

ADA CERP GUIDELINES FOR PREPARATION OF A PROGRESS REPORT

A Progress Report is the mechanism by which providers communicate to the Commission for Continuing Education Provider Recognition (CCEPR) information on the steps the provider has taken to address findings of non-compliance noted in a transmittal letter or Decision Report from the Commission. If a Progress Report is required, it is usually due at a specified time before the provider's next application for continued recognition.

GENERAL GUIDELINES: Progress Reports are reviewed by members of the CCEPR. 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"; (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. Reports may not be handwritten.

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

For each area cited, describe the changes or improvements you made 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 Standard and criteria and the suggestions for improvement.
3. **DESCRIBE** the steps your organization has taken to rectify each area of non-compliance cited.
4. **LIST AND ATTACH SUPPORTING DOCUMENTATION** and materials demonstrating the improvements described. Number and label each appended document, and cross reference the document number in your report, as shown in the attached example.

Highlight relevant information on each document using a colored highlighter or by circling or underlining specific items.

Documents that demonstrate a program's compliance will vary based on the Standards to be addressed. Examples of materials that might be submitted as supporting documentation, include but are not limited to:

- Organization's mission statement and detailed, long range goals for the provider's overall continuing education program
- Summary reports of data collected through needs assessment surveys
- Summary reports of data collected from course evaluation forms
- Completed course planning form

- Advisory committee and/or course planning committee meeting minutes and correspondence
 - Course syllabus, goals and learning objectives
 - Pre- and post- tests
 - Instructions/guidelines to course instructors and authors
 - Instructor/author contracts and agreements
 - Instructor/author CVs
 - Organization's policies regarding independence and balance
 - Policies regarding commercial support and commercial activities
 - Policies regarding conflicts of interest
 - Conflict of interest disclosure form
 - Examples of how instructor's relevant financial relationships are published
 - Signed letter of agreement for commercial support of continuing education
 - Signed letter of agreement for joint sponsorship
 - Speaker agreements and instructions
 - Registration forms
 - References for future study provided to course participants
 - Policies stating requirements for sound scientific content
 - Job descriptions of CE provider staff
 - Publicity brochures, web pages, course listings or catalogues
 - Patient consent to treatment forms
 - Verification of participation forms
5. **SUBMITTING THE REPORT.** Once you have gathered all documents and completed your report, you may assemble and submit the materials in one of two ways: (1) Combine the application form and all required documents into a single PDF and submit via email or uploading to a dedicated FTP site*, or (2) Assemble printed application and all required documents and submit three copies.

** To facilitate delivery of your organization's Progress Report to CCEPR staff, you are strongly encouraged to submit a PDF, as described below.*

Option 1: Submit as PDF (Recommended)

All documents must be combined into a single PDF with bookmarks for navigation (see example on the following pages). The combined file must not exceed 50 MB. The PDF may be emailed or, if the file is large, uploaded to a dedicated FTP site: <ftp.ada.org>. Please use an FTP application such as FileZilla to upload the PDF to this site. Detailed instructions about submitting PDFs are available on the Commission's website under [Provider Resources](#).

Option 2: Submit paper copies

Prepare four copies of your report and all supporting documentation. If the report is extensive, please bind the copies of the progress report in 3-ring binders. Retain one copy for your records and ship three copies to:

ADA CERP
211 E. Chicago Ave.
Chicago, IL 60611

cousinsk@ada.org

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. If as a result of its review the Commission determines that deficiencies have not been addressed in the Progress Report, the Commission may notify the provider of its intent to withdraw recognition. The Commission has the right to withdraw recognition based on its findings on a Progress Report.

ASSISTANCE: Commission staff are available to answer questions regarding report preparation. Contact 312-440-2869; or cousinsk@ada.org.

EXAMPLE

**ADA CERP PROGRESS REPORT
XYZ Association for Dental Education
January 9, 2016**

Submitted by: Name, Title
1234 Professional Drive, Chicago, IL 60699
312-312-3123, info@xyzade.org
www.xyzade.org

AREA OF NON-COMPLIANCE CITED IN CERP DECISION REPORT

- II.1. Providers must use identifiable mechanisms to determine objectively the current professional needs and interests of the intended audience, and the content of the program must be based upon these needs.
- II.4. The provider must document the process used to identify needs/interests.

To demonstrate compliance with Standard II:

- *Provide samples of all methods used to identify and assess needs for new and ongoing CE activities.*
- *Provide summary reports, data sets, etc., compiled from surveys, participant evaluations, etc., documenting that the provider has identified the professional educational needs of the intended audience.*
- *State the educational needs identified.*
- *Describe how this information was used to plan specific educational activities; append meeting minutes, course planning forms or other documentation.*

PROVIDER'S DESCRIPTION OF IMPROVEMENTS

In January 2016, XYZ Association emailed 500 members randomly selected from among the association's 2500 members requesting that they complete an online survey. The 25 question survey contained questions regarding general continuing education preferences and specific educational needs. Results of the survey were reviewed by the CE Committee at its April meeting. The Committee also reviewed suggestions for future courses collected from participants in the 10 courses held in 2015. The Committee identified several trends in the responses to the surveys and course evaluation forms, including a need for more information on clinical practice recommendations regarding the use of sealants, and implementation of electronic health records. Sessions on these topics are planned for the association's 2017 annual conference.

LIST OF ATTACHED SUPPORTING DOCUMENTATION:

1. Needs assessment survey June 2015.
2. Executive summary of June 2015 survey results.
3. Summary report of suggestions for future courses obtained from 2014-2015 course evaluation forms
4. Minutes of CE Committee's September 2015 meeting.

PDF EXAMPLE WITH BOOKMARKS

The image shows a PDF viewer interface. The main content area displays the following text:

ADA CERP PROGRESS REPORT
XYZ Association for Dental Education
January 9, 2016

Submitted by: Name, Title
1234 Professional Drive, Chicago, IL 60699
312-312-3123, info@xyzade.org
www.xyzade.org

AREA OF NON-COMPLIANCE CITED IN CERP DECISION REPORT

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

II.4. The provider must document the process used to identify needs/interests.

To demonstrate compliance with Standard II:

- Provide samples of all methods used to identify and assess needs for new and ongoing CE activities.
- Provide summary reports, data sets, etc., compiled from surveys, participant evaluations, etc., documenting that the provider has identified the professional educational needs of the intended audience.
- State the educational needs identified.
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LIST OF ATTACHED SUPPORTING DOCUMENTATION:

The left sidebar contains a bookmarks list:

- Progress Report
- Standard II. Description of improvements
 - Needs assessment survey
 - Survey results
 - Course evaluations--participant suggestions
 - CE Committee meeting report

A zoomed-in view of the sidebar is shown below, highlighting the same structure.