ASHA CE PROVIDER PROCESS DOCUMENTATION WORKSHEETS

How to Use This Resource

ASHA Approved CE Providers are expected to plan, conduct, evaluate, and continuously improve their continuing education (CE) program. There are many steps involved in maintaining an effective CE program. Some may happen well before the course start date, while others will happen as the course date approaches. Some tasks may be so "automatic" that you don't realize they are part of the planning process. Documenting these processes and procedures helps ensure compliance with the Standards for ASHA CE Providers and ASHA CE policies, provides consistency across courses, improves efficiency, and reduces the likelihood of errors.

To be a successful ASHA CE Provider, it is important to have a documented process that outlines:

1. **What** tasks are involved in maintaining an ongoing CE Program,
2. **When** tasks will occur,
3. **Who** is responsible for ensuring each task is completed, and
4. **How and where** tasks are managed.

You may refer to these processes as your course timeline, course planning checklist, standard operating procedures, or something similar.

The following worksheets—accessible via the hyperlinks below—are designed to help you outline and add detail to your processes. You may decide to use them in the future as part of your CE program documentation. You should enter your own information into the table or format this information to fit your organization's specific needs. Please note that all open fields for text entry have embedded tooltips containing prompting questions to guide you as you complete each worksheet. These tooltips are only accessible when using Adobe Acrobat. Prompt questions are also available in the ASHA CE Provider Process Documentation Worksheets – Supplemental Guiding Questions.

Worksheet 1: **Ongoing CE Program Processes**	**Worksheet 2:** **Course Planning Procedures**	**Worksheet 3:** **Course Reporting and Post-Course Procedures**

Worksheet 1: Ongoing CE Program Processes

These tasks relate to your overall CE program, organizational structure, and overarching responsibilities. Some tasks are administrative, while others address ongoing implementation of ASHA CE Standards and Policies and support high quality continuing education. They may occur annually, quarterly, or more frequently, depending on needs.

Each column below includes details that you may wish to include in your processes. Consider what is needed to ensure that all involved in the CE program can locate, understand, and follow established procedures.

What *Description of step*	**Why** *Purpose of step*	**Who** *Persons responsible*	**When** *Timeline to complete*	**How** *Procedures and parameters for completion*
Review organizational chart and CE unit staffing	To ensure that the CE program has adequate human resources			
Review CE course budget	To ensure that the CE program has adequate fiscal resources			
Review and update organization's CE policies	To ensure adherence to current ASHA CE Standards and Policies			
Review and update organization's CE course planning and reporting procedures	To ensure adherence to current ASHA CE Standards and Policies			

What *Description of step*	**Why** *Purpose of step*	**Who** *Persons responsible*	**When** *Timeline to complete*	**How** *Procedures and parameters for completion*
Incorporate changes in ASHA CE Standards and Policies into organization’s processes and procedures	To ensure adherence to current ASHA CE Standards and Policies			
Review CE Administrator and CE Content Consultant (if applicable) qualifications	To ensure that the CEA meets CE requirements and CECC is in place, if needed			

Worksheet 2: Course Planning Procedures

These tasks support the development of high-quality CE programming. Some are specific to ASHA CE Standards and Policies (for example, identifying both financial and non-financial relevant relationships). Others reflect adult learning principles and quality instructional design. The tasks below are listed in a generally sequential order, but you may find that you follow a slightly different process and are free to make edits, add or delete tasks, or change the order of tasks.

What *Description of step*	**Why** *Purpose of step*	**Who** *Persons responsible*	**When** *Timeline to complete*	**How** *Procedures and parameters for completion*
Conduct a needs assessment	To identify the learning needs or knowledge gap the course will address			
Establish learning outcomes (LOs)	To connect needs assessment to planned outcomes of course			
Manage financial and in-kind support, exhibits, and advertising	To clarify budget for course, honorariums to be offered, etc.			
Propose planning staff and instructor(s)	To ensure that course content is being taught by someone with appropriate expertise			

