completion**

*Satisfactory completion requirements are established for each independent study course. These requirements are based on the purpose and intended learning outcomes. The*

*participant and the Provider should agree upon the requirements prior to starting the independent study course.*

### **Required Practices**

10.1 Satisfactory completion requirements are established for each independent study course.

10.2 Satisfactory completion requirements are based on the independent study's purpose and the participant's planned learning outcomes.

10.3 The Provider and participant establish and agree upon the satisfactory completion requirements before beginning the independent study course.

10.4 In the event that the Provider considers the participant's work unsatisfactory for meeting the completion requirements or for earning ASHA CEUs, a written statement citing reasons for such a decision must be submitted to the participant and to the CEB. The participant has the right to appeal the decision to the CEB. See "Appeals Process" in Section 3.

10.5 The Provider must forward the independent study plan to the ASHA Continuing Education Registry so that it is received no more than 45 days after the ending date of the independent study plan.

### **Requirement 11: Assessment of Learning Outcomes**

*Achievement of the individual's intended learning outcomes is assessed using procedures established during the independent study course's planning.*

### **Required Practices**

11.1 Learning assessment procedures are established when the participant and Provider plan the independent study course.

11.2 Learning assessment procedures measure intended learning outcomes achieved.

### **Requirement 12: Program Evaluation**

*In planning the independent study course, an evaluation process is established to examine various aspects of the course, such as the needs assessment, identification of learning outcomes, methodology and content of the plan, and the extent to which intended learning outcomes are achieved.*

### **Required Practices**

12.1 Program evaluation procedures are established when the Provider and participant plan the independent study course.

12.2 The independent study course is evaluated by the Provider and participant at the conclusion of the independent study course.

12.3 Program evaluation results are used to make improvements in planning and

participating in future independent study courses.

## **Procedures for Planning, Approving, and Filing Independent Study Plans**

### **Overview**

Learners who are developing Independent Study (IS) plans must base their learning on an identified need, develop individualized learning outcomes, have a system to assess learning outcomes, and have a mechanism to determine satisfactory completion of the course. Development of IS courses is based on the same principles of sound program planning that ASHA Approved Continuing Education (CE) Providers use to plan group learning courses. IS plans must be completed by December 31st of the year in which they were started. IS courses are limited to 2.0 ASHA continuing education units (CEUs) [20 hours] per IS plan. If a learning experience will exceed 20 hours, another IS plan can be developed

### **Steps for Planning, Approving, and Filing IS Plans**

The ASHA Approved Independent Study Provider should follow these steps to plan, approve, and file an IS plan for ASHA CEUs.

Note: Independent study plans are limited to 2.0 ASHA CEUs (20 hours) per plan. If a learning experience will exceed 20 hours, then another IS plan can be developed.

1. Participant decides to engage in IS. A participant interested in IS should read the “Independent Study (IS)” section of the [ASHA website](#), identify an ASHA Approved Independent Study Provider ([Provider online listing](#)), and access the [Independent Study Participant Worksheet](#).
2. Participant contacts an ASHA Approved Independent Study Provider. After the participant reviews the IS materials, they should fill out the Independent Study Participant Worksheet and develop a tentative IS plan that they will then discuss with the IS Provider’s ASHA CE Administrator (CEA).
3. Providers have the right to accept or refuse to plan, monitor, and process a participant’s IS plan.
4. Providers may charge participants a fee to monitor and process the IS plan. Upon initial contact by the participant, the Provider should inform the potential participant about the procedures and policies that the Provider follows related to IS. Also, the Provider should inform the participant about the fees and the refund policy.
5. Providers agree to monitor/process IS. After discussion about, and review of, the participant's intended IS course, the ASHA Continuing Education Administrator (CEA) should indicate to the participant whether they will assist in planning, monitoring, and approving (upon satisfactory completion) the IS learning



- experience.
6. The CEA and participant follow CEB requirements to plan the IS. The CEA assists the participant in planning the IS course and describing it on the Independent Study Participant Worksheet. The IS course must relate to the practice of audiology, speech-language pathology, or speech, language, and hearing sciences.
  7. The CEA and participant agree on and sign the IS plan. Once the IS plan is developed and the CEA and participant agree on all components of the Independent Study Participant Worksheet, the participant and the CEA for the Provider sign and date the Independent Study Participant Worksheet.
  8. Both the CEA and the participant retain a copy of the signed [Independent Study Participant Worksheet](#). At this point, the CEA could go to the course and offering registration system to start the registration process. This form will not be submitted to ASHA CE until after the IS coursework is completed. However, ASHA strongly recommends that the CEA capture the information in the online registration system anyway—to safeguard and secure the proposed plan.
  9. The CEA should check in with the IS participant during the IS plan to monitor the participant’s progress and determine if any changes to the IS plan or to the Independent Study Participant Worksheet are necessary.
  10. Participant completes the IS experience. Immediately following the completion of the IS plan, the participant must submit all documentation verifying satisfactory completion and related information as agreed upon in the Independent Study Participant Worksheet. After the materials are received by the CEA—and if satisfactory completion has occurred—the participant and CEA work together to complete last page the Independent Study Participant Worksheet. The CEA signs and dates the form.
  11. The CEA will go to course and offering registration system and enter the course under a new course number. When prompted for the type of learning experience, the CEA will select “Independent Study.” After selecting that option, the CEA will be directed to IS-specific questions, which will ask the CEA to attach (a) the Independent Study Participant Worksheet and (b) the participant’s contact information (which needs to be provided for reporting purposes).
  12. ASHA CE staff reviews the IS plan to ensure that it meets CEB requirements. ASHA CE staff may request additional information from the ASHA CEA and/or participant if the form is incomplete or if the IS plan does not meet CEB requirements.
  13. Participant must pay the annual ASHA CE Registry fee. To earn ASHA CEUs and to register the IS course on the ASHA CE Registry, the participant must have paid the annual ASHA CE Registry fee. The participant should contact ASHA CE staff for annual fee information.
  14. ASHA CE staff enters the IS information and ASHA CEUs on the participant’s

ASHA CE Registry transcript. The information on the IS course submission will be entered into the ASHA CE Registry on both the Provider's record and the participant's ASHA CE Registry transcript.

