

CE APPROVERS, CE TRACKERS,  
AND CE TRANSFERORS:  
GENERAL INFORMATION, INSTRUCTIONS, AND  
FORMS FOR ARRT® RECOGNITION



THE AMERICAN REGISTRY  
OF RADIOLOGIC  
TECHNOLOGISTS®

The American Registry of Radiologic Technologists (ARRT)  
1255 Northland Drive, St. Paul, MN 55120

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## OVERVIEW

An ARRT-recognized CE Approver, CE Tracker, or CE Transferor is a medical imaging or radiation therapy-based entity (i.e., organization or state licensing agency) that provides services to assist R.T.s in meeting ARRT's education requirements. ARRT recognition of an entity as a provider of these services is determined through an initial recognition process and a periodic re-recognition process.

This document extracts information relevant to the recognition process from the *ARRT® Education Requirements for Obtaining and Maintaining Certification and Registration and ARRT Stakeholder* documents. All questions regarding ARRT's recognition process should be directed to: ARRT CE Partner Recognition Administrator, 1255 Northland Drive, St. Paul, MN 55120-1155, 651-687-0048.

## ROLES RELATED TO CE

Briefly, a CE Approver evaluates learning activities to determine if the activities meet ARRT's requirements and assigns a CE credit value to the activities if they do. A CE Tracker maintains records of CE activities completed by individuals after first verifying activity completion. A CE Transferor electronically submits to ARRT the records of completed CE activities that the entity has tracked for individuals. CE Sponsors develop learning activities intended to be used by R.T.s to fulfill ARRT educational requirements. This document does not address the requirements for CE Sponsors. A given entity may act as a CE Sponsor, CE Approver, CE Tracker, or CE Transferor or a combination of these roles. Only certain combinations are allowed by ARRT recognition criteria. For example, in order to be a CE Transferor, the entity must also be a CE Tracker.

## RECOGNITION PROCESS

The materials for requesting ARRT recognition are included in this document. All sections of Part 1 (Contact Information) and Part 3 (Statement of Understanding) must be completed by all entities seeking recognition for any of the roles. Only those sections of Part 2 (Recognition Criteria) corresponding to the recognitions being sought at this time (i.e., CE Approver, CE Tracker, CE Transferor) should be completed. The CE Approver section has separate materials for State Licensing Agencies (SLA) and for organizations since the recognition criteria differ slightly.

Part 2 (Recognition Criteria) requires that explanations of how the entity meets the recognition criteria as well as documentation supporting the explanation be submitted to ARRT. The documents submitted may include public documents as well as internal documents. Distribution of the submitted materials will be restricted to ARRT Trustees and select ARRT staff involved in the review process. ARRT will not disclose information submitted by an entity as part of the recognition process to any third person without the written consent of the submitting entity. You should keep a copy of all materials submitted to the ARRT for reference.

## **LETTER OF INTENT**

Entities should send a letter to ARRT indicating intent to submit recognition materials at least 30 days prior to submitting the recognition materials. The letter of intent allows ARRT to plan for the documentation review and establish a restricted access library on the SharePoint site for submission of materials. Entities that submit materials without having sent a letter of intent will be scheduled for review after those that did submit a letter. ARRT reserves the right to delay the review of materials to the next review cycle.

## **FEES**

There is no fee for requesting ARRT recognition as a CE Approver, CE Tracker, and/or CE Transferor. However, there is a \$250 fee to appeal decisions to not recognize the entity to perform a role. The appeal process is explained later in this document.

## **SUBMISSION FORMAT**

The information to be submitted should be keyed into the WORD template document available from ARRT. Completed forms and all supporting documents (formatted as PDFs) must be uploaded onto the CE Consensus SharePoint Site. Each entity will have their own library on the SharePoint site with restricted access to maintain confidentiality.

A sequential number must be affixed to each document submitted in support of the explanation of how the entity meets the recognition criteria in order to make location of the document convenient. ARRT reviewers will not search documents for the evidence that supports the explanation. For each recognition criterion that requires documentation supporting the explanation there is space to record the number of the document and the page number where the information may be in the document (e.g., see document #\_\_\_\_, page(s)\_\_\_\_).

If there are no existing documents to corroborate compliance with a recognition criterion, the reason why no documentation exists must be provided in the explanation.

## **SUBMISSION DEADLINES**

Recognition materials should be submitted no later than March 31 for review at the following July Board of Trustees meeting or no later than September 30 for review at the following January meeting.

