

## 2015/2016 Continuing Education (CE) Guidelines

### Overview

As a professional society, ASPPA recognizes the importance of the continuing educational development of its members. ASPPA has a mandatory program of Continuing Education (CE) that affects all ASPPA members who hold the following credentials:

■ QKA ■ QPA ■ CPC ■ QPFC ■ TGPC ■ APM

If you hold the FSPA or MSPA credential, or are an Enrolled Retirement Plan Agent (ERPA), and are in good standing with the IRS/JBEA with regard to meeting all required CE requirements for your related credential, you are deemed to have satisfied all ASPPA CE requirements.

ASPPA's CE program is dedicated to helping you stay abreast of developments in the retirement plan arena. ASPPA's CE requirements apply to all members who hold the credentials noted above, regardless of when the credentials were awarded.

The current CE cycle began on January 1, 2015 and will end on December 31, 2016. In order to maintain your ASPPA credential(s), you must earn 40 CE credits during this cycle (and in each future two-year cycle). Two of the 40 CE credits must be on ethics/professionalism topics. Members who hold more than one ASPPA credential need only meet the 40 CE credit requirement once per cycle.

In general, CE is based on total minutes of continuing education (50 minutes equal one CE credit). No single CE event will qualify for more than 25 CE credits (*i.e.*, there is a 25 CE credit maximum per educational event). This limit ensures that each member obtains continuing education from at least two sources every cycle. No qualifying CE event will be less than 50 minutes, and partial CE credit is allowed for programs that exceed 50 minutes.

For the initial CE cycle in which you earn your credential(s), the number of CE credits required is prorated based on the credential or date of admittance within the two-year CE cycle. The proration schedule is noted below:

- First six months of the cycle: 30 CE credits required (2 CE credits of ethics/professionalism)
- Second six months of the cycle: 20 CE credits required (1 CE credit of ethics/professionalism)
- Third six months of the cycle: 10 CE credits required (1 CE credit of ethics/professionalism)
- Fourth six months of the cycle: 0 CE credits required (0 CE credits of ethics/professionalism)

If you are a credentialed member who holds one or more of the credentials noted above and you do not earn sufficient CE credits during any CE cycle, ASPPA will suspend your credential(s) until you have completed 40 hours of CE credits (2 must be on Ethics/Professionalism) in the 24 months prior to applying for reinstatement as a credentialed member. Once reinstated, CE credits will be pro-rated as noted above. For further information, please direct your questions to the ASPPA Customer Care department at [customercare@asppa.org](mailto:customercare@asppa.org) or 1.800.308.6714.

## Reporting and Submitting CE Credits

Unless otherwise indicated, ASPPA will automatically post CE credits earned to a member's record for any ASPPA-sponsored educational activity. Please allow 60 days for online reporting form to reflect earned CE credits.

For all non-ASPPA CE categories, an ASPPA member should self-report CE credits in the online reporting form.

In order to view personalized CE Online Reporting Form, log into the [ASPPA website](#) by entering your login ID and password at the top right of the home page. Then, click on the "Members Only" tab and select the "2015/2016 CE Reporting Form" link. CE reporting is subject to audit and must comply with the ASPPA Code of Professional Conduct.

Credentialed ASPPA members should submit CE reporting form to ASPPA on or before December 31, 2015.

## ASPPA CE Guidelines Categories

**I. ASPPA-sponsored Activities II. Non-ASPPA-sponsored Activities III. Qualified In-house Training Programs IV. Qualified Study Group Programs V. Other Professional Activities**

### CE Acceptable Subject Matter Topics

All continuing education topics that promote an ASPPA member's professional development in the retirement field qualify for ASPPA CE (including non-technical topics such as marketing and advanced IT training). Broad categories include topics such as:

- Qualified Plans
- Nonqualified Plans
- Tax-Exempt & Governmental Plans
- IRAs
- Actuarial Issues
- Investments & Insurance
- Participant Issues
- Business Management, Operations & Development
- Personal Development
- Technology

### I. ASPPA-sponsored Activities

#### ASPPA Conferences

Submit an attendance verification form on-site at the end of **each** ASPPA conference session attended to obtain CE credits. This requirement includes conferences co-sponsored by ASPPA (*e.g.*, Western Benefits Conference) or its affiliates (*e.g.*, NTSAA).