15. The ASHA CE staff sends the Provider a course roster, which the CEA should check against the Online Course and Offering Registration System and the Independent Study Participant Worksheet retained by the Provider. The CEA should contact the ASHA CE Registry immediately if errors are present.

## **Negotiating Independent Study Plans**

Frequent questions asked by ASHA Approved Independent Study Providers are (a) How does the ASHA CE administrator equate effort spent in independent study courses with time (ASHA CEUs offered)? and (b) How can participants in independent study courses document their efforts? ASHA CE has developed the following suggestions.

### **Methods for Equating Effort and Time**

Three methods typically used for equating effort with time are (a) actual contact hours in attendance or time spent in a course, (b) actual contact hours plus actual preparation time, and (c) actual contact hours plus a percentage of preparation time. Examples of each method follow.

*Assign actual hours in attendance or hours spent in the course.*

For example, the number of hours an individual spends:

- attending a conference
- presenting a speech, paper, workshop, short course, and so forth
- listening to audio recordings, watching webinars and other video recordings, or completing online instructional programs
- completing a professional visitation, an internship, or a self-directed study

*Assign actual hours in attendance or hours spent in the course plus actual preparation\* and/or follow-up time.*

For example, the number of hours an individual spends:

- preparing for and making a professional presentation
- setting up and carrying out a research project
- listening to or watching self-instructional materials and writing a critical review or analysis of its impact on job performance
- preparing and presenting a clinical case study

- conducting and preparing a review of the literature
- completing a professional visitation and writing a follow-up report

\*A standard formula for preparation is 2 hours of preparation required for 1 hour of performance. However, additional preparation time may be requested with justification.

*Assign actual hours in attendance or hours spent in the course plus a percentage of preparation.*

ASHA CE offers three suggestions for documenting participant's efforts in independent study courses: (a) logs, (b) products, and (c) evaluations.

### **Logs.**

A [log](#) should be kept that includes the date, time, what the person did, and a signature or initials, if appropriate.

For example:

#### **Independent Study: Research**

<b>Date</b>	<b>Event</b>	<b>Time Spent</b>
3-24	Gathering data	12 hrs
4-18	Evaluating data	12 hrs
5-22	Writing article	6 hrs

#### **Independent Study: Professional Visitation**

<b>Date</b>	<b>Event</b>	<b>Time Spent</b>
3-15	Midville Clinic	2 hrs
3-26	Hort Hospital	2 hrs

### **Products**

Participants may document efforts via a product.

For example:

- a summary of the workshop attended

- a brochure indicating that the individual was a featured speaker at a workshop, convention, or seminar
- a research paper, book chapter, or published article
- a summary of topics studied by the journal group
- a critical review of audio and video recordings or software used
- a written summary of literature review
- a report of professional visitation or internship courses
- the development of a computer program, diagnostic instrument, or treatment materials

### **Evaluations**

Participants may document efforts by writing or recording a statement concerning the impact of the course upon their professional performance.

## **Completing the Online Course and Offering Registration System for an IS Course**

The process of registering an Independent Study are similar to any course registration. Those sections that are different and that require further explanation are detailed below.

### *Add Course Screen:*

1. IS Course Title
2. IS Course ID
3. Select “Independent Study” (bottom-right box)

### *Course Details:*

4. IS Course Description (This will appear on the participant’s transcript.)
5. Subject Code, Content Code, and Instructional Level

### *ASHA CEUs and Offering Details:*

6. Select IS type.
  1. There are 13 different types of IS activities
  2. For an explanation of each IS type, see Types of Independent Study Courses in the CEB Manual.
7. Enter the amount of ASHA CEUs requested.
8. Attest that you have reviewed the IS plan and:
  1. Have ensured the plan represents a valid and verifiable continuing education experience
  2. Have ensured the plan will be implemented according to the requirements established by the CEB
9. Enter the start and end dates of the IS plan.
10. Enter the location of the IS Course

### *Attachments:*

11. Upload Independent Study Participant Worksheet.
12. Upload Independent Study Participant Time Log

## Appendices

### **Appendix A How to Conduct A Self-Assessment of Your Continuing Education Program**

#### **What is a self-assessment?**

A self-assessment is a process whereby a program describes and evaluates its own resources and effectiveness.

#### **How does self-assessment relate to becoming an ASHA Approved CE Provider?**

Although the primary purpose of a self-assessment is to help the program become more effective, it also helps the program to assess the extent to which it meets the requirements to become an ASHA Approved CE Provider. The materials produced as a result of the self-assessment will help ASHA CE determine if the program is in compliance with requirements.

At the conclusion of the self-assessment, the program should be able to determine if it is ready for review by ASHA CE. If the program determines that it is not ready for external peer review, it should attempt to correct the deficiencies and conduct an additional self-assessment until the problems are solved.

#### **What are some of the benefits of a self-assessment?**

A thorough, well conducted self-assessment can benefit the program in many ways. For example,

- It helps the program to be more effective as a result of (a) clarifying goals and objectives, (b) evaluating achievement of the goals and objectives, (c) identifying problems, (d) reviewing programs, procedures, and resources, (e) identifying and initiating needed changes.
- It helps with program planning by identifying strengths and weaknesses and projecting how to achieve program goals and objectives.
- It leads to ongoing research and self-analysis by the program.
- It stimulates review of policies, practices, procedures, and records.
- It enhances communication and cooperation among the program director, faculty, and staff.
- It provides a staff development opportunity for recently hired staff and administrators.
- It enables a program to determine the extent to which it meets CEB requirements.

## How do you conduct a self-assessment?

There are a number of ways to conduct a self-assessment; whatever plan is selected must be systematic if it is to be successful. The typical steps in conducting a self-assessment are as follows:

### 1. *Develop a plan for the self-assessment*

The plan will be influenced by whether there is only one staff person in the continuing education/training program, or whether there are several people working in the area. If there is more than one staff member, a planning group should be formed to oversee the self-assessment.

The staff member or planning group will begin by identifying issues and concerns that are specific to the program. A plan should then be developed for conducting the self-assessment. It should address (a) what components of the program will be assessed, (b) how data will be collected, (c) what will be the review procedure, (d) how progress will be measured, (e) how decisions will be reached, (f) who will have responsibility for each task, and (g) what will be the timelines. The plan should include ways to incorporate changes that might be indicated by the self-assessment results.

