



Association of Social Work Boards

ACE Resource

Record Keeping Requirements

REQUIRED RECORDS

Approved providers are required to collect and maintain the following records.

ACE approved providers must submit summaries of some of these records at the time of approval renewal and/or as requested by ASWB.

Personnel records must be kept for continuing education directors and social worker consultants (paid or volunteer). Course, co-sponsorship, personnel, instructor and participant information must be maintained for seven years.

- Organizational information
 - CE Director, SW Consultant, contact information, resume, licensure information
 - Mailing & physical addresses
 - Organizational structure
 - Organizational changes (Submit as changes occur)

The following information must be maintained accurately. In the case of a grievance, complaint or disciplinary action, it may be necessary for ACE or another qualified entity to request a record.

- Co-sponsored events, including co-sponsoring agreements (Submit summaries at renewal)
- Co-sponsorship agreement (Submit along with sample course)
- Instructor information for each course offered (Submit summaries at renewal)
- Participant attendance (# attendees, professions, # social workers; submit summaries at renewal)
- Social worker attendance (Submit summaries at renewal)
- Participant evaluation summaries (Submit summaries at renewal)
- Number of credits issued for each course (Submit summaries at renewal)
- Grievance policy
 - Grievances and resolutions (Submit incident summaries at renewal)
 - Requests made for accommodations for persons with disabilities and such services provided to participants (Submit summaries at renewal)

Criterion 4 RECORD KEEPING (Excerpt from ACE Provider Guidelines)

ACE approval status is contingent on providing ASWB with a summary report(s) for review and approval by the ACE Committee at the end of the first approval year, and every three years thereafter (e.g. for extension of provider approval). The ACE provider must allow participants access to information about their course participation.

The following information must be maintained by the provider for at least seven years:

- Personnel records must be kept for continuing education directors and social worker consultants (paid or volunteer). Names and resumes of continuing education directors and social work consultants*
 - Participant name, profession
 - Course title, date, location and credits awarded
 - Course outline/syllabus and learning objectives
 - Course instructor's qualifications and professional affiliations
 - ADA requests and services provided
 - Grievances and resolutions
 - Course evaluations
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ACE providers must allow full access to this information (as defined under applicable state/province and federal laws) upon request by ASWB. The ACE Committee retains the right and authority to audit and/or monitor programs and review provider records and course materials. All audit requests must be met within 21 days of receipt of request.

Records (Excerpt from ACE Provider Approval application 8-08)

<p>1. Personnel records must be kept for continuing education directors and social worker consultants (paid or volunteer)</p> <p>Describe how personnel records for continuing education directors, social worker consultants and instructors are:</p> <p>a. Maintained</p> <p>b. Who has access to the records?</p> <p>c. Where records are stored</p> <p>d. How destroyed (and within what time period)</p>
<p>2. Describe how participant data is collected (on website or by other methods).</p>
<p>3a. Describe how participant data is stored.</p>
<p>3b. Describe how participant information is maintained in a secure, confidential manner.</p>
<p>4. Describe how participant data is used.</p>
<p>5. Describe the steps a participant must follow to receive copies of these stored records.</p>
<p>6. Does organization have the capability to respond to an audit of records by ASWB within a twenty-one day period?</p>
<p>7. Describe how participants register for your courses, or purchase courses or information. Include explanation of website security and encryption of personal information online.</p>

ACE Provider RENEWAL CHECKLIST

- Renewal fee
- Completed renewal application, plus collated supporting materials
- Resume of Continuing Education Director
- Resume of Social Work Consultant
- Instructor bios
- Summaries of participant numbers
- Summaries of social worker participant numbers
- Summaries participant evaluations
- Statement of policy for accommodating individuals with disabilities
- Requests and responses from individuals with disabilities
- Co-sponsorship Agreement (if applicable)
- Needs/Interest Survey
- Outline or Syllabus for each sample course
- Promotional Materials
- Home Study Learning Assessment
- Sample Participant Certificate of Completion
- Sample Participant Learning Evaluation
- Sample Participant Satisfaction Assessment