## **RECOGNITION DECISIONS**

Entities will be informed of recognition decisions no later than 30 calendar days after the conclusion of the Board meeting at which the decision is made. The ARRT may approve or deny some or all roles requested (i.e., CE Approver, CE Tracker, CE Transferor).

The ARRT Board has established the following possible decisions for recognition:

- Recognition awarded as requested by the entity
- Recognition awarded as requested by the entity, pending completion of required tasks
- Recognition awarded for some functions requested by the entity

- Deferred Decision
  - The Board may defer the decision to recognize an entity, pending receipt and review of additional information provided by the entity requesting recognition. Deferral of a decision will be for all functions being requested by the entity
- Decision not to recognize
  - An entity that is denied recognition for any or all of the roles in which they are requesting recognition may submit a written request for reconsideration of the decision. The request must indicate the specific reasons the decision is being contested, the basis upon which the decision is being contested, and must be accompanied by a \$250 appeal fee. An entity is given only one opportunity to request reconsideration of the Board's decision. Appeal letters and fee must be postmarked within 30 calendar days of the postmark date on the envelope in which notification of non-recognition arrives. Should the request for reconsideration be granted, the entity should be prepared to supply an action plan to address each issue that resulted in the Board's decision not to recognize

### **VOLUNTARY WITHDRAWAL OF RECOGNITION**

If a currently recognized entity no longer wishes to maintain ARRT recognition as a CE Partner, they may submit a letter, on the entity's letterhead, to ARRT as notification of voluntary withdrawal of recognition. The letter should include the functions (CE Approver, CE Tracker, or CE Transferor) in which the entity is currently recognized and requesting to withdraw. While some or all functions may be withdrawn, in order to be a CE Tracker, the entity must also be a CE Approver and to be a CE Transferor the entity must also be a CE Tracker.

**PART 1: CONTACT INFORMATION**

<b>Name of Entity</b>	
<b>Name of Contact Person</b> *Responsible for submission follow-up	
<b>Mailing Address</b>	
<b>Email</b>	
<b>Phone</b>	
<b>Fax</b>	
<b>Website</b>	

Note: Entities are responsible for maintaining current contact information.

## PART 2: RECOGNITION CRITERIA AND DOCUMENTATION

Part 2 includes separate sections for requesting recognition as a CE Approver, a CE Tracker, and/or a CE Transferor. The CE Approver Section (2.1) is split into two subsections corresponding to the two types of entities (i.e., organizations and state licensing agencies).

Section 2.1A must be completed by entities (i.e., all organizations that are not state licensing agencies) that wish to be recognized as a CE Approver.

Section 2.1B must be completed by state licensing agencies that wish to be recognized as a CE Approver.

Section 2.2 must be completed by any entity (i.e., organization or state licensing agency) that wishes to be recognized as a CE Tracker.

Section 2.3 must be completed by any entity (i.e., organization or state licensing agency) that wishes to be recognized as a CE Transferor.

**Note that in order to be a CE Tracker, the entity must also be a CE Approver and to be a CE Transferor the entity must also be a CE Tracker.**

## 2.1 CE APPROVER

Individuals seeking to obtain or maintain certification and registration with ARRT are required to complete continuing education (CE) activities that are approved by an ARRT-recognized CE Approver or must complete education activities through an academic institution that meets ARRT requirements, or must earn advanced CPR certification.

A CE Approver is an entity that is recognized by ARRT to review CE activities and determine whether the activity meets ARRT requirements and if so, determine the credit value to be awarded for completing the activity. The entity recognized by ARRT as a CE Approver may be an organization that meets ARRT's recognition criteria (see 2.1A) or a unit of a state responsible for administering the state's licensing law(s) for medical imaging and/or radiation therapy.

The CE Approver also is responsible for evaluating the content, quality, and integrity of an educational activity. The evaluation must include a review of educational objectives, content selection, faculty qualifications, and educational methods and materials. All CE activities completed to comply with the ARRT CE Requirements must meet the ARRT's definition of a CE activity. The definition states that a learning activity must be planned, organized, and administered to maintain and enhance the professional knowledge and skills underlying the professional performance that an R.T. uses to provide services to patients, the public, or the medical profession. Activities meeting this definition may qualify as either Category A or A+ credit, depending upon the nature of the activity and the scope for which the CE Approver is recognized. A CE Approver may be recognized to evaluate CE activities relevant to one or multiple disciplines. CE Approvers must have access to expertise via a staff member, volunteer, or consultant for each subject area that the entity will evaluate for awarding CE credits. All recognized CE Approvers can award Category A credits. Only entities recognized to approve CE activities intended for radiologist extenders may award Category A+.