It is preferable to keep the plan as simple as possible as long as it allows appropriate people in the organization to review the program. It will be necessary to obtain the resources required to conduct the self-assessment.

### 2. *Establish program mission and goals*

It is important for the program to be clear about its intentions. This means that the program must have (a) a clearly stated mission or purpose statement and (b) goals that complement the mission statement and indicate how the mission statement will be achieved. Some programs have objectives that are even more specific and are usually quantifiable.

A mission statement is general in nature and is intended to indicate something about the overall intentions of the program. The statement indicates the type, tone, and extent of the program. For example:

"The continuing education program at X Association provides professional education courses that are designed to improve the clinical skills of practicing audiologists and to enable them to meet licensure requirements."

The goal statements flow from the mission statement and indicate how the mission will be achieved. There are three types of goal statements:

A. Input goals describe the types of resources and participants that are desired by the program.

"The program will recruit participants who are employed within the industry and whose current job assignments relate directly to content of the course."



B. Process goals describe the specific types of programs or services to be offered, or the environment to be created.

"The program will offer workshops, seminars, and teleconferences with special emphasis on executive leadership and management skills."

C. Outcome goals state the expectations of what is to be achieved as a result of the process.

"The program will offer certificates of achievement to all participants who demonstrate that they have acquired the knowledge and skills required for satisfactory completion of the course in which they are enrolled."

Objectives, which are statements of even more specificity, can be developed to amplify each goal statement and provide measurable statements of process or intended outcome.

### 3. *Determine the data to be collected*

The program should consider all the possible ways that facts and opinions could be gathered to determine the extent to which these questions are being achieved:

- Are the program goals and objectives being achieved?
- Are the necessary resources available and used appropriately to carry out the programs and services? Will resources continue to be available?
- Are the CEB requirements being met? If not, why?

### 4. *Collect the data*

Information should be obtained to assess each aspect of the program. One of the most important components of the self-assessment will be the data that are collected from the assessment of learning outcomes and the evaluations of the program.

### 5. *Evaluate the data*

When the data have been gathered to assess the program's effectiveness, resources, and compliance with CEB requirements, they must be reviewed and analyzed.

### 6. *Develop plans for strengthening the program*

When the data has been analyzed and studied, the staff should make recommendations to improve the program or develop new areas if it seems necessary. This will involve coordination with other units within the organization and the administration.

### 7. *Assure for continuation of self-assessment*

The self-assessment should not only lead to improvement, it should form the basis for a planning process that follows on its heels. Assess and plan...then implement...then assess and plan some more! Conducting a thorough self-assessment will improve the quality of your existing continuing education program and will make the ASHA CE provider application process flow more smoothly.

## Appendix B Conducting Needs Assessment

### Improving Professional Practice; The First Step: Identifying Learning Needs

Ellen C. Fagan

Former Director, ASHA Continuing Education

Successful continuing education (CE) program planning is based, in part, on identifying learners' existing skills, competencies, and knowledge, and using that information to determine whether a gap exists between what is known and what is expected to be known. Program planners should identify areas in which learners are meeting currently established standards but want to expand their knowledge and skills. Identifying the gap(s) and expanded practice needs and developing program goals and objectives to close the gap(s) and address enrichment needs is all part of conducting a needs assessment. Developing and implementing a carefully planned needs assessment will impact on all phases of CE program planning, participant support of the program, and outcome evaluation endeavors. Only through informed decision-making can planners select the type and amount of educational intervention likely to bring about change in the learner.

Ideally, needs assessments are conducted on three levels: The strategic level, the programmatic level, and the project level (Levine et al., 1984). A strategic level needs assessment gathers data on current issues in the professions, new knowledge and technology affecting service delivery and clinical practice, and social, cultural, and environmental issues. Strategic assessments also look at national, community, and organizational issues. Planners should use the results of strategic assessments for long-term planning (2-3 years) and to direct decisions about general topics to cover, audiences to target, and where to spend CE resources.

Programmatic level needs assessments take the information from the strategic level assessments, such as the general topics to cover, and identify specific concerns to address within the general areas. Programmatic assessments help narrow the focus of topic areas or specific concerns within areas.

Project level needs assessments identify the learner's present knowledge, skills, and competencies. Results will assist planners in developing the level and content of the CE offering and will help instructors develop content that will meet the needs of the audience. Don't overlook this level of assessment. Too often, planners make assumptions about learners' present skill levels and resulting programs are not responsive to learners' needs.

The needs assessment process can be broken down into four stepwise progressions resulting in usable data for present and future CE program planning. These four steps include (1) planning the assessment procedure, (2) gathering the data, (3) analyzing the data, and (4) formulating recommendations based on the data analysis.

## **Planning the Assessment Procedures**

Before gathering needs assessment data, it is important to ask yourself a series of questions. These queries will help you focus on the purpose and final outcome of the entire assessment process:

- What is the purpose and reason for conducting the needs assessment?
- What type of data is needed—individual characteristics, individual performance levels, work setting characteristics, and demands?
- What issues will the assessment address?
- What are the data sources—professional standards, scientific research, new knowledge and developments, client opinion and attitudes, learner perception of needs, normative sources (studies indicating practice differences).
- How will the results contribute to program planning?
- What data gathering techniques will be used?
- Are there adequate resources to conduct the assessment?
- What audience will the assessment target?
- How will the assessment results be used?
- How will the data be analyzed?
- How will you determine that a "need" exists?
- What are the causes of the identified needs?
- Can the need be addressed through CE?
- Are other CE providers addressing these needs?
- How will the identified needs be prioritized?
- How will the findings be reported?

## **Gathering the Data**

Needs assessment data can be gathered via a variety and combination of methods. There are advantages and disadvantages to each.

Observing the performance of professionals in the work setting is an excellent way to gather first-hand information about current and desired proficiencies. Direct observation can validate earlier data-gathering and confirm perceptions that were

drawn from inventories or brain-storming sessions. In order to obtain valid data, observers must have standards of performance against which they judge observed performance. This type of data gathering is expensive because it usually involves training and paying observers. Observers also may bring personal bias and preconceived standards to the observation that conflict with the standards against which they are rating the learner's performance. Another disadvantage to direct observation is that performance of the learner is likely to be different (either positively or negatively) simply because an observer has been introduced into the learner's environment.

