CHECKLIST FOR 5-YEAR REAPPROVAL DOCUMENTS

Thank you for participating in the 5-Year Review process. We provide this checklist as a review of the documentation you will submit. The **bolded items** must be submitted as part of the review. The other items are also required for all Providers and should be available to your CE personnel, instructors, planners, and learners, as appropriate. These documents ensure compliance with ASHA CE Standards and Policies and help your CE program run smoothly.

The Approved Provider organization owns these documents, not a specific individual. If you work with a contract management company, ensure that your organization maintains ownership of documents, even if the contract ends.

Note: The items below reflect required policies and processes beyond what is needed to register courses and report learners in the CE Provider Portal.

	Item	What it is	Why you need it	Resources
	Process Documentation	Detailed description of the course planning and reporting tasks that need to be completed, who completes them, when they're completed, and how they're completed.	Ensure consistency and efficiency. Standard 1.2.1	CE Provider Process Documentation
	Organizational Chart	Visual depiction of the scope of the organization, including what departments or teams exist and how they are connected; how many people are involved and in which roles in the CE unit; and, if applicable, where it lies in your greater organization.	Defines the scope of the approved Provider. Standard 1.1.2	Organizational Structure and Scope
	Policy: Record retention	Description of the organization's records retention system—including what information is retained, where it is kept, who has access, how and when the organization deletes or destroys records, and the records backup system.	Standard 1.2.6	Records Retention
	Policy: Privacy and security	Written policies about how your organization ensures the security of participant records and information, and where this is shared.	Standard 1.2.4	CE Provider Policies: Privacy and Security
	Policy: Refund and cancellation	Written policy for refunding fees when the learner or the organization cancels or reschedules a course, and where this information is shared.	ASHA CE Policy on Refunds	CE Provider Policies: Refunds and Cancellations

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Policy: Complaint	Explanation of how the organization resolves complaints from those that aren't satisfied with the CE program and where learners are made aware of how to submit a complaint.	[ASHA CE Policy on Complaints](#)	[CE Provider Policies: Complaint Policy](#)
Process: Content Validity and Instructor Qualifications	Process for selecting course planners and instructors—including the information gathered, who reviews it, and when in the course planning timeline it is completed. Includes how you communicate required qualifications with potential planners and instructors and how you vet content to ensure it is current, valid, and evidence-based.	[Standard 4](#)	[Content Validity](#)
Process: Cooperative Offering (co-op) documentation *(if applicable)*	Description of what cooperative offerings are, the delineation of responsibilities for each organization, and what is required to comply with ASHA CE Standards and Policies. Includes the agreement shared with the other organization.	[Standard 1.2.8](#)	[Cooperative Course Policy Template](#)
Process: Independent Study (IS) documentation *(if applicable)*	Documentation outlining what learners you will work with and the requirements for their learning. Includes any agreements or documentation you share with learners.		[ASHA CE Policies: Independent Studies](#) [Independent Study Participant Worksheet](#)
Policy: Professional conduct and inclusion	Description of expectations for those involved in the continuing education program. Know where and how the policy is shared or made public (website, etc.)	[Standard 1.2.7](#)	[CE Provider Policies: Professional Conduct and Nondiscrimination Policies](#)
Policy: Accommodation	Documentation explaining how your organization identifies and responds to learner needs and accommodations and how and where learners indicate needs.	[Standard 5.3](#)	[CE Provider Policies: Accommodations](#)
Policy: Transparency and disclosure	Written process to identify, mitigate, and disclose any course planner or instructor's relevant relationships. Includes the disclosure form used.	[Standard 3](#)	[ASHA CE Policies: Transparency and Disclosure](#)

				Transparency and Disclosure
	Policy: Intellectual property	A description of the ownership and control of content developed by employees and contractors and the responsibility your organization has for citing source material and following copyright laws. Know where this is shared.	Standard 1.2.5	CE Provider Policies: Intellectual Property

ASHA CE Continuing Education