

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 (the Commission) information on the steps the provider has taken to address findings of non-compliance with the ADA CERP Recognition Standards, Policies and Procedures (ADA CERP Standards) 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 Commission. 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 Standards 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, email, name and title of person preparing the report and the date the report was prepared.
2. **COPY AND PASTE** 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 bookmark or tab each document in your report, as shown in the attached example.

It is recommended to attach the complete document, with the relevant section highlighted or circled.

If copying only an excerpt from a larger document, you must include enough of the original document to provide context, and you must indicate the name of the document or include the URL for the webpage on which the excerpt appears. It is not sufficient to include only a hyperlink or QR code to a webpage; for archival purposes you must include a screen capture of all relevant information on that page as well as the URL.

Examples of documents that could demonstrate compliance might include but are not limited to:

- Organization's mission statement and detailed, long-range goals for the provider's overall continuing education program (Standard I)
- Summary reports of data collected through needs assessment surveys or other methods used to identify your learners' educational needs (Standard II)
- Summary reports of data collected from course evaluation forms (IV)
- Completed course planning form (Standards II, VI)
- Advisory committee and/or course planning committee meeting minutes and correspondence (Standards I, II, IV, IX)
- Course syllabus, goals and learning objectives (Standard III)
- Pre- and post- tests (Standard IV)
- Instructions/guidelines to course instructors and authors (Standard VII)
- Instructor/author contracts and agreements (Standard VII)
- Instructor/author CVs (Standard VII)
- Your organization's policies regarding independence from commercial influence and balance (Standard V)
- Your organization's policies regarding commercial support and commercial activities (Standard V)
- Your organization's policies regarding conflicts of interest (Standard V)
- Conflict of interest disclosure forms completed by each member of your CE planning committee, staff and CE activity instructors (Standard V)
- Examples of how instructor's relevant financial relationships are published (Standard V)
- Signed letter of agreement for commercial support of continuing education (Standard V)
- Signed letter of agreement for joint providership of a CE activity (Standard IX)
- References for future study provided to course participants (Standards VI, IX)
- Your organization's policies stating requirements for sound scientific content (Standards VII, IX)
- Job descriptions of CE provider staff (Standard IX)
- CE program policy and procedure manual for staff and volunteers (Standard IX)
- Publicity brochures, web pages, course listings or catalogues, including information on how to register (Standard XI)
- Patient consent to treatment forms (Standard XIII)
- Checklists and/or manuals for set-up and emergency procedures for courses in which patients are treated (Standard XIII)
- Verification of participation forms (Standard XIV)

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.

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 use tabs to assist in navigating your submission and bind the copies of the progress report in 3-ring binders. Retain one copy for your records and ship three copies to:

American Dental Association
Attn: CCEPR
401 North Michigan Ave, Suite 3300
Chicago, IL 60611-4250
smithc@ada.org

The report must be received by the deadline listed in the most recent ADA CERP Decision Report.

DECISION OUTCOMES: Based on its review of the Progress Report and supporting materials, the Commission may take one of the following actions:

1. **ACCEPT REPORT:** If the Progress Report is accepted, the provider has demonstrated compliance.
2. **POSTPONE ACTION PENDING SUBMISSION OF ADDITIONAL INFORMATION:** 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. A Supplemental Report may be required, or the areas will be assessed at the time of the next application review.
3. **INTENT TO WITHDRAW RECOGNITION:** If the Progress Report does not demonstrate that the provider meets the ADA CERP Standards and the provider has not demonstrated that it has addressed the areas identified in the most recent ADA CERP Decision Report, the Commission may initiate an adverse action and may notify the provider of its intent to withdraw recognition, in accordance with the ADA CERP Procedures for an Adverse Action Against a CE Provider.

ASSISTANCE: Commission staff are available to answer questions regarding report preparation. Contact Kelli Cousins at 312-440-2869 or cousinsk@ada.org, or Chris Smith at 312-440-2887 or smithc@ada.org.

EXAMPLE

ADA CERP PROGRESS REPORT
XYZ Association for Dental Education
January 9, 2025

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 ADA 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 Standards II.1 and 4:

- 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 2024, 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 2023. 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 2025 annual conference.

LIST OF ATTACHED SUPPORTING DOCUMENTATION:

1. Needs assessment survey June 2024
2. Executive summary of June 2024 survey results
3. Summary report of suggestions for future courses obtained from 2023 course evaluation forms
4. Minutes of CE Committee's September 2024 meeting

PDF EXAMPLE WITH BOOKMARKS