Interviews with potential participants can be advantageous in encouraging free expression of opinions and will give your insight into learner attitudes. Potential learners are likely to elaborate on their comments in an interview, plus the interviewer can follow-up on partial responses and probe for more in-depth information about learner needs. The drawbacks of interviewing are that it is time consuming, usually limited to a small group of people, and difficult to quantify (Levine et al, 1984). Questions should be field-tested and validated, and all persons being interviewed should be asked the same core group of questions.

CE Planners often use surveys and questionnaires to gather information about learners' needs, interests, preferences, and learning styles. This type of data collection is cost effective, is easily standardized, allows the learner time to think about questions and reflect on answers, and is easy to analyze. The disadvantages are that low response rates may influence data analysis, respondents may not understand the intent of questions, and follow-up is virtually impossible because most responses are submitted anonymously.

Conversations with experts can be helpful in identifying the needs they perceive as widespread among learners in the professions. This type of data is obtained easily via phone or face-to-face conversation, inexpensive, and likely to spark interest in the "expert" becoming involved in teaching or attending future programs. This method, unfortunately, does not represent potential participants directly and therefore may provide you with insufficient information if it is the sole source of data. Experts also may limit their perceived learner needs to a narrow area of the professions or to their particular area of expertise.

Searches of documents, recent texts, articles, and state and federal regulatory interpretations can provide information about emerging topics of interest and learner needs as well as insight into existing practice-oriented problems encountered by professionals. Enduring print material are good sources for starting the investigation into current practice needs; however, remember that print material is often six months to two years old by the time it is published and may not necessarily reflect current situations.

Inspection of records and charts often reflect adequacy of performance and practitioner proficiency. If you work in a service provider setting, you can audit client records to determine level and appropriateness of care. Deficiencies can be addressed through in-service education for staff and supervisors. You can also use national

reports, such as child-find data and caseload composition reports, to determine unserved and under-served populations. CE to meet those deficiencies could have a national focus, or you could compare local data with national data to plan state-wide or community CE to address these needs. Record inspection is difficult in many settings where confidentiality is stringently enforced. Also, descriptions of diagnosis and intervention recorded in charts and daily logs are often sketchy outlines and may not reflect accurately the provider-client interaction.

Administering instruments to assess current knowledge, skills, competencies, and attitudes are useful in identifying deficiencies. You can use written examinations, interest checklists, oral exams, performance checklists, or simulation exercises to judge current learner proficiencies against standards in the professions. Collecting data in this manner provides you with standardized responses and easily analyzed data. Instruments can be re-administered following the educational course to determine if needs were addressed and learning occurred. Disadvantages include the expense and time involved in administering, scoring, and reporting. Also, adults report that taking formal tests to demonstrate their knowledge does not reflect their typical everyday performance in the work setting.

Group problem analysis is a process whereby a group of professionals identify problems, needs, and educational deficiencies and suggest solutions in the form of learning outcomes to be addressed, formats of educational events, and forms of educational intervention. There are various formats you might follow to set up groups for problem analysis. One format is the "unmet needs conference." During this format, groups representing various constituencies of the professions meet and divide into smaller groups to discuss their individual perceptions of needs that are going unmet. Individual groups formulate lists of problems and needs. Findings are shared with the entire group so that the total group can work cooperatively toward suggesting and planning educational opportunities to address the wide scope of needs.

The nominal group process of problem analysis involves the silent generation of problem identification followed by round-robin recording of ideas, discussion of ideas, voting on priorities, and determining the rank order of the identified priorities. This problem-solving process is similar to the unmet needs conference; however, the critical difference is the forced involvement of all individuals in the process.

Additional methods of group problem analysis include brainstorming sessions, speak-up sessions, appointment of a task force or advisory group, and critical incident techniques. The process of critical incident techniques requires that potential learners write a paragraph on a practice problem in their setting (Brookfield, 1986). This process allows for anonymous sharing of real concerns and feelings and provides insight into effective and ineffective learner responses to these situations. The disadvantages of this method, as with all group problem analysis, are that it is time consuming, costly, and data analysis is often complex.

Use multiple data gathering techniques. It is rare that a single method of collection will answer all your questions about learner needs. Most people will find it preferable

to use a combination of methods that best suits your organization's budget, time constraints, expected outcomes, and data needs.

### **Analyzing the Data**

Although data from formal needs assessments may appear sufficient for planning purposes, educational needs of adult learners are never absolute. Needs are influenced by the learner's behavior and the environment and will change depending on these two situations. Ultimately, adult learners are best at determining their own learning needs. Only the learner can decide how and when to learn and decide to apply what is learned to their practice or work setting. Although experts might develop standards by which professionals can compare their skills and knowledge, only the adult learner knows how they truly measure up to those standards.

Also, learning needs change rapidly even during the educational course. The needs that were perceived during the planning stages of the course may not be the needs of participants once the course begins. Therefore, ongoing needs assessments are necessary even during the educational course.

Although you must keep in mind that needs of adult learners are never absolute and are ever-changing, data gathered from the formal needs-assessment can be and should be used to plan and develop program objectives and learner outcomes. There are a variety of data analysis methods available. The choice of the analysis process is dependent upon the decisions made during the planning stages of the needs-assessment process. Questions posed in the planning stages are now addressed in the data analysis phase: What questions are to be answered by the needs-assessment? How will the results be used in program planning? What type of data was gathered and who comprised the population of the sample? What data gathering techniques were used and what was the size of the sample?

Basically, several different data-analysis steps should occur including classification of the data into need areas, establishment of the nature and extent of the needs, and validation of needs by taking into account varying perspectives. Most needs assessment procedures use basic research designs for data collection and analysis. Data from interviews, questionnaires, formal assessments, and group problem analysis procedures can be summarized in quantitative and narrative forms. Analysis of quantitative data may include frequency distributions, cross tabulations, percentages, and correlation between partials.