The CE Approver is responsible for continued monitoring of the procedures used by CE Sponsors for approved CE activities to verify participation by individuals in an activity. The CE Approver is responsible for verifying that the CE Sponsor is using the CE activity as it was intended and approved (e.g., A CE activity must be reapproved if the CE activity type changes). The CE Approver shall sample a minimum of 10% of CE activities they annually approve to document compliance with this standard. The audit should consist of the CE Partner sampling the post-approval documents (examples include: Attendance rosters, sample CE certificates, post-test requirements for passing) and compare the information to the approval documents (examples include: outline, objectives, activity type, post-test questions) previously submitted by the CE sponsor(s), to verify compliance with ARRT requirements. The ARRT may periodically request documentation from the CE Approver to verify compliance with this policy. The ARRT may censure the CE Sponsor and/or the CE Approver when ARRT's policies are not followed.

CE Approvers must provide ARRT with an annual report form which includes a report of the entity's audit on CE activities they have approved. If an enforcement issue comes to a CE Approver's attention, the CE Approver will notify ARRT immediately when the issue is identified. The CE Approver may request assistance from ARRT in investigating the situation if the problem is not easily addressed by the CE Approver.



**2.1A CE APPROVER: Organizations Only (All organizations that are not state licensing agencies)**

An organization (not a state) that is recognized by ARRT as a CE Approver with a scope of only Category A credits is known as a RCEEM. An organization that is recognized by ARRT as a CE Approver with a scope that includes both Category A credits and Category A+ credits is known as a RCEEM+. The organization must agree to perform the responsibilities noted in Section 2.1 (CE Approver).

2.1A.1 Is the organization willing to accept responsibility for the role of a CE Approver as summarized in section 2.1 of this document?

Yes  
 No

2.1A.2 Is the organization seeking to be recognized as a RCEEM or a RCEEM+?

RCEEM only (Category A credits)  
 RCEEM+ (Category A and A+ credits)

2.1A.3 The organization must be national in scope.

Explain how the organization meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: website content, governing documents

2.1A.4 The organization must be incorporated as a not-for-profit/non-profit.

Explain how the organization meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: Federal and/or state tax exemption documentation, Articles of Incorporation

2.1A.5 The organization must fill a need for an additional RCEEM or RCEEM+.

Explain how the organization meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: analysis of industry needs and identification of underserved technologist populations

- 2.1A.6 The organization must have expertise in medical imaging and/or radiation therapy.  
Explain how the organization meets this criterion:  
Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_  
Examples of supporting documentation: website content, governing documents
- 2.1A.7 The organization must have sufficient resources and experience to provide for reliable and valid evaluation of CE activities.  
Explain how the organization meets this criterion:  
Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_  
Examples of supporting documentation: description of organization’s commitment to providing the service, financial resources, staffing resources, technology resources
- 2.1A.8 The organization must be willing to evaluate CE activities in at least one given discipline or focus.  
Explain how the organization meets this criterion:  
Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_  
Examples of supporting documentation: website content, governing documents, organization policies and procedures
- 2.1A.9 Confirm which types of continuing education activities the organization is seeking recognition to approve.  
Complete Appendix A (Continuing Education Activity Types and Subject Area) to designate which type(s) of continuing education activities and subject area(s) the organization will be responsible to evaluate and approve for Category A or A+ credit.
- 2.1A.10 The organization must have documented policies and procedures for use in evaluating CE activities.  
Explain how the organization meets this criterion:  
Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_  
Examples of supporting documentation: website content, policy and procedure manuals (e.g., permission of use or copyright), request for approval packet completed by CE Sponsors.

2.1A.11 The organization must have a process to assign a unique identifier (i.e., reference number) to identify each CE activity that it approves.

Explain how the organization meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedure manuals, criteria for generating electronic reference numbers that contain an acronym unique to the entity, examples of reference numbers

2.1A.12 The organization must monitor CE Sponsor compliance with ARRT requirements. (ARRT should be notified at the time a CE sponsor is found non-compliant)

Explain how the organization meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedure manuals, sample audit (e.g., attendance rosters, sample CE certificates, post-test requirements for passing) documentation and feedback communications with CE Sponsors

2.1A.13 The organization must have a mechanism to remediate situations in which a CE sponsor is non-compliant with policies.

