Transitional compliance Checklist

Instructions:

When you, as an Accredited Provider (AP), have experienced one of the organizational transitions listed below, this checklist must be used to review your program for having the necessary policies, processes, and evidence documentation in place to remain compliant with the ANSI/IACET 1-2018 Standard for Continuing Education and Training. These are the transitions applicable to this checklist:

1. APs Merging transition
2. Existing AP Acquires Non-AP
3. AP Separates Training Program and Wishes to Maintain the Accreditation
4. AP Separates Training Program and Wishes to Transfer Accreditation to the New Organization

Sign, date, and upload this completed Compliance Checklist with your Annual Report.

Your review should:

Icon

Description automatically generated Verify necessary policies/processes where required by the Standard are still current and accurate or may have been modified due to the transition. Remember that IACET has specific requirements for what to include in a written process, which are explained in the [IACET Documented Processes document](https://www.iacet.org/default/assets/File/modules/accreditation-application/resources/Documented-Process-Sample.pdf). This should be reviewed prior to drafting a new process or updating any existing processes.

Verify method(s) of communication of the applicable process or policy. Polices are meant to be communicated. It is not enough to have a policy and not have evidence of it being communicated.

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Description automatically generated Maintain documentation to provide evidence and examples of actual activity or practices. (Please note, for your formal review, you will be asked to produce actual *completed* forms/worksheets/reports and not just the blank forms)

*This document is provided in Microsoft© Word® format so prospective providers can easily edit and integrate the document into their organization.*

*NOTE: Incomplete or noncompliant responses may result in a compliance audit with applicable fees.*

# Category 1: Organization, Responsibility and Control

| Element of the Standard | Specific Evidence You Must Have. (Be sure to reference the expanded evidence descriptions and Guidance statements in the application for each Element.) | | Requirements are Fully Met | How have you modified your policies and processes under the adjusted leadership?  Please provide a narrative. |
| --- | --- | --- | --- | --- |
| The Provider shall be incorporated, registered or otherwise recognized as a legal entity. | Documentation that properly demonstrates legal status such as Articles of Incorporation. If the organization is incorporated, a sole proprietorship or a partnership, list of owner(s) or ownership description must also be included. | |  |  | | --- | --- | | Yes | No | | |  |
| The Provider supports the development, administration and delivery of the training it provides with a mission statement, statement of goals and/or other documentation. | Mission statement or set of specific goals describes intent and commitment to continuing education within the organization overall. | |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall identify the unit and position(s) within the organization responsible for compliance with the ANSI/IACET 1-2018 Standard for Continuing Education and Training. | Organizational chart or similar, that clearly identifies which unit AND positions within the organization are responsible for compliance with the ANSI/IACET 1-2018 Standard for Continuing Education and Training.  Documentation or a job description that fully details tasks and responsibilities associated with conducting the periodic review as described in 1.5 is being maintained for the position responsible for compliance with the ANSI/IACET 1-2018 Standard for Continuing Education and Training. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have a process to measure the effectiveness of its development, administration, delivery and support of its education/training. | Documented process that evaluates the effectiveness of the organization offering IACET CEUs with regard to the overall CE/T program (not individual learning events). The process includes the who, what, when, how, and with what tools.    The effectiveness of the CE/T program’s development, administration, delivery and support of its education/training is being evaluated according to the process. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have a periodic internal review process that ensures adherence to the current ANSI/IACET1-2018 Standard for Continuing Education and Training. | Documented review process to ensure the quality of the overall CE/T program and the consistent application of the Standard to include all categories and elements. The process includes the who, what, when, how, and with what tools (such as forms or checklists).  A periodic internal review is being conducted according to the process that:  Includes dates and signatures of responsible party or parties  Reflects a review of the entire Standard  Shows compliance or remedies on the self-audit form  Identifies gaps and provides more detailed information that needs to be addressed where appropriate | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have an anti-discrimination policy statement. | Company/organizational policy for employees regarding professional behavior related to discrimination.  The policy is being acknowledged by staff and shared with learners. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have a policy that requires disclosure of any instructor’s proprietary interest in products, instruments, devices or materials; this disclosure must be included in all marketing materials and at the beginning of the learning event. | Company/organizational policy regarding proprietary interests including how such interests are disclosed by whom, and when and how non-compliance is handled.  The policy is being shared with instructors, staff, and learners. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have a policy regarding intellectual and legal property rights for all material used in its learning event. | Company/organizational policy regarding intellectual property rights that covers both CE/T unit-owned IP and how third-party IP is used in learning materials. It includes how non-compliance is handled. | |  |  | | --- | --- | | Yes | No | | |  |