Qualitative data can be summarized and grouped according to common themes. Results can be compiled into a list of needs or inventory of problem areas, and used to identify priority areas, plan learning outcomes, and suggest formats of courses.

### **Formulating Recommendations Based on the Data Analysis**

A step ignored by many program planners is the documentation of data gathering and analysis into a written report with results and recommendations. The report may serve several purposes. Planners in larger institutions may use such documentation to justify allocation of funds. CE marketing personnel may use the results to advertise to

potential learners the validated reasons for CE offerings. Educational planners may use the results and documentation to formulate specific objectives and outcome measures. No matter what the purpose, the final report is an important step in the needs-assessment procedure. Data that is gathered and analyzed but never interpreted or reported is of limited value and a waste of your resources. Minimally, reports and documentation should include a description of the purpose and issues addressed in the needs-assessment; a description of the population sampled, sampling procedures, and analysis procedures; and a summary of findings and recommendations (Levine, et al., 1984).

Finally, no needs assessment will give you all the information to make the correct planning decisions; however, isolation and description of the key components will assist in promoting sound planning. Your end goal, assessing the effectiveness of your CE course or program, can only be accomplished if you know the entry level needs, skills, knowledge, and behaviors of the learners. A well planned and executed needs assessment is a powerful tool in building a successful CE program.

## **Appendix C Developing Learning Outcomes**

### **What Do You Do After the Needs Assessment? Developing Learner Outcomes!**

Ellen C. Fagan

Former Director, ASHA CE

In a previous article, we focused on the importance of assessing learners' needs, and stressed that unless the CE planner correctly identifies the needs of potential participants, the CE program will be ineffective, and participants will be disappointed and disgruntled. Three levels of needs assessments were identified: the strategic level, the programmatic level, and the project level. Emphasis was placed on using the results of the various assessments to formulate goals and objectives, set priorities, and develop plans to address the learning and service delivery needs of the potential audience.

If you've taken that important first step—planning, conducting, and reporting your needs assessment, now you should be sitting on a wealth of information. What do you do next? Your next step is to put that information to good use.

Typically, learner outcomes flow from the needs that you've identified and are developed into statements of the anticipated results of the CE program. Learner outcome statements may be broad in scope or narrow in focus. You may choose to write overall learner outcome statements for the entire series of CE programs or write narrower outcomes that focus on the results of one specific educational offering. Learner outcomes provide the basis for developing the specific content of the CE course, for deciding how the content will be presented, and provide a mechanism for judging outcomes and identifying needs for future planning.

Learner outcomes should be written in terms of benefits or outcomes to the learner in



the course. Draves (1984) suggests writing objectives that combine behavior with content area. Examples of this approach include: "develop and demonstrate knowledge about (list content areas) ", "develop and demonstrate understanding of\_\_\_\_, and "develop and demonstrate skill in\_\_\_\_\_".

Ideally, learner outcome statements should:

1. state exactly what the person is expected to do as a result of learning
2. assist potential participants in determining if the CE course will address their learning needs
3. identify observable responses expected of the person and tasks to be performed
4. specify how the behavior will be demonstrated so that learning can be observed
5. specify the quality of outcomes
6. help faculty decide what to teach

Once learner outcomes are established, CE planners must choose the appropriate mechanisms to execute and accomplish these plans. Critical steps in this phase of planning include:

7. deciding the format of CE delivery
8. choosing faculty/instructors
9. delineating the target audience
10. selecting instructional materials
11. determining length, dates, and specific timelines
12. arranging for physical facilities
13. developing marketing strategies
14. determining learner assessment methods
15. determine program evaluation processes

## **Appendix D Assessing Learning Outcomes**

### **Examples of Learner Assessment Models**

Providers are required to offer a mechanism in each course for learner assessment. Providers are also encouraged to incorporate a follow-up component in their assessment of participant learning. Learner assessment can be accomplished in a variety of ways from question-and-answer periods to practical application of acquired skills and knowledge. Learner assessment instruments may be specific to the course's

learning outcomes and content, or may be more general in nature, depending on the course and the intended learning outcomes.

Examples of learner assessments are listed below. The learning outcomes affiliated with each assessment are identified to illustrate that one should select the assessment method most appropriate for the type and depth of learning to be achieved.

### **Self-Assessment of Learning**

#### *Learning Outcomes*

Following participation in the Autism conference, participants will be able to:

1. State a variety of treatment options for children with autism.
2. Describe Asperger Syndrome.

#### *Learning Assessment*

Circle the number that corresponds to the degree with which you agree with the following statements (1 = Strongly Agree, 2 = Agree, 3 = Neutral, 4 = Disagree, 5 = Strongly Disagree)

1. I can state 3 treatment options for children with autism. 1 2 3 4 5
2. I can describe Asperger Syndrome. 1 2 3 4 5

### **Formal Exam**

#### *Learning Outcomes*

At the end of this acoustic immittance course, participants will be able to:

- a) Describe contralateral acoustic reflex pathway.
- b) Identify an abnormal acoustic immittance test result.
- c) Identify the tympanogram that is consistent with substantial negative middle ear pressure.
- d) Define immittance audiometry.
- e) Explain the consistency/inconsistency in a patient's response one might find when viewing audiometric test battery results.

#### *Learning Assessment*

Answer the following questions drawing on information presented at the acoustic immittance course.

1. Describe the auditory system pathway.
2. List 3 or 4 inconsistent acoustic immittance test results.

3. What are some of the differences between a Type A, Type B, and Type C Tympanogram?
4. Define the following terms from the results of an audiometric test battery:
  - a) acoustic reflex
  - b) reflex decay
  - c) tympanogram
5. When viewing audiometric test battery results, what consistency/inconsistency in the patient's response might you find?

### **Pre-Post Test**

#### *Learning Outcomes*

At the conclusion of this Fiberoptic Endoscopic Examination of Swallowing (FEES) program, participants will be able to:

- State the risks, contraindications, and infection control procedures for the FEES exam.
- Follow protocols for administering a FEES exam.
- Implement and adapt the FEES protocol for different patient populations and settings.

