Common (& Costly) CE Audit Report Mistakes  
And How to Avoid Them

The following are the most common mistakes seen in the 2015 CE Audit and the potential penalties associated with the mistakes.

1. Failure to Submit CE Audit Report and Materials by the deadline

   **OAR 858-040-0070: Failure to Comply**
   (1) A Renewal Notice and Reporting Affidavit shall be deemed timely if it is postmarked by the stated due date of the reporting year. Burden of proof of mailing is on the licensee.
   (2) A licensee whose Renewal Notice and Reporting Affidavit is not postmarked by stated due date shall pay a delinquent fee.
   (6) A licensee selected for the continuing education random audit who responds after the stated due date is subject to disciplinary action, to include but not limited to the following sanction:
      (a) Up to 30 days late: $200 delinquent fee.
      (b) Up to 60 days late: $300 delinquent fee.
      (c) Failure to respond after 60 days late: **$500 delinquent fee and the licensee’s license will be suspended** until the licensee provides a complete response documenting the licensee's compliance with the continuing education requirements.

   **Please Note:** 2016 Audit Report materials are to be postmarked no later than **June 15, 2016**

2. No Response/Insufficient Response to Request for Clarification

   **OAR 858-040-0026(4):** If a licensee fails to provide adequate documentation or submits an incomplete Audit Report, the licensee shall be so notified and granted a period of 30 days to provide the missing information.

   **858-040-0070(7):** A licensee selected for the continuing education random audit whose hours are deficient, including a licensee's failure to submit complete documentation, is subject to disciplinary action, to include but not limited to the following sanction:
      (a) Deficiency of 1 to 10 hours: **$250 fine.**
      (b) Deficiency of 11 to 20 hours: **$500 fine.**
      (c) Deficiency of 21 to 30 hours: **$750 fine.**
      (d) Deficiency of 31 to 40 hours: **$1000 fine.**
      (e) A licensee found to be deficient will be given 30 days to complete the deficient hours. Hours made up may not be double counted towards a subsequent reporting period.
      (A) If the licensee **fails to complete the deficient hours within 30 days, an additional $250 fine will be assessed,** and licensee may be subject to further disciplinary action.
      (B) If the licensee fails to complete the deficient hours within 90 days, the licensee’s license will be suspended for a minimum of 60 days.

   **Please Note:** Board staff will review CE Audit reports in a timely manner (please allow 30-60 days from the date of receipt of your Audit Report). If the review finds an Audit Report to be non-compliant with the CE requirements, or if further clarification is needed to determine compliance, a letter will be sent to the licensee. The letter will specify the non-compliant courses (or courses needing additional clarification/information), and specific remedies needed for CE reporting requirements. Licensees will have 30 days to provide clarifying information or missing documentation. If a complete and adequate response is not received within 30 days, the CE credits may be found as insufficient and result in a deficiency sanction.
3. Insufficient Credits Submitted

OAR 858-040-0015: Basic Requirements

(1) Licensees must earn at least 40 continuing education credits during the period between license renewals. Continuing education credit must be reported as follows ....

(3) All active and semi-active licensees must complete four hours of professional ethics and/or Oregon State laws and regulations related to the practice of psychology in each reporting period.

(4) All active and semi-active licensees must complete a minimum of seven hours of continuing education dedicated to the topic of pain management. This is a one-time requirement.

(a) One hour must be a course provided by the Oregon Pain Management Commission.

(b) The pain management requirement must be reported within twenty-four months of the first Renewal Notice and Affidavit.

(See #2 above for sanction grid).

Please Note: At the time of renewal, Licensees attested to having completed the minimum CE requirements for the reporting period. CE Audit Reports submitted with less than the minimum number of CE requirements are subject to sanction. If the Audit finds submitted credits to be non-compliant or ineligible based on the OARs, (i.e., outside the reporting period, content is not related to one’s role as a psychologist, or evidence of completion is not available), the CE Audit reporting hours may be deemed to be deficient and sanctions may be applied.

4. Submitting Non Qualifying Programs or Content for CE Credit

OAR 858-040-0035: Programs Which Qualify for Continuing Education Credit

Policy. Acceptable continuing education must be a learning activity which contributes directly to the professional competence of the licensee.

(1) Program Prerequisites. Continuing Education programs shall qualify for credit if:

(a) The subject matter deals primarily with substantive psychological issues, skills or Oregon laws, rules and ethical standards related to one’s role as a psychologist or psychologist associate.

(b) The program is conducted by a qualified instructor or discussion leader. A qualified instructor or discussion leader is a person whose background, training, education, or experience makes it appropriate for the person to make a presentation or lead a discussion on the subject matter; and

(c) A record of attendance, such as a certificate of completion, is obtained.

