

## MEMORANDUM

<b>DATE</b>	December 27, 2018
<b>TO</b>	Licensing Committee Members
<b>FROM</b>	 Cherise Burns Central Services Manager
<b>SUBJECT</b>	Agenda Item #9 – Continuing Education Audit Process Overview

The Continuing Education (CE) Audit Process is a retrospective verification of compliance with the Board of Psychology's (Board's) CE Requirements.

The Board's current CE requirements are in Title 16 California Code of Regulations (CCR) sections 1397.60 et. seq. These sections require that licensees accrue 36 hours of approved CE for each 2-year renewal period, where a minimum of 25 percent (9 hours) must be accrued through a non-independent learning format (i.e. in person (live) or live-interactive online offerings). The Board currently recognizes and accepts for CE credit courses provided by or approved by the following entities: American Psychological Association, California Psychological Association, Association of Black Psychologists, and courses specifically applicable and pertinent to the practice of psychology provided by or approved by the California Medical Association and Accreditation Council for Continuing Medical Education (must be American Medical Association Physician's Recognition Award Category 1).

Currently, there are exemptions, exceptions, and reasonable accommodations available to licensees if they meet specified requirements: engagement in active military service, experienced a total physical or mental disability for at least one year, has total responsibility for the primary care of an immediate family member who is totally physically or mentally disabled for at period of one year, or has medical substantiation of a disability that precludes them from accruing CEs through non-independent learning formats. These must be renewed for each renewal period.

The CE Audit Process (detailed here and visually represented in Attachment A) begins with the selection of a random sample of licensees from a specified renewal period, e.g. licensees whose license cycle was from December 2014 through December 2016. This list is generated using licensee data from the BreZE system and ensures the sample of licensees is random and that the licensee was not audited for the previous renewal cycle. Note: audits in sequential renewal cycles may occur for licensees on probation and for licensees who failed their initial audit, as they are placed on a manual second audit list to ensure the CE hours used towards the Order of Abatement are not re-used for the next renewal cycle.

Once the list is generated, the selected licensees, and any probationers and second audit list licensees, are sent an initial letter via email and mail requesting their CE documentation for the specified renewal period and are given a deadline of 60 days to provide documentation. Submission of documentation via email is preferred but it can also be submitted via mail (licensees should be aware of delays and any potential mail issues that could affect compliance) or facsimile. If no documentation is received from the licensee within 30 days, a Final Reminder Notice is sent to the licensee via mail and email.

Upon receipt of the licensee's CE documentation, Board staff review the items submitted to ensure that the documentation provided verifies compliance with the Board's CE requirements. There may be interaction between Board staff and the licensee regarding the documentation provided during the audit process to obtain additional or clarifying information on the documentation. If the licensee's CE documentation complies with the Board's CE requirements, the licensee is notified via email and mail in a letter of compliance.

If the licensee does not respond to the CE audit or the licensee's documentation is out of compliance with the Board's CE requirements, the licensee is notified with a deficiency letter that indicates their nonresponse to the audit or the specific deficiencies with the CE documentation provided. Common deficiencies (in order of prevalence) are the licensee is short total hours, the licensee failed to respond to the audit, the licensee accrued hours outside of the renewal cycle, not meeting the 9-hour non-independent or "live" requirement, and CE documentation does not show that CE is approved. In Attachment B staff has provided some examples of unclear CE documentation that have created deficiencies for licensees.

After the licensee is notified of the deficiencies, the licensee is emailed and mailed a notification of an impending citation order. Citation fine amounts vary by the gravity of the deficiency (e.g. having zero CE hours is a higher penalty than being short 4 CE hours). Once the citation is issued it includes an order of abatement requiring the licensee to make-up any CE hours they were short. The citation also notifies the licensee of their ability to request an informal conference (within 10 days of receipt of the citation) and/or request a formal hearing (within 30 days of receipt of the citation) to appeal the citation. Informal conferences are held with the Executive Officer or Assistant Executive Officer to hear any mitigating evidence relating to the citation, and if appropriate, citations can be modified or withdrawn. Formal hearings are held by the Office of Administrative Law and where the final decision is voted on by the Board.