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| Category 1 review completed by: |  |
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| Action items to be completed by: |  |

# Category 2: Learning Environment and Support Systems

| Element of the Standard | Specific Evidence You Must Have. (Be sure to reference the expanded evidence descriptions and Guidance statements in the application for each Element.) | | Requirements are Fully Met | How have you modified your policies and processes under the adjusted leadership?  Please provide a narrative. |
| --- | --- | --- | --- | --- |
| The Provider shall ensure relevant instructional and learning resources are available for instructors, learners and staff. | **Documented process for ensuring reference material is up to date; educational materials are accessible, accurate and current; and media/technological resources are properly maintained and in good working order. The process includes the who, what, when, how, and with what tools**  **The process is being followed to ensure reference material is up to date; educational materials are accessible, accurate and current; and media/technological resources are properly maintained and in good working order.** | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have a process to ensure learning environments support the achievement of learning outcomes. | Documented process showing linkage between learning environment and learning outcomes. It must be conducive to adult learners and it should account for all delivery methods (classroom, distance, blended). The process includes the who, what, when, how, and with what tools.  The learning event design document being used specifies the criteria for the learning event’s environment.  The learning environment is being checked and verified according to the process. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have a process to disseminate information including, but not limited to, the learning outcomes, criteria to earn the IACET CEU, prerequisites and other requirements in advance of the learning event. | Documented process that describes what information is provided and how it is disseminated to learners prior to registering or participating in a learning event. The process includes the who, what, when, how, and with what tools.  Learners are being provided the information described in the process prior to registering or participating in the learning event. This may include catalogues, marketing materials, learning event announcements, webpage links or screenshots, and/or registration confirmation to learners. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall ensure support services are available to learners prior to, during and following the learning event. | Documented process that describes the tasks and responsibilities for providing learners with communication and support services starting with the registration process through the program evaluation and follow-up. The process includes the who, what, when, how, and with what tools.  Communication to learners, information about the learning event and details on staff availability to support, advise and respond to questions regarding the learning program is occurring according to the process. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall ensure administrative and technical support services are available to instructors, instructional design and development staff, program evaluators and administrators prior to, during and following the learning event. | Documentation is being maintained for how support services (administrative and technical support) are provided for instructors, instructional designers and development staff, program evaluators, and/or administrators prior to, during, and following learning events. Examples include a standard operating procedure (SOP) manual, instructor orientation notes, job aids, or a detailed narrative. | |  |  | | --- | --- | | Yes | No | | |  |

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| Category 2 review completed by: |  |
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| Action items to be completed by: |  |

# Category 3: Planning

| Element of the Standard | Specific Evidence You Must Have. (Be sure to reference the expanded evidence descriptions and Guidance statements in the application for each Element.) | | Requirements are Fully Met | How have you modified your policies and processes under the adjusted leadership?  Please provide a narrative. |
| --- | --- | --- | --- | --- |
| The Provider shall have a policy that individuals involved in the design, development, delivery and evaluation of learning events are qualified to perform their assigned tasks. | The policy that includes the qualification requirements for individuals involved in the design, development, delivery, evaluation, and administration of learning events.  Documentation such as resumes or bios is being maintained showing evidence of subject matter expertise, experience in and/or knowledge of adult learning principles and methods, or other competencies related to their assigned tasks for all personnel/contractors associated with the design, development, delivery, evaluation, and administrative tasks for CE/T. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have a process that requires regular performance evaluations of instructors, instructional design and development staff, program evaluators and administrators. | Documented process used to regularly evaluate the performance of CE/T personnel including instructors, instructional design and development staff, program evaluators and administrators. The process includes the who, what, when, how, and with what tools.  The performance of CE/T personnel including instructors, instructional design and development staff, program evaluators and administrators is being regularly evaluated according to the process. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have a process to document individuals’ professional development activities for ensuring those who are involved in the design, development and delivery of learning events remain current in subject matter material and learning methods. | Documented process used to regularly evaluate the professional development needs and learning opportunities for CE/T personnel.  Professional development needs and learning opportunities for CE/T personnel are being evaluated according to the process. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |

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| Category 3 review completed by: |  |
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| Action items to be completed by: |  |

# Category 4: Needs Analysis

| Element of the Standard | Specific Evidence You Must Have. (Be sure to reference the expanded evidence descriptions and Guidance statements in the application for each Element.) | | Requirements are Fully Met | How have you modified your policies and processes under the adjusted leadership?  Please provide a narrative. |
| --- | --- | --- | --- | --- |
| The Provider shall have a process for conducting a formal needs analysis for the learning event that guides the development of planned learning outcomes and learning event design. | Documented process used for conducting a learning needs analysis. The process includes the who, what, when, how, and with what tools.  Needs analysis is being conducted according to the process. This includes an analysis of the data gathered and resulting recommendations. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |

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| Category 4 review completed by: |  |
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| Action items to be completed by: |  |

# Category 5: Learning Outcomes

| Element of the Standard | Specific Evidence You Must Have. (Be sure to reference the expanded evidence descriptions and Guidance statements in the application for each Element.) | | Requirements are Fully Met | How have you modified your policies and processes under the adjusted leadership?  Please provide a narrative. |
| --- | --- | --- | --- | --- |
| The Provider shall have learning outcomes that are specific and measurable, achievable, realistic and time-based. | A learning event design document that has SMART (specific, measurable, attainable, realistic and time-based) learning outcomes for the two learning events selected for this application (or three if needed to cover all delivery methods). | |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall establish the relationship between needs analysis and planned learning outcomes. | The design document being used summarizes the needs analysis and explains how resulting established learning outcomes were identified. | |  |  | | --- | --- | | Yes | No | | |  |

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| Category 5 review completed by: |  |
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| Action items to be completed by: |  |

# Category 6: Content & Instruction

| Element of the Standard | Specific Evidence You Must Have. (Be sure to reference the expanded evidence descriptions and Guidance statements in the application for each Element.) | | Requirements are Fully Met | How have you modified your policies and processes under the adjusted leadership?  Please provide a narrative. |
| --- | --- | --- | --- | --- |
| The Provider shall have a process to ensure the selected content logically supports the learning outcomes. | Documented process to ensure the content supports the learning outcomes. It includes the who, what, when, how and with what tools.  The design document being used clearly shows how the content is appropriately matched to learning outcomes. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have a policy to review course content for quality, currency, effectiveness and applicability. | Documented policy to review course content that describes how your organization uses the policy to identify how content is reviewed.  Course content is being reviewed for quality, currency, effectiveness and applicability per the policy. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have a process to ensure instructional methods are appropriately matched to achieve the learning outcomes and to incorporate adult learning principles. | Documented process that explains how instructional methods are selected for each learning outcome. It includes measures to ensure adult learning needs are being met and includes the who, what, when, how and with what tools.  The design document being used clearly shows how instructional methods are appropriately matched to stated learning outcomes. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have a process for calculating and recording the IACET CEU for learning events. | Documented process for calculating IACET CEUs and recording the number awarded for each learning event and each learner. It includes the who, what, when, how and with what tools.  IACET CEU calculation worksheets are being completed for all learning events per the process. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| Instructional delivery shall include communicating learning outcomes and requirements to earn the IACET CEU at the beginning of the learning event. | The introduction page(s) of the trainer or learner guide (or a PowerPoint presentation) present the learning outcomes and they are discussed at the beginning of the learning event. | |  |  | | --- | --- | | Yes | No | | |  |

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| Category 6 review completed by: |  |
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| Action items to be completed by: |  |

# Category 7: Assessment of Learning Outcomes

| Element of the Standard | Specific Evidence You Must Have. (Be sure to reference the expanded evidence descriptions and Guidance statements in the application for each Element.) | | Requirements are Fully Met | How have you modified your policies and processes under the adjusted leadership?  Please provide a narrative. |
| --- | --- | --- | --- | --- |
| Assessment methods shall measure the achievement of learning outcomes. | You understand this Element pertains to assessing achievement of learning outcomes. | |  |  | | --- | --- | | Yes | No | |  |  | | |  |
| The Provider shall have a process to ensure learners have achieved the learning outcomes through the learning assessment. | Documented process for assessing individual learners to ensure achievement of learning outcomes. It includes the who, what, what, how, and with what tools.  Learners are being assessed per the documented process.  Learners are receiving feedback on achievement of learning outcomes per the documented process. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |

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| Category 7 review completed by: |  |
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| Action items to be completed by: |  |

# Category 8: Awarding the IACET CEU and Maintaining Learner Records

| Element of the Standard | Specific Evidence You Must Have. (Be sure to reference the expanded evidence descriptions and Guidance statements in the application for each Element.) | | Requirements are Fully Met | How have you modified your policies and processes under the adjusted leadership?  Please provide a narrative. |
| --- | --- | --- | --- | --- |
| The Provider shall have a process verifying that the learner who registers and participates in the learning event is the same learner who receives the IACET CEU. | Documented process for ensuring that the learner who registers and participates in the learning event is the same learner who receives the IACET CEU. It includes the who, what, when, how, and with what tools.  Learner identity is being verified according to the process. | |  |  | | --- | --- | | Yes | No | |  |  |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have a process to identify and inform learners if they have or have not met the established criteria for earning the IACET CEU. | Documented process for informing learners if they have or have not met the established criteria for earning IACET CEUs. Examples of how learners could be informed can include, but are not limited to, a course feedback email, transcript, or certificate. Be sure to account for all delivery methods. The process includes the who, what, when, how, and with what tools.  The learner is being notified as described in the process for each delivery method used. This includes learners who **did** and **did not** meet requirements for successful completion. | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall recognize successful completion of the established criteria either through a certificate of completion or a training transcript. | Learners’ certificates, transcripts, or other method of recognition are still accurate and being issued per the 8.2 process | |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall maintain an operational recordkeeping system, including backup, for each learner and learning event, including the following:   1. Provider’s name and address. 2. Learner’s name and/or unique identification. 3. Learning event title. 4. Learning event completion date. 5. Number of the IACETCEU awarded. 6. Description of codes used, if any. | Learners’ permanent learning records show all six (6) criteria listed in column one*.* | |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have a process to maintain training records and make them available to learners for a minimum of seven (7) years. | Documented process for the maintenance and availability of training records. This includes, but is not limited to, internal instructions for record-keeping system users, including roles and responsibilities for recordkeeping. The process includes the who, what, when, how, and with what tools. | |  |  | | --- | --- | | Yes | No | | |  |
| The Provider shall have a policy for ensuring the privacy and information security of learners’ records that addresses the role of information input, maintenance, release and issuance of learners’ records following learning event completion. | Documented policy for ensuring the privacy and information security of learners’ records*.*  The policy is being communicated to learners AND personnel involved in records security and privacy are being made aware of the policy. | |  |  | | --- | --- | | Yes | No | |  |  | | Yes | No | | |  |

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| Category 8 review completed by: |  |
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| Action items to be completed by: |  |

# Category 9: Evaluation of Learning Events

| Element of the Standard | Specific Evidence You Must Have. (Be sure to reference the expanded evidence descriptions and Guidance statements in the application for each Element.) | | Requirements are Fully Met | How have you modified your policies and processes under the adjusted leadership?  Please provide a narrative. |
| --- | --- | --- | --- | --- |
| The Provider shall have a process that requires the comprehensive, systematic evaluation of the learning events. | Documented process for the systematic evaluation of all learning events. It includes the who, what, when, how, and with what tools.  Learning event evaluation is being conducted per the 9.1 process. | |  |  | | --- | --- | | Yes | No | |  |  | | Yes | No | | |  |
| The Provider shall have a process for analyzing learning event evaluation results and sharing them with instructors, instructional design and development staff, program evaluators and administrators to ensure these results are incorporated into continuous process improvement for the specific learning event and future learning events. | Documented process explaining how learning event evaluation results are analyzed AND communicated to instructors, instructional design and development staff, program evaluators and administrators. The process includes the who, what, when, how, and with what tools.  Evaluation data is being summarized according to the process.  Evaluation data is being analyzed according to the process and includes conclusions and recommendations.  Evaluation results and analysis are being communicated to instructors, instructional design and development staff, program evaluators, and administrators (per the process) | |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No |  |  |  | | --- | --- | | Yes | No | | |  |

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| Category 9 review completed by: |  |
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| Action items to be completed by: |  |

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| Signature (Position responsible for overall IACET Compliance) |  | Date |