Please Note:

Qualifying Program Categories Summary (refer to OAR 858-040-0035[2] for more detail and information):

- Substantive professional development programs of recognized mental health organizations.
- Courses taken at accredited universities or colleges.
- Formally organized work place educational programs related to psychological services.
- Formally organized study groups of least two other mental health professionals in attendance.
- Supervision or Consultation received for a fee from an Oregon licensed Psychologist.
- Internet and tele-courses (home study).
- Authoring published articles or books on substantive psychological issues. 
- Lecturer: Paid or unpaid service as an instructor, discussion leader, or speaker on substantive psychological issues. Credit is allowed only for the first time a course is taught.
- Oregon Board of Psychologist Examiners member or committee volunteer.
• Ethics Committee meetings of professional associations.
• Formal trainings on office records organization, records maintenance and security procedures, or billing software instruction.

The following are samples of courses not eligible for the 2016 Audit Reporting Period:
• CE for reading journals. Credit may not be claimed for reading journal articles prior to 1/1/2015.
• CE for reading books. Credit may not be claimed for books read prior to 2/1/2016.
• Self-help courses that are not substantive psychology
• General health, nutrition, physical fitness or exercise
• Yoga, Pilates, massage courses, self-defense, martial arts
• Marketing, investments, and practice building strategies
• Word processing and other general computer skills and training
• CPR or first aid training courses
• Providing supervision to another person or serving as a consultant to an individual or organization
• Board-sanctioned supervision
• Supervision/consultation from someone who is not an Oregon licensed psychologist
• Attending public meetings
• Therapies not widely recognized as within the scope of practice of psychology
• Regular staff meetings or work place trainings not related to the practice of psychology
• Trainings on another state’s laws or rules
• Facilitating group supervision sessions
• Participating in non-CE granting online activities or electronic materials: Including video creation, writing web content, blogging, creating or watching YouTube videos, TedTalks, applications, etc.
• Internet courses without author or instructor names and qualifications. Please note: naming the authoring organization (including the VA, APA, NASW, US government agencies, etc.), does not satisfy the “qualified instructor” requirement. The name of the author(s) is required. Likewise, the name of the program director, training director, or other person in lieu of the content author/instructor will not meet the requirement.

If the Audit finds submitted content to be non-compliant for reporting purposes, the CE Audit reporting hours may be deemed to be deficient and sanctions may be applied. (See #2 above for sanction grid).

5. CE Categorical limitations for each reporting period:
OAR 858-040-0055 Credit Hours Granted:
Please Note:
• Maximum of 20 credits for home study, study group, and reading combined.
• Maximum of 20 credits for lecturer and published material combined.
• Maximum of 4 credits for reading up to 16 peer-reviewed articles (read after 01/01/2015)

These are maximum qualified hours in these categories for CE reporting requirements, only. There are no minimum CE credits required for home study, study group, lecturer, or published materials. There is no maximum credit limit for qualifying academic courses or in-person trainings, seminars, or conferences. If the Audit finds submitted content to be reliant upon
more than the maximum number of CEs for reporting periods, the CE Audit reporting hours may be deemed to be deficient and sanctions may be applied. (See #2 above for sanction grid).

6. CEs earned outside the reporting period
OAR 858-040-0015: Basic Requirements
(1) Licensees must earn at least 40 continuing education credits during the period between license renewals.

CEs earned prior to or after Licensee’s 2013-2015 reporting period would be deficient and sanctions may be applied. (See #2 above for sanction grid).

7. Insufficient Evidence of Completion
OAR 858-040-0065: Evidence of Completion
(1) Evidence of completion must be retained by the licensee for a minimum of two years after the reporting period.
(2) Responsibility for documenting the acceptability of the program and the validity of credit rests with the licensee.

Summary of Evidence of Completion: (refer to OAR 858-040-0065 for more detail and information)
- For academic credit: a copy of the transcript.
- Seminars, trainings, online courses, home study programs, work place programs, etc.: Certificate of attendance. **Documentation must at minimum show the qualified instructor(s)’s name and degree, date, start and end time, and subject matter of the program.** Please note: The name and qualifications of the presenter, instructor or author(s) is required. Naming the authoring organization (e.g., VA, APA, NASW), does not satisfy the “qualified instructor” requirement. Likewise, the name of the program director, training director, or other person in lieu of the content author/instructor will not meet the requirement.
- A copy of the **study group meeting record** (not agenda) for study groups.
- For writing credit: published material or reading books or journal articles: a copy of pertinent pages of the material showing the article/chapter title (if applicable), book/journal name, author(s), and date of publication.
- (g) For lecturer credit: a copy of the course syllabus, conference brochure, workshop flier, program schedule or signed verification from the sponsor. Documentation must at minimum show the licensee’s name as the lecturer, date, start and end time, and subject matter.

CE credits submitted without adequate evidence of completion would be deficient and sanctions may be applied. (See #2 above for sanction grid).

8. Incomplete or inaccurate completion of the CE Audit Report Table
Qualifying CE programs are to be listed in chronological order, with supporting documentation organized in corresponding order. All of the fields are required for each activity listed. Separately list program titles for multi-session or multi-day activities such as conferences.