### **ASPPA Web-based Education**

Register for an ASPPA webcast, webinar, podcast or webcourse and complete the required CE verification process.

- Individually attended live and recorded webcasts: Connection time tracked automatically by ASPPA (login/logout).
- Classroom setting live and recorded webcasts: Appropriate fees paid and attendee roster verified by program registrar and submitted to ASPPA office within 90 days of event.
- Individually attended recorded webcourses: Pass the accompanying online assessment to earn CE.
- Classroom Setting recorded webcourses: Appropriate fees paid and attendee roster verified by program registrar and submitted to ASPPA office within 90 days of event.

### **ASPPA, Enrolled Actuary and ERPA-SEE Examinations**

ASPPA examinations/modules, including those taken to earn the first credential, may be claimed for credits in the CE cycle in which the score is issued. Self-study time for any examination/module cannot be used for additional CE credit. CE credit for a passing examination can only be claimed once.

- Receive a score of 7, 8 or 9 on any proctored credentialing examination or a passing score on the ERPA-SEE or Enrolled Actuary examinations and receive 20 CE credits per examination.
- Receive a score of 5 or 6 on any proctored credentialing examination or Enrolled Actuary examination and receive 15 CE credits per examination.
- Receive a passing score on any ASPPA certificate program examination and receive 7.5 CE credits per examination.
- Receive a passing score on any CPC/topical educational module and receive 3 CE credits per module.

### **Other ASPPA-sponsored Activities**

- Attend a local ASPPA Benefits Council (ABC) meeting. Program outline and attendee roster verified and submitted to ASPPA office by designated ABC representative within 90 days of event. Written attendance verification retained by ASPPA member for two years.
- Successfully pass *Plan Consultant Magazine* Continuing Education Quiz (1-3 CE credits).
- Attend a weekend Enrolled Actuary review course (up to 25 CE credits).

For further information on CE credits earned for ASPPA-sponsored activities, please contact the ASPPA Customer Care department at [customercare@asppa.org](mailto:customercare@asppa.org) or 1.800.308.6714.

### **II. Non-ASPPA-sponsored Activities**

For a non-ASPPA-sponsored activity to be considered for ASPPA CE credits, the organization offering the activity must fall within the following definition of an acceptable sponsor for a non-ASPPA-sponsored activity:

- A nationally recognized professional society or other nonprofit association;
- A college or university;

- A commercial vendor; or
- A government agency.

There is no pre-approval process for non-ASPPA-sponsored activities. However, the attendee (ASPPA member) and the sponsor of the activity must comply with the guidelines and requirements.

### **Non-ASPPA Sponsor Requirements**

1. Sponsor must verify attendance of attendee in live education delivery setting by taking attendance, having attendee complete sign-in/out sheet, or using attendee scan forms/badges.
  2. Sponsor must verify attendance of attendee in recorded education delivery setting using *one* of the following methods:
    - Connection time tracked and verified by sponsor
    - Sponsor provides quiz after recorded activity. The quiz must be passed by attendee (*e.g.*, 80% correct on five-item quiz)
    - Sponsor integrates keywords into presentation that must be successfully entered by attendee
    - Sponsor integrates electronic verification attendance that attendee attest to at conclusion
- Note:** The use of recorded material, in lieu of a live speaker or instructor, is an acceptable program format provided the appropriate distribution license is secured from the vendor.
3. The subject matter covered at the program must fall within the definition of acceptable subject matter.
  4. There is no requirement that the speaker or instructor be an ASPPA credentialed member.
  5. The computation of CE credit is based on 50 minutes equals 1 CE credit. A maximum of 25 CE credits is allowed per activity.
  6. A detailed outline of the program topic(s) must be provided to each ASPPA attendee.
  7. Written attendance verification with ASPPA CE amount (or minutes attended) must be provided to each ASPPA attendee.

Provided the appropriate criteria are met, the sponsor may make the statement that its activity “is designed to meet the CE requirements of the ASPPA CE program.”

For further information on CE credits earned for non-ASPPA-sponsored activities, please contact the ASPPA Customer Care department at [customercare@asppa.org](mailto:customercare@asppa.org) or 1.800.308.6714.

### **ASPPA Member Requirements for Non-ASPPA-sponsored activities**

Written attendance verification must be retained by the ASPPA member for two years after the end of the CE cycle and self-reported on the CE online reporting form under the appropriate Non-ASPPA-sponsored activity.