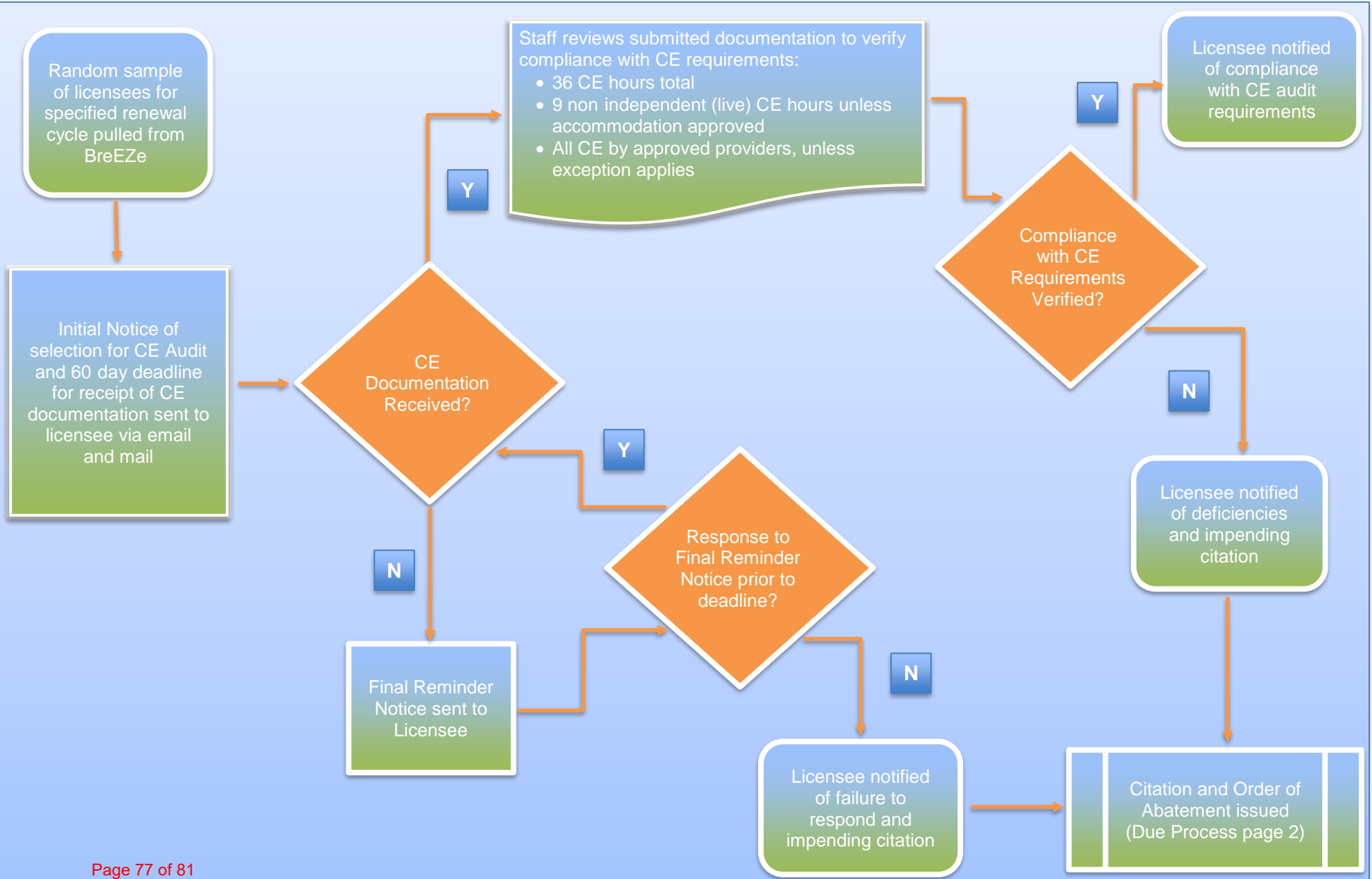
**Action Requested:**

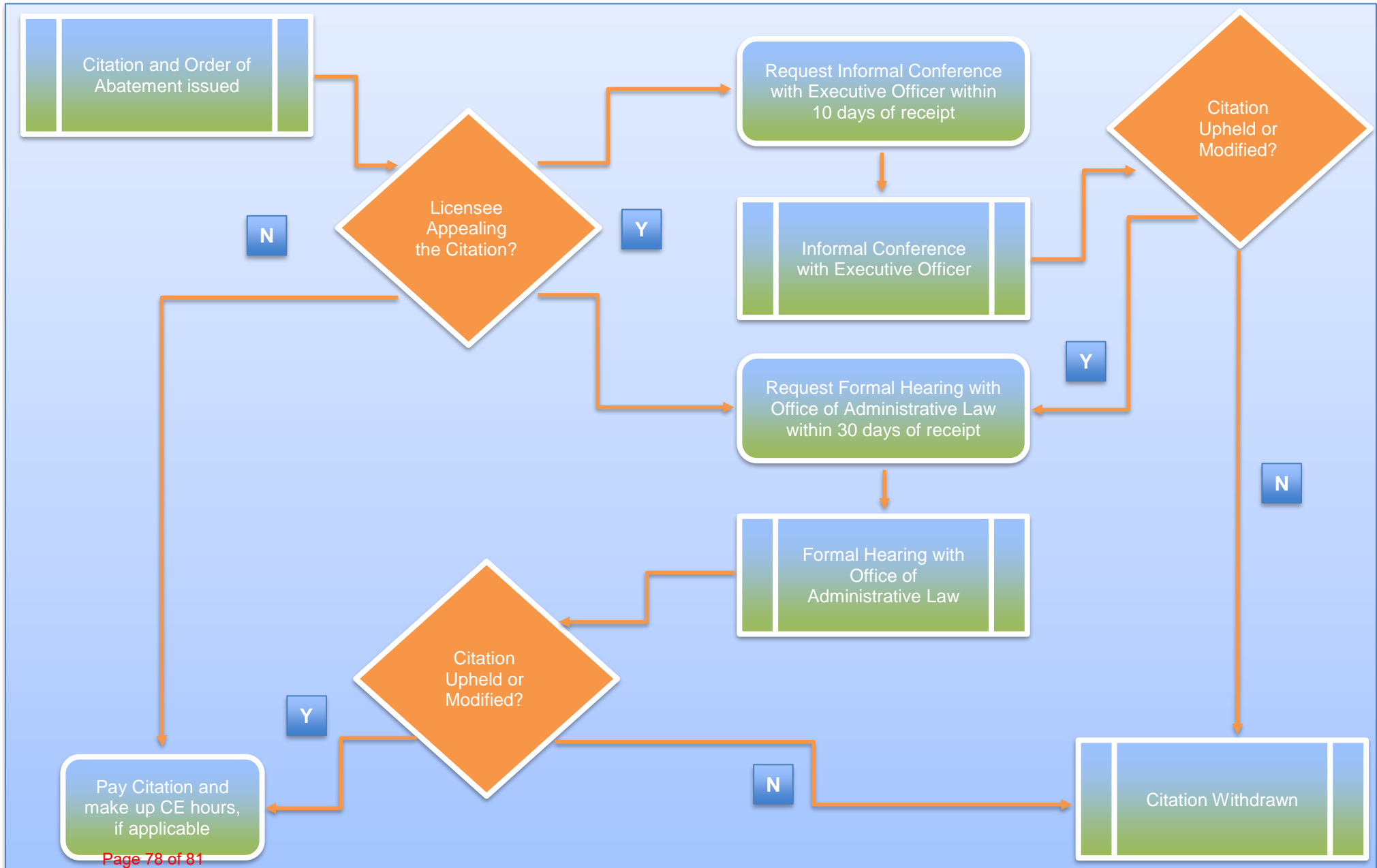
This item is for information purposes only. No action requested.

Attachment A: CE Audit Process Map

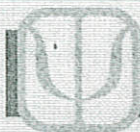
Attachment B: Examples of Unclear CE Documentation

## Attachment A: CE Audit Process Map









CALIFORNIA  
PSYCHOLOGICAL  
ASSOCIATION

The Voice of Psychology in California

# Certificate of Attendance

Name: \_\_\_\_\_

License #: \_\_\_\_\_

The above mentioned professional verifies that they attended, in its entirety, the following:

Course Title: \_\_\_\_\_

Instructor(s): \_\_\_\_\_

Contact Hours: \_\_\_\_\_

Date(s): \_\_\_\_\_

Location: \_\_\_\_\_

Authorized by: \_\_\_\_\_

*Jo Linder-Crow, PhD*

Jo Linder-Crow, PhD, Chief Executive Director



## American Psychological Association

The California Psychological Association (CPA) is approved by the American Psychological Association (APA) to sponsor continuing education for psychologists. CPA maintains responsibility for this program and its content.

## Board of Behavioral Sciences

The California Psychological Association (CPA) is a recognized and accepted provider of continuing education by the Board of Behavioral Sciences (BBS).

## Board of Registered Nurses

The Board of Registered Nurses recognizes courses given by the California Psychological Association as hour for hour Category A CE.

1231 I Street, Suite 204 • Sacramento, CA 95814 • 916 286-7979 • [www.cpapsych.org](http://www.cpapsych.org)