#### *Learning Assessment*

Abbreviated Pre-Post Test Questions (please circle the best answer)

- White out is due to
  - A. Laryngeal elevation
  - B. Base of tongue or velar/posterior pharyngeal wall contact
  - C. Glottic closure
  - D. Cricopharyngeal opening
- Proper positioning of the endoscope to identify pharyngeal delay requires that the tip of the scope be
  - A. In the vallecular space
  - B. Superior to the epiglottis
  - C. In the pyriform sinus
  - D. In the nasopharyngeal port

- Equipment needed to perform FEES
  - A. Light source, VCR, monitor, video-timer
  - B. Strobe unit, camera, endoscope
  - C. Light source, camera, VCR, monitor, endoscope
  - D. None of the above
- FEES is an effective tool to
  - A. Assess pharyngeal swallow
  - B. Assess benefit of therapeutic maneuvers
  - C. Re-evaluate swallow function
  - D. All of the above
- Patients who are difficult to FEES
  - A. Elderly patients
  - B. Patients with diabetes
  - C. Obese patients
  - D. Agitated patients
- The following are well visualized endoscopically
  - A. Posterior pharyngeal wall, thyroid cartilage, posterior and anterior tracheal walls and base of tongue
  - B. Posterior pharyngeal wall, hyoid, thyroid cartilage, glottis, posterior and anterior tracheal walls, and base of tongue
  - C. Posterior pharyngeal wall, glottis, anterior tracheal wall, and base of tongue
  - D. Posterior pharyngeal wall, thyroid cartilage, glottis, and base of tongue
- Use of a topical anesthesia for a FEES exam
  - A. Should be delivered only to the nares
  - B. Can be administered by a SLP if this policy is approved by the institution
  - C. Is likely to cause a localized allergic reaction in the nose if a patient is allergic to lidocaine (Lancet, 1971)
  - D. All of the above

## Clinical Practicum

### *Learning Outcomes*

During the clinical practicum component of the PROMPT System training (Prompts for Restructuring Oral Muscular Phonetic Targets), participants must demonstrate the following in order to obtain PROMPT certification:

- Assess each client's main speech system holistically using the Motor-Speech Hierarchy
- Decide on a treatment lexicon using the PROMPT approach
- Use appropriate and functional intervention procedures during two courses

Name of Client \_\_\_\_\_ Age of Client \_\_\_\_\_

Name of Clinician \_\_\_\_\_

Setting for video recording: a. clinic    b. school    c. home    d. other

### Client Information Sheet

Answer the questions 1-8 on a separate sheet of paper.

- Previous diagnosis or minimal explanation of condition:
- Length in previous treatment:
- Types of treatment used:
- Goals of the first PROMPT session:
- What do you feel you did correctly/successfully?
- What do you feel you did not do correctly/successfully?
- What would you do differently?
- What do you feel you needed help with?

Circle the number that best describes your response to the following questions (1 is excellent and 5 is poor).

- How did you do you first time?    1    2    3    4 5
- At this point how did PROMPT work for you?    1    2    3    4 5

### Client Intervention Motor Summary Sheet

Answer the questions 1 and 2 on a separate sheet of paper.

- From observational and informal/formal evaluation, the client showed adequate and/or inadequate functioning of the following speech system parameters? (Please explain and include all systems.)
- From the above information, it was decided to formulate goals based on:
  - a. Parameters: (name & explain)
  - b. Selected phonemes: (list & explain - no more than 10)
  - c. Initial lexicon: (list & explain)

Client Intervention Session Self-Evaluation

Circle the number(s) that best describes your response to the following questions.

- After viewing my session, I felt I chose the parameters and phonemes correctly (circle one).
  - a. yes
  - b. maybe
  - c. doesn't know
- After viewing my session, I would have changed (check all that apply):
  - a. nothing
  - b. parameters
  - c. phonemes
  - d. lexicon
  - e. courses
  - f. positioning and/prompting used

Comments:

Clinical Practicum Video Review

Name of Reviewer:

Date:

Practicum:            Complete            Incomplete (re-do)

Overall Comments by Reviewer

For overall impression please refer to audio recording or written critique. All sections will be covered in order of presentation on this form with a final summary at the end of the recording/written material.

The following sections will be discussed and only the final rating will appear on this form. If you have any questions, please do not hesitate to call me.

- Using the System Analysis Observation form, the clinician from the System

- accurately identified the motor Parameters (tone, phonation, jaw, facial, lingual, sequenced movement, prosody) to be focused on, and,
- shaded in and prioritized the stages of the Motor Speech Hierarchy to begin goal selection.

*(Information will be evaluated based on the spontaneous tape sample, System Analysis Observation and Prompt Treatment Hierarchy model)*

excellent      satisfactory      incomplete

1      2      3      4      5

Comments:

Refer to audiotape review

- The clinician accurately chose motor/phoneme units (sounds), which could be used to create an initial lexicon of CVs, VCs and CCs, and could be used functionally in a course.

excellent      satisfactory      incomplete

1      2      3      4 5

Comments:

Refer to audio recording review

- The clinician demonstrated a basic use of prompting e.g., Parameter, Complex or Surface, with the client that was appropriate given the: a) units chosen, b) lexicon created, and (c) course planned.

excellent      satisfactory      incomplete

1      2      3      4      5

Comments:

Refer to audio recording review

- From observation, the clinician was able to establish an environment that supported:
  - appropriate positioning (physical, closeness, handling).
  - appropriate developmental interaction (cognitive, social, pragmatic).

(All areas to be evaluated in a "play-like" or course format).

excellent      satisfactory      incomplete

a.      1      2      3      4      5



b. 1 2 3 4 5

Comments:

Refer to audio recording review

ASHA CE offers technical assistance to Providers developing learning assessment procedures. Providers are encouraged to contact their Manager, CE Provider Services for additional information to improve the development of their customized assessment techniques.