### **Non-ASPPA Conferences**

Attend and self-report CE amount on online reporting form under Non-ASPPA-sponsored activity. Retain attendance verification for conference session attendance for two years after the end of the CE cycle.

### **Non-ASPPA Web-based Education**

Attend a non-ASPPA webcast, webinar, podcast or webcourse and complete the identified CE verification process of the sponsoring provider. Self-report CE amount on online reporting form under Non-ASPPA-

sponsored activity. Retain attendance verification for web-based education attended for two years after the end of the CE cycle.

### Non-ASPPA Examinations

Receive a passing score on a non-ASPPA examination that falls within the definition of acceptable subject matter and meets ASPPA Education and Examination Committee requirements. Self-report CE amount (up to 15 CE credits) on online reporting form under Non-ASPPA-sponsored activity. Member should retain examination results with CE verification for two years after the end of the CE cycle.

### III. Qualified In-house Training Programs

Qualified in-house training programs (*i.e.*, multiple employees and representatives of the same company participating in one or more training sessions) qualify for CE credit. CE credits are awarded based on the number of hours of training time devoted to acceptable subject matter topics (one CE credit for each 50minute period). A maximum of 25 CE credits may be claimed for participation in any single in-house training program completed.

There is no pre-approval process for qualified in-house training programs. However, the attendee (ASPPA member) and the sponsor of the program (*e.g.*, the employer) must comply with the guidelines and requirements.

If In-house Training is utilizing an ASPPA educational offering, please follow CE guidelines located in Section I: ASPPA-sponsored Activity.

#### Qualified In-house Training Program Sponsor Requirements

1. Sponsor must verify attendance of attendee in live education delivery setting by taking attendance, having attendee complete sign-in/out sheet, or using attendee scan forms/badges.
2. Sponsor must verify attendance of attendee in recorded education delivery setting using *one* of the following methods:
  - Connection time tracked and verified by sponsor
  - Sponsor provides quiz after recorded activity. The quiz must be passed by attendee (*e.g.* , 80% correct on a five-item quiz)
  - Sponsor integrates keywords into presentation that must be successfully entered by attendee
  - Sponsor integrates electronic verification attendance that attendee attest to at conclusion

**Note:** The use of recorded material in lieu of a live speaker or instructor is an acceptable program format provided the appropriate distribution license is secured from the vendor.

3. The subject matter covered at the program must fall within the definition of acceptable subject matter.
4. There is no requirement that the speaker or instructor be an ASPPA credentialed member.
5. The computation of CE credit is based on 50 minutes equals 1 CE credit. A maximum of 25 CE credits is allowed per activity.
6. A detailed outline of the program topic(s) must be provided to each ASPPA attendee.
7. Written attendance verification with ASPPA CE amount (or minutes attended) must be provided to each ASPPA attendee.

8. The program registrar must verify attendance and submit roster along with outline of program and CE earned to ASPPA office at [asppaCE@asppa.org](mailto:asppaCE@asppa.org) within 90 days of event.

Provided the appropriate criteria are met, the sponsor may make the statement that its program “is designed to meet the CE requirements of the ASPPA CE program.” For further information on CE credits earned for non-ASPPA-sponsored activities, please contact the ASPPA Customer Care department at [customercare@asppa.org](mailto:customercare@asppa.org) or 1.800.308.6714.

### **ASPPA Member Requirements for Qualified In-house Training Programs**

Written attendance verification must be retained by the ASPPA member for two years after the end of the CE cycle and self-reported on the CE online reporting form under Qualified In-house Training Programs.

For further information on CE credits earned for Qualified In-house Training Programs, please contact the ASPPA Customer Care department at [customercare@asppa.org](mailto:customercare@asppa.org) or 1.800.308.6714.

### **IV. Qualified Study Group Programs**

Qualified study groups (*i.e.*, attendees from multiple companies participating in local study groups that include one ASPPA credentialed member) qualify for CE credit. CE credits are awarded based on the number of hours of study group time devoted to acceptable subject matter topics (one CE credit for each 50-minute period). A maximum of 25 CE credits may be claimed for participation.

There is no pre-approval process for qualified study group programs. However, the attendee (ASPPA member) and the sponsor of the program (*e.g.*, the meeting host) must comply with the guidelines or requirements.