This CE Certificate is hard to read and is missing the year the course was taken, it only shows the month and dates of the course taken.





AMERICAN  
PSYCHOLOGICAL  
ASSOCIATION

## DOCUMENTATION OF CE CREDIT



This Documentation of Continuing Education (CE) credit certifies that you have successfully completed the following sponsored by the American Psychological Association's Office of Continuing Education in Psychology. This program has been reviewed and approved by the APA Office of Continuing Education in Psychology to offer CE credit to psychologists. The APA Office of Continuing Education in Psychology maintains responsibility for the content of the program.

**Forgiveness in Psychotherapy: Emerging Research and Clinical Applications**

**Completion Date: October 14, 2016 5:02 PM EDT**

**CE Credits: 3**

*Greg Neimeyer, PhD*

Associate Executive Director

Office of Continuing Education in Psychology

With my signature, I certify that I completed the above-named in its entirety.

Participant's Name

Participant's Signature

This CE Certificate does not indicate whether the course was distance or live. The course was a webcast, but required confirmation that it was a live-interactive webcast to count toward the live requirement.



# Certificate of Completion

*is hereby granted to:*

On

*April 7<sup>th</sup>-8<sup>th</sup>, 2016*

*For 15 units on certificate PCE5236*

*Has successfully completed the following training workshop*

**“DBT Intensive Clinical Training”**

*Presented By:*

*Alan E. Fruzzetti, Ph. D.*

*Alan E. Fruzzetti, Ph. D.*