Examples used are adapted with permission from learning assessments developed by the following ASHA Approved CE Providers:

- Department of Veterans Affairs/Audiology Speech Pathology
- Hearing Health International Institute
- The PROMPT Institute
- Wisconsin Speech-Language-Hearing Association

## **Appendix E Program Evaluation**

### **Examples of Program Evaluation Models**

Improvement of continuing education (CE) courses depends on feedback from all participants as well as feedback from planners and instructors. All program components should be evaluated from the needs-assessment process through the development of learning outcomes, selection of instructors, and design and implementation of the program. As a major component of program evaluation, planners typically gather feedback from course participants. Four key categories of program evaluation that are typically included in instruments directed toward participants are:

1. Course Content
2. Instructor Effectiveness
3. Teaching Aids
4. General Implementation of the CE Course

Under each category, examples of evaluation items have been provided. Note that evaluation items may be in the form of statements with ratings, open- or close-ended questions, or a combination of methods. Providers may choose from these examples or generate alternate items that are more appropriate to their specific CE course.

The following rating scale is recommended when having participants rate statements:  
(1) Strongly Agree, (2) Agree, (3) Neutral, (4) Disagree, (5) Strongly Disagree

### **Course Content**

- The content of this course was consistent with my prior expectations. (1) (2) (3) (4) (5)
  - The level of difficulty of this course was appropriate. (1) (2) (3) (4) (5)
  - The topic(s) covered reflected my professional needs (1) (2) (3) (4) (5)
  - What learning outcomes other than those presented should have been included in this course?
  - Did the course meet our expectations?            Yes            No
1. If not, what expectations were not met?
  2. If another continuing education course/course were scheduled, I would like to attend a course that addressed the following issues:
    - In my job, the most pressing need I have is for information about...
    - I could do my job better if I had the following skills...

### **Instructor Effectiveness**

(Note: Evaluation items should be repeated for each instructor, if there are multiple presentations.)

- The instructor used the allotted time efficiently. (1) (2) (3) (4) (5)
- The instructor's style of presentation was conducive to learning (1) (2) (3) (4) (5)
- The instructor made good use of examples and illustrations (1) (2) (3) (4) (5)
- The instructor demonstrated a thorough knowledge of the subject matter (1) (2) (3) (4) (5)
- The instructor helped me achieve the desired learning outcomes (1) (2) (3) (4) (5)
- I would enjoy taking another course from this instructor. (1) (2) (3) (4) (5)

Comments:

- What were the strengths of the instructor and his or her method of presentation?
- What could the instructor do to improve his or her method of presentation?

### Teaching Aids

- The teaching aids used during this course (slides, audiotapes, videotapes, handouts, computer assisted instruction) were appropriate and helped me achieve the learning outcomes  
(1) (2) (3) (4) (5)

Recommendations:

### General Implementation of CE Course

- There was sufficient advance notice of this course. (1) (2) (3) (4) (5)
- The target audience was described adequately during advance publicity relative to type and level of expertise. (1) (2) (3) (4) (5)
- The scheduling of this course (time, day, month) was convenient. (1) (2) (3) (4) (5)
- The time allotted for the content covered in this course was appropriate. (1) (2) (3) (4) (5)
- The physical facilities for this course (size of room, lighting amplification, temperature, etc.) were conducive to learning. (1) (2) (3) (4) (5)
- The registration fee for this course was appropriate. (1) (2) (3) (4) (5)
- The cost of meals and accommodations, if any, was appropriate. (1) (2) (3) (4) (5)
- Requirements for successful completion of the course were clearly specified. (1) (2) (3) (4) (5)
- What were the major strengths and/or features that you liked about this course?
- What were the major weaknesses and/or questionable features of this course?
- How could this course have been improved?
- Are there any other comments or criticisms that you would like to make concerning this course?
- In the future, how could CE courses be publicized?
- Recommendations for future CE courses:

Use your program evaluation tools to gather needs assessment information that might be used for future program planning. Examples of sample needs assessment items include:

- Please list the five most critical problems you face every day on your job.
- If you were to attend some professional development programs designed to assist you with your everyday management problems, please list topics you would like to see addressed.
- What are the things you like the most about your job?
- If you could make any changes in this organization you wanted in order to help the organization become better, please list what they would be.
- If you could give a friend advice over lunch regarding planning some in-house professional development programs for this organization, what would it be?
- What do you see as the most pressing problems your colleagues face in the organization?
- Ask for additional comments.

ASHA CE offers technical assistance to Providers developing program evaluation methods and procedures. Providers are encouraged to contact their CE Provider Manager Services for additional information to improve the development of their customized program evaluation techniques.

## **Appendix F Subject Codes and Content Codes**

CE Courses offered for ASHA CEUs must fall within one or more of the subject codes established by the Continuing Education Board (CEB). When registering a course for ASHA CEUs, ASHA Approved CE Providers select a subject code that best describes the course's overall subject matter and scope.

### **Determining the Subject Code**

Identify the area and select the category. Then determine the subject code that best describes most of the course's content. If more than 50% of the informational content falls into one topic area, use that subject code to identify the course. Review *Additional Considerations* when determining the subject code and assign a content code with each subject code.

## Subject Code Categories

### ➤ Audiology

A complete list of audiology codes and definitions can be found at <https://www.asha.org/CEFind/Audiology-Subject-Codes/>

- Audiology Assessment - **5010**
- Audiologic Habilitation/Rehabilitation - **5020**
- Hearing Assistive Technology - **5030**
- Hearing Conservation and Preservation- **5040**

### ➤ Education, Training and Supervision

A complete list of Education, Training and Supervision codes can be found at <https://www.asha.org/CEFind/Education-Training-and-Supervision-Subject-Codes/>

- Communication Sciences – **1070**
- Education and Training Issues Associated with Speech, Language, Hearing and Related Disorders – **7020**
- Leadership and Management in Professional Speech, Language and Hearing Practice Settings and Pre-professional Training Programs – **7050**
- Pre-professional Preparation Associated with Speech, Language, Hearing and Related Disorders – **7015**
- Supervision and Clinical Education - **7080**

### ➤ Multiple Sessions/Topics

A complete list of multiple sessions/topics codes can be found at <https://www.asha.org/CEFind/Multiple-Sessions-Topics-Subject-Codes/>

- Speech-Language Pathology Conferences and Conventions with Multiple Sessions - **9010**
- Speech-Language Pathology Self-Study Courses or Journals Covering Multiple Topics - **9015**
- Audiology Conferences and Conventions with Multiple Sessions - **9020**
- Audiology Self-Study Courses or Journals Covering Multiple Topics - **9025**
- Audiology and Speech-Language Pathology Conferences and Conventions with Multiple Sessions - **9030**
- Audiology and Speech-Language Pathology Self-Study Courses or Journals Covering Multiple Topics – **9035**