If Qualified Study Group is utilizing an ASPPA educational offering, please follow CE guidelines located in Section I: ASPPA-sponsored Activity.

### **Qualified Study Group Sponsor Requirements**

1. Sponsor must verify attendance of attendee in live education delivery setting by taking attendance, having attendee complete sign-in/out sheet, or using attendee scan forms/badges.
2. Sponsor must verify attendance of attendee in recorded education delivery setting using one of the following methods:
  - Connection time tracked and verified by sponsor
  - Sponsor provides quiz after recorded activity. The quiz must be passed by attendee (*e.g.*, 80% correct on a five-item quiz)
  - Sponsor integrates keywords into presentation that must be successfully entered by attendee
  - Sponsor integrates electronic verification attendance that attendee attest to at conclusion

**Note:** The use of recorded material in lieu of a live speaker or instructor is an acceptable program format provided the appropriate distribution license is secured from the vendor.

3. The subject matter covered at the program must fall within the definition of acceptable subject matter.
4. There is no requirement that the speaker or instructor be an ASPPA credentialed member.
5. The computation of CE credit is based on 50 minutes equals 1 CE credit. A maximum of 25 CE credits is



allowed per activity.

6. A detailed outline of the program topic(s) must be provided to each ASPPA attendee.
7. Written attendance verification with ASPPA CE amount (or minutes attended) must be provided to each ASPPA attendee.
8. The program registrar must verify attendance and submit roster along with outline of program and CE earned, to ASPPA office at [asppaCE@asppa.org](mailto:asppaCE@asppa.org) within 90 days of event.

Provided the appropriate criteria are met, the sponsor may make the statement that its program “is designed to meet the CE requirements of the ASPPA CE program.”

For further information on CE credits earned for non-ASPPA-sponsored activities, please contact the ASPPA Customer Care department at [customercare@asppa.org](mailto:customercare@asppa.org) or 1.800.308.6714.

### **ASPPA Member Requirements for Qualified Study Group Meetings**

Written attendance verification must be retained by the ASPPA member for two years after the end of the CE cycle and self-reported on the CE online reporting form under Qualified Study Groups.

For further information on CE credits earned for Qualified Study Group programs, please contact the ASPPA Customer Care department at [customercare@asppa.org](mailto:customercare@asppa.org) or 1.800.308.6714.

### **V. Other Professional Activities**

Other professional activities that qualify for CE credit may include the following:

- a) **Serve as a speaker** at any professional meeting when subject matter covers technical pension, actuarial or consulting topics (4 CE credits for each 50-minute speaking session; 1.5 CE credits for panel time; maximum of 10 CE credits per speaking engagement).
- b) **Publish an article** on a technical pension, actuarial or consulting topic (1 CE credit for each 50-minute period of preparation time; maximum of 10 CE credits for published document). Note: co-authors should prorate CE credits.
- c) **Serve as an instructor** for any ASPPA education course, live or Web-based. Serve as an instructor for a course sponsored by a college or university or another professional organization, live or Web-based. 4 CE credits for each 50-minute period of instruction will be granted, with a maximum of 25 CE credits per course. Note: co-instructors should prorate CE credits.
- d) **Participate on the ASPPA Education and Examination Committee.** Serve as a full-time member of ASPPA’s Education and Examination Committee, a subject matter expert (SME), examination writer, reviewer or pre-tester to ASPPA’s Education and Examination Committee (CE credits to be awarded annually by the Education and Examination Committee Chair, Vice Chair, or Technical Education Consultant, up to a maximum of 25 CE credits per year). Must submit completed **Education and Exam Committee Work Verification Form** with completed **Continuing Education Program Reporting Form**.
- e) **Participate in any other professional activities** during the current CE cycle that may qualify for CE credit. Provide information as to the type of activity, date, topic and whatever additional detail is appropriate to substantiate suggested CE credits.



**ASPPA Member Requirements for Other Professional Activities:**

1. Written verification of other professional activity must be submitted electronically by the ASPPA member to: [asppaCE@asppa.org](mailto:asppaCE@asppa.org).
2. Written verification must be retained by the ASPPA member for two years after the end of the CE cycle and self-reported on the CE online reporting form under the appropriate non-ASPPA sponsored activity.

For further information on CE credits earned for other professional activities, please contact the ASPPA Customer Care department at [customercare@asppa.org](mailto:customercare@asppa.org) or 1.800.308.6714.