What *Description of step*	**Why** *Purpose of step*	**Who** *Persons responsible*	**When** *Timeline to complete*	**How** *Procedures and parameters for completion*
Identify, review, and resolve course planners' and instructional personnel's relevant relationships	Standard 3 requires transparency about relevant financial and non-financial relationships and requires Providers to have a process to identify, review, and resolve any conflicts			
Make final selections of planner(s) and instructor(s)	The disclosure process may disqualify some planners or instructors so this can only be done after any conflicts of interest are identified and mitigated			
Establish course content and instructional methodology	To ensure that content is current and valid and instructional design is appropriate to meet learning outcomes through planner and instructor expertise			

What *Description of step*	**Why** *Purpose of step*	**Who** *Persons responsible*	**When** *Timeline to complete*	**How** *Procedures and parameters for completion*
Identify and select appropriate and accessible facilities or online platform(s), as appropriate	To ensure that facility or platform supports course content and LOs, as well as accommodates learner needs			
Determine learning resources needed to accomplish the learning outcomes	To ensure that course materials support achievement of LOs			
Establish satisfactory completion requirements for course	Providers are required to establish what is needed to earn credit for a course and communicate this to learners prior to the course			
Establish how attendance will be documented	To ensure that learners' attendance and participation will be captured			

What *Description of step*	**Why** *Purpose of step*	**Who** *Persons responsible*	**When** *Timeline to complete*	**How** *Procedures and parameters for completion*
Determine learning assessment and course evaluation procedures	Learner assessment is important to determining if LOs were met. Courses should be evaluated regularly to inform changes and assist with overall program improvement			
Develop schedule, time-ordered agenda, or record of runtime or word count	This must be submitted to ASHA CE to confirm ASHA CEU amount			
Calculate number of ASHA CEUs	Must be communicated to learners and reflect educational time only			
Determine if partial credit will be allowed and establish criteria	Must be communicated to learners			

What *Description of step*	**Why** *Purpose of step*	**Who** *Persons responsible*	**When** *Timeline to complete*	**How** *Procedures and parameters for completion*
Produce promotional materials that comply with ASHA CE Standards and Policies	Promotional materials must be submitted to register a course and must be accurate and complete			
Account for learner needs	To ensure that learner needs (accessibility, accommodation, dietary, etc.) are recorded and met			
Submit course in the Course Registration and Reporting Portal	Must be done: •15 days before the start date of a new course. •3 days before an additional offering of an existing course. •30 days before the start date of a new cooperative course. *NOTE: The day of the course is NOT counted in the number of days.*			

Worksheet 3: Course Reporting and Post-Course Procedures

Once a course is completed, the Provider must have a process in place to verify learner attendance and report those who met satisfactory completion requirements and wish to earn ASHA CEUs. These tasks are important aspects of customer service because if they are not completed correctly or on time, your learners may not get the ASHA CEUs they expected. You have 45 days after the course to report participants to ASHA CE, but you may do so earlier, if you have clearly communicated deadlines to learners, and you are sure you have everyone included in your reporting.

After you submit participants to ASHA CE, we reconcile that reporting with our member database to ensure that we are awarding ASHA CEUs to the correct people. We will send you a course roster of the participants you reported, corrected with any information from our database. It is your responsibility to check rosters for accuracy and tell us of any corrections that need to be made by the date indicated on the roster.

Additional tasks that should occur after a course end include providing the instructor(s) with feedback and evaluating course data. This information will allow you to make changes to the course and use the data as part of your needs assessment for future courses.

What *Description of step*	**Why** *Purpose of step*	**Who** *Persons responsible*	**When** *Timeline to complete*	**How** *Procedures and parameters for completion*
Verify attendance and satisfactory completion for those requesting ASHA CEUs	To accurately report only those participants who meet satisfactory completion requirements and indicate an intent to earn ASHA CEUs			
Prepare course reporting (Excel spreadsheet, .csv file, etc.)	To meet reporting requirements			

What *Description of step*	**Why** *Purpose of step*	**Who** *Persons responsible*	**When** *Timeline to complete*	**How** *Procedures and parameters for completion*
Submit reporting within deadlines (no more than 45 days after the course end date for most reporting)	To meet reporting requirements			
Review course roster from CE Registry once received	To ensure that participants submitted match those identified by ASHA CE			
Maintain course participation records as required by ASHA CE Standards and Policies and any other record retention requirements	To meet record retention requirements			
Provide instructor(s) with feedback on performance	Feedback allows for improvements and adjustments to course content and instruction			
Analyze course evaluation data	To inform course and overall CE program improvement efforts			