### ➤ Service Delivery and Practice Management

A complete list of service delivery and practice management can be found at

<https://www.asha.org/CEFind/Service-Delivery-and-Practice-Management-Subject-Codes/>

- Augmentative and Alternative Communication (AAC) – **3040**
- Computer and Technology Applications – **8010**
- Cultural and Linguistic Diversity in Education, Training, Service Delivery, Public Policy – **7030**
- Early Intervention – **3015**
- Ethics and Ethical Decision Making – **7070**
- Patient/Client Safety and Prevention of Medical Errors – **7060**
- Public Policy Issues Associated with Speech, Language, Hearing and Related Disorders – **7025**
- Service Delivery Associated with Speech, Language, Hearing and Related Disorders – **7010**

7.

➤ **Speech and Language Pathology**

A complete list of speech and language pathology codes can be found at

<https://www.asha.org/CEFind/Speech-and-Language-Pathology-Subject-Codes/>

- Acquired and Degenerative Language Disorders (Excluding Traumatic Brain Injury – **3030**
- Autism Spectrum Disorders (ASD) – **1050**
- Cleft Lip/Palate, Velopharyngeal Dysfunction (VPD), and Related Craniofacial Anomalies – **1080**
- Developmental Language Disorders – **3010**
- Fluency Disorders (Including Stuttering and Cluttering) – **1010**
- Phonology/Articulatory Disorders – **3050**
- Social-Emotional-Behavioral Issues Impacting Speech, Language, Hearing and Related Disorders – **7040**
- Speech Motor Disorders – **1030**
- Swallowing and Swallowing Disorders (Dysphagia) – **1040**
- Traumatic Brain Injury (TBI) – **1060**
- Voice Differences/Disorders and Resonance Disorders – **1020**

### **Additional Considerations**

The bullets below each subject code are further examples of appropriate content, but the list is not exhaustive or all-inclusive. Prior to determining the appropriate subject code, note that these items may be included in and applicable to any of the subject codes.

The following may be included in all subject codes, as applicable:

- Advocacy
- Basic, translational, applied, or implementation research

- Counseling approaches for individuals and their families
- Cultural and/or linguistic factors
- Ethical and legal issues
- Etiology
- Interprofessional education and interprofessional practice
- Intervention, treatment, and rehabilitation
- Pedagogy in speech, language, and hearing sciences
- Policy, regulatory, reimbursement and program administration issues
- Prevention and early intervention
- Prevalence
- Related genetic, cognitive, social, emotional, and behavioral factors
- Screening, evaluation, and assessment

### Content Codes

There are two types of content codes; each is described briefly below. When selecting a content code, *list the first letter of the code*.

**P—Professional:** Information pertaining to disorders of speech, language, and hearing. For example,

- various types of disorders of communication and their manifestations, classifications, and causes.
- evaluation skills, including procedures, techniques, and instrumentation for assessment; and
- management procedures and principles in habilitation and rehabilitation of communication disorders.

**R—Related:** Study pertaining to the understanding of human behavior, both typical and atypical, as well as services available from related professions that apply to the contemporary practices of audiology and/or speech-language pathology. For example,

- theories of learning and behavior.
- services available from related professions that also deal with persons who have disorders of communication.
- information from these professions about the sensory, physical, emotional, social, and/or intellectual status of a child or adult; and
- other areas such as program management, economics of professional practice, legislative issues, professional ethics, clinical supervision, counseling and interviewing, application of computers, and modern technology and statistics.

The content code **B-Basic Communication Processes** has been *retired* and will not be used for new courses (as of 3/15/2020).

## Appendix G Instructional Levels

### 1 = Introductory

Instruction at the Introductory Level of difficulty is generally intended for professionals with novice experience in the content area. Material presented is based on fundamental principles or concepts that are fairly well known and regularly applied. Often this level of training is intended to be a prerequisite to successive, more difficult topics offered at the Intermediate Level. At times, experienced professionals might be advised to take this training for review or in preparation for more advanced level training. Introductory level can also be used to describe course content related to new or emerging areas of practice.

### 2 = Intermediate

Instruction at the Intermediate Level assumes some familiarity with the basic literature as well as some experience in professional practice within the area covered and is targeted for more experienced professionals. The pace of the training and difficulty of concepts presented require more advanced knowledge and skills than the Introductory Level. Examples used at this level are often based on recent research and case studies that are complex in nature.

### 3 = Advanced

Instruction at the Advanced Level assumes the participant already has established experience, knowledge and skill within the area covered. The focus of courses at this level is on comprehension of findings in the current literature, and the synthesis and application of information presented to advance current clinical and research practices. The pace and level of difficulty of material presented is commensurate with the needs of a



professional with comprehensive knowledge, ability, and experience in the content area.

0 = Various

This classification indicates that a single level cannot be determined. It is intended primarily for courses that offer multiple sessions for which the instructional level may vary from session.

## Appendix H Types of Learning Experiences

Group	<p>Synchronous, live event. Instruction requires the simultaneous participation of all student and instructors in real time. Learners interact with the learning materials and the instructor at a specific location and time.</p> <p>Examples: Workshops, Seminars, Symposium, Webinar/videoconference, Journal Group, Grand Rounds, Conventions, and Conferences.</p>
Individual	<p>Asynchronous, learners choose their own instructional time frame and location and interact with the learning materials and instructor according to their own schedules.</p> <p>Examples: Recorded videotapes, correspondence course, audiotapes, programmed study, computer-assisted learning, and reading journals/newsletters.</p>
Blended	<p>Combines elements of both group and individual learning experiences. These may be distance learning/online as well as face-to-face/in person. These courses might have prerequisite reading, videotape/case study viewing that must be completed prior to, during, or after the face-to-face/in-person portion.</p> <p>Examples: Live Webinar that has required reading/case study review for which the participant will earn credit for successfully completing prior to, during, or after the live segment.</p>
Independent Study	<p>A learning event proposed by the learner and reviewed, monitored and approved by an ASHA Approved Independent Study Provider.</p>