

ADA CERP GUIDELINES FOR PREPARATION OF A PROGRESS REPORT OR REPORT IN RESPONSE TO RECOMMENDATIONS FOR IMPROVEMENT

PROGRESS REPORT: A Progress Report is the mechanism by which providers communicate to the ADA CERP Committee information on the steps the provider has taken to address findings of non-compliance noted in a transmittal letter or Decision Report from the Committee. If a Progress Report is required, it is usually due at a specified time before the provider's next application for continued recognition.

REPORT IN RESPONSE TO RECOMMENDATIONS FOR IMPROVEMENT: This report is submitted with the provider's application for continued recognition. The Report in Response to Recommendations for Improvement is the mechanism by which providers communicate to the ADA CERP Committee information on steps the provider has taken within its current recognition term to address any findings of non-compliance listed in the provider's most recent CERP Decision Report.

GENERAL GUIDELINES: Progress Reports and Reports in Response to Recommendations for Improvement are reviewed by the ADA CERP Committee. The reviewers look for a clear, detailed report, supported by documentation that demonstrates the improvements or changes a provider has made to its CE program.

A well-written and effective report both describes and documents information related to the ADA CERP Recognition Standards and Procedures that were found to be in non-compliance. Documentation of what has already been accomplished will be considered with greater precedence than plans for what will be done.

FORMAT: The report should include a title page or a header on the first page containing the following information: (1) Title "ADA CERP Progress Report" or "Report in Response to Recommendations for Improvement," as applicable; (2) name of the CE provider; (3) provider's address, phone number, email address and website URL; (4) name and title of individual submitting the report; and (5) date the report was prepared.

Within the report, copy the description of each area of non-compliance noted in the most recent transmittal letter and/or Decision Report from the ADA CERP.

For each area cited, describe the changes or improvements made to the CE program in response to the previous Decision Report and attach documentation that supports or demonstrates the improvements. The following steps will help to provide a clear, well-documented Progress Report.

1. **Title** the report, and include the provider's name, address, phone number, website, name and title of person preparing the report and the date the report was prepared.
2. **COPY** the description of each area of non-compliance as it appears in the Decision Report. Include the entire text and all references.
3. **DESCRIBE** the steps taken to rectify each area of non-compliance cited. List each document that is attached as evidence of the improvements made.

4. **PROVIDE SUPPORTING DOCUMENTATION** and materials demonstrating the improvements described. **Label each document.** To direct the reviewers to the appropriate documents, **list the documents and their corresponding labels** in the appropriate sections of the descriptions of improvements made in each area (as described in 3 above). **Highlight relevant information** on each document (e.g., using a colored highlighter or underlining specific items helps direct the reviewers to the relevant material in a lengthy document).

Some common examples of materials that might be submitted as supporting documentation include:

- Organization's mission statement
 - Long range goals of the continuing education program
 - Completed needs assessment surveys
 - Summary reports of collected needs assessment data
 - Completed evaluation forms
 - Summary reports of collected evaluation data
 - Course planning forms
 - Advisory committee and/or course planning committee meeting minutes and correspondence
 - Course syllabi, goals and learning objectives
 - Pre- and post- tests
 - Instructions/guidelines to course instructors and authors
 - Instructor/author contracts and agreements
 - Instructor/author CVs
 - Provider's policies regarding independence and balance
 - Provider's policies regarding commercial support and commercial activities
 - Provider's policies regarding conflicts of interest
 - Conflict of interest disclosure form
 - Letters of agreement for commercial support of continuing education
 - Letters of agreement for joint sponsorship
 - Speaker agreements and instructions
 - Registration forms
 - References for future study provided to course participants
 - Job descriptions of CE provider staff
 - Publicity brochures, web pages, course listings or catalogues
 - Patient consent to treatment forms
 - Verification of participation forms
5. SUBMIT 3 typed copies of the completed Progress Report by the required deadline. Keep a fourth copy of the completed Progress Report for your records. If the report is extensive, please bind the copies of the progress report in 3-ring binders.

Reports in Response to Recommendations for Improvements should be placed behind the appropriate tab in the provider's application for continued recognition.

DECISION OUTCOMES: Following assessment of the Progress Report, the following three decisions are possible:

1. **ACCEPTED:** If the Progress Report is accepted, the provider has demonstrated compliance.
2. **ADDITIONAL INFORMATION REQUESTED:** If additional information is requested, this indicates that the provider has demonstrated compliance in some or most of the areas that were in non-compliance, but additional information is required to be certain the provider is in compliance. An additional Progress Report may be required, or the areas will be assessed at the time of the next application review.
3. **UNSATISFACTORY:** If the Progress Report is unsatisfactory, the provider has not demonstrated that it has corrected the areas identified. Another Progress Report may be requested. The ADA CERP has the right to withdraw recognition as a result of the findings on a Progress Report.

ASSISTANCE: ADA CERP staff are available to answer questions regarding report preparation. Contact Kim Hendricks at: 800-621-8099 ext. 2869; 312-440-2869; or hendricksk@ada.org.

SAMPLE REPORT

ADA CERP PROGRESS REPORT
[or Report in Response to Recommendations for Improvement]

January 6, 2012

XYZ Association for Dental Education
1234 Professional Drive, Chicago, IL 60699
312-312-3123, info@xyzade.org
www.xyzade.org

Report submitted by: Name, Title

AREA OF NON-COMPLIANCE:

Standard II. Needs Assessment Criterion 1

The provider does not consistently use a variety of mechanisms to determine objectively the current professional needs and interests of the intended audience, in order to base the content of the program upon these needs.

DESCRIPTION OF IMPROVEMENTS:

[Description of the process or steps your organization took to make changes/improvements to rectify those standards/procedures found to be in insufficient or non-compliance.]

LIST OF ATTACHED SUPPORTING DOCUMENTATION:

- II.1.a. Completed needs assessment survey form and summary report of data collected from needs assessment surveys*
- II.1.b. Needs assessment telephone interview questions and summary report of data collected from telephone interviews*
- II.1.c. Completed course evaluation form and summary report of data collected from evaluation forms*
- II.1.d. Completed instructor evaluation form*
- II.1.e. Annual summary report of all collected data*

AREA OF NON-COMPLIANCE:

Policies and Procedures

The provider does not consistently ensure that the ADA CERP logo or name is not displayed in a type size larger than the provider's organization name, or given greater prominence than the provider organization's name. (ADA CERP *Recognition Standards and Procedures*, pg. 18, 6c)

DESCRIPTION OF IMPROVEMENTS:

[Description of the process or steps your organization took to make changes/improvements to rectify those standards/procedures found to be in insufficient or non-compliance.]

LIST OF ATTACHED SUPPORTING DOCUMENTATION:

- Documents displaying highlighted logo and authorized statement –*
- Reg. 5.a. Activity brochures*
- Reg. 5.b. Verification of participation form*