****



**Provider Self-Assessment Checklist
ANSI/IACET 1-2018 Standard for Continuing Education and Training**

Instructions:

Please consider using the following checklist as prompts to assess your program and ensure you have the necessary policies, processes, and record-keeping in place for a successful program. Keep in mind, providers shall:



Verify necessary policies/processes are established, written and implemented when required.



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.



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.

*ANSI/IACET 1-2018 Standard for Continuing Education and Training Self-Assessment Checklist*

|  | **Standard Category**  | **Do We Have…** | **Action Needed/Taken**  |
| --- | --- | --- | --- |
| CATEGORY 1; Organization, Responsibility and Control | The Provider shall be incorporated, registered or otherwise recognized as a legal entity. | Mission statement or set of specific goals describes intent and commitment to continuing education within the organization overall Organizational chart showing position in organization responsible for compliance with ANSI/IACET 1-2018 StandardCompleted forms, worksheets, reviews/reports with metrics/data regarding course reviewsJob description for position responsible for conducting periodic review processCompany/organizational policies for employees regarding professional behavior related to discriminationCompany/organizational policies regarding proprietary interests and intellectual property rights |

|  |  |  |  |
| --- | --- | --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |  |  |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

|  |  |
| --- | --- |
| **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. |
| 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. |
| The Provider shall have a process to measure the effectiveness of its development, administration, delivery and support of its education/training. |
| The Provider shall have a periodic internal review process that ensures adherence to the current ANSI/IACET1-2018 Standard for Continuing Education and Training. |
| The Provider shall have an anti-discrimination policy statement. |
| 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.  |
| The Provider shall have a policy regarding intellectual and legal property rights for all material used in its learning event. |
|  | *Category 1 review completed by:* *Action items to be completed by:*  |
| CATEGORY 2: Learning Environment and Support Systems | The Provider shall ensure relevant instructional and learning resources are available for instructors, learners and staff.  | Completed worksheets or reports for ensuring reference material is up to date, educational materials are current and accurate, and media and media/technological resources are maintained and in good working orderClassroom/equipment/IT inspection and maintenance reports Sample notification to learners regarding minimum technology requirements for participating in a courseCommunications regarding registration, scheduling, staff/ technical support made available prior to taking a course |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

 |  |
| The Provider shall have a process to ensure learning environments support the achievement of learning outcomes. |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

|  |  |
| --- | --- |
| **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. |
| The Provider shall ensure support services are available to learners prior to, during and following the learning event.  |
| 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. |
|  | *Category 2 Review completed by:* *Action items to be completed by:* |
| CATEGORY 3: planning and Instructional Personnel | 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. | Resumes, job descriptions, credential requirements reflecting skills appropriate to assigned roles |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

 |  |
| The Provider shall have a process that requires regular performance evaluations of instructors, instructional design and development staff, program evaluators and administrators. | Records of professional development activities  |

|  |  |
| --- | --- |
| **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. |  |  |
|  | *Category 3 review completed by:* *Action items to be completed by:* |
| CATEGORY 4: Needs Analysis | 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.  | Learning event design process worksheets or planning documents Needs/audience analysis questionnaires |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

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

|  | **Standard Category**  | **Do We Have…** |  | **Action Needed/Taken** |
| --- | --- | --- | --- | --- |
| CATEGORY 5: Learning Outcomes | The Provider shall have learning outcomes that are specific and measurable, achievable, realistic and time-based. | Learning event design document |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

 |  |
| The Provider shall establish the relationship between needs analysis and planned learning outcomes. |  |  |
|  | *Category 5 review completed by:* *Action items to be completed by:* |
| CATEGORY 6: Content and Instructional Requirements | The Provider shall have a process to ensure the selected content logically supports the learning outcomes. | Learning event design documentsDevelopment draft forms or process requirementsProject planner, including dependencies and content review process |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

 |  |
| The Provider shall have a policy to review course content for quality, currency, effectiveness and applicability. | Subject Matter Expert (SME) reviews/input  |

|  |  |
| --- | --- |
| **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. | Verification of Training for Trainers |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

 |
| The Provider shall have a process for calculating and recording the IACET CEU for learning events. | Course/content outlineExample of actual calculations to determine continuing education unit awarded for completion of a course and evidence of re-calculations for revised courses |

|  |  |
| --- | --- |
| **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. | Trainer guides and learner guides demonstrating that learning outcomes are explained at the beginning of the learning event |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

 |
|  | *Category 6 review completed by:* *Action items to be completed by:* |
| CATEGORY 7: Assessment of Learning Outcomes | Assessment methods shall measure the achievement of learning outcomes. | Analysis process/planning toolsLearning event design documentAssessment activity and methodology  |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

 |  |
| The Provider shall have a process to ensure learners have achieved the learning outcomes through the learning assessment. | Communications and methods used to provide feedback to learners regarding mastery of the intended learning outcomes |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

 |
|  | *Category 7 review completed by:* *Action items to be completed by:* |
| CATEGORY 8: Awarding the IACET CEU and Maintaining Learner Records  | 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.  | Communication regarding completion and failure to complete (with possible remedy). |

|  |  |
| --- | --- |
| **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. | LMS and/or hard copies of learners’ transcripts Certificates of 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. | Written policy regarding information security protocols  |

|  |  |
| --- | --- |
| **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.
 |  |  |
| The Provider shall have a process to maintain training records and make them available to learners for a minimum of seven (7) years. |  |  |
| 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. |  |  |
|  | *Category 8 review completed by:* *Action items to be completed by:* |
| CATEGORY 9: Evaluation of Learning Events | The Provider shall have a process that requires the comprehensive, systematic evaluation of the learning events. | Learning event evaluations which include ratings for instructors’ skillsSummaries of reports, analysis and strategic plans of action/program improvements |

|  |  |
| --- | --- |
| **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. | Reports and feedback notes for individual instructors’ performance |

|  |  |
| --- | --- |
| **Yes****[ ]**  | **No****[ ]**  |

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

|  |  |  |
| --- | --- | --- |
| Signature |  | Date |