Explain how the organization meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedure manuals (e.g., contact ARRT with non-compliant CE Sponsors), sample audit documentation and feedback communications with CE Sponsors, follow-up action plan to be used to monitor compliance

2.1A.14 The organization must have a mechanism to maintain CE approval records. Include in the explanation if record retention is a paper or electronic process and how long approval records are maintained.

Explain how the organization meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedure manuals

2.1A.15 The organization must monitor the CE Sponsor’s presentation evaluations, attendance, and CE participation documentation.

Explain how the organization meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedure manuals, sample survey results (e.g., speaker and presentation evaluations), and feedback communications with CE Sponsors

**2.1 B CE APPROVER: State Licensing Agencies (SLA) Only**

A State Licensing Agency (SLA) is not considered a RCEEM or RCEEM+ but may be recognized by ARRT as a CE Approver to evaluate and assign credit to activities that meet requirements of Category A credits and only for individuals who complete CE as part of their licensing requirements for that state.

The SLA must agree to perform the responsibilities noted in Section 2.1 (CE Approver) and in addition, the state must meet the following criteria:

- There must be legislation that requires individuals to complete CE in order to maintain a state license to practice in that state;
- Only individuals who are licensed in the state at the time they completed the CE activities approved by the state may count the activity as Category A. Other individuals completing the activity will receive no credit unless the activity is also RCEEM or RCEEM+ approved. The intended audience (licensees) and not the location where the CE activity occurred determines who may claim CE credit for completing the activity;
- The state licensing agency may contract with an external entity to perform the CE Approver role but the state remains responsible for assuring that the responsibilities are met. The state must regularly review the CE evaluation policies and procedures of the contracted entity to assure they continue to meet ARRT requirements;
- If the state contracts with another entity to perform the CE Approver role and the entity is not a RCEEM, RCEEM+, or another SLA, the entity may award Category A credit for state licensing purposes only.

2.1B.1 Is the state willing to accept the responsibilities of a CE Approver as summarized in section 2.1 of this document?

Yes  
 No

2.1B.2 Is the state seeking to be recognized as a CE Approver of Category A CE credits only to individuals licensed in the state?

Yes  
 No

2.1B.3 The applying unit of the state must be authorized through state regulations with evaluating CE activities.

Explain how the state meets this criterion:

Documents supporting the explanation: document # \_\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: state regulation documents designating the applying unit of the state as being responsible for evaluating CE activities for the purpose of meeting state licensing requirements.

- 2.1B.4 Is the state contracting with an external entity to perform the CE Approver role, including monitoring services on its behalf?

\_\_\_\_\_ Yes

\_\_\_\_\_ No

- 2.1B.5 If the state is contracting with an external entity, the state must accept responsibility for monitoring compliance of the contracted entity with ARRT requirements.

Explain how the state meets this criterion:

Documents supporting the explanation: document #\_\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: a copy of the current contract between the state and designated entity, Appendix B to provide the contact information

- 2.1B.6 The state, or their contracted entity, must have expertise in medical imaging and/or radiation therapy.

Explain how the state meets this criterion:

Documents supporting the explanation: document #\_\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedures manuals, job descriptions and resumes or curriculum vitae of CE evaluators

- 2.1B.7 The state, or their contracted entity, must monitor CE Sponsor compliance with ARRT requirements. (ARRT should be notified at the time a CE sponsor is found non-compliant)

Explain how the state meets this criterion:

Documents supporting the explanation: document #\_\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedures manuals, sample audit (e.g., attendance rosters, sample CE certificates, post-test requirements for passing) documentation and feedback communications with CE Sponsors

- 2.1B.8 The state, or their contracted entity, must have sufficient resources and experience to provide for reliable and valid evaluation of CE activities.

Explain how the state meets this criterion:

Documents supporting the explanation: document # \_\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: description of state or contracted entity's commitment to providing the service, financial resources, staffing resources, technology resources

- 2.1B.9 The state, or their contracted entity, must be willing to evaluate CE activities developed in at least one discipline or focus.

Explain how the state meets this criterion:

Documents supporting the explanation: document # \_\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: website content, governing documents, state or contracted entity's policies and procedures

- 2.1B.10 Confirm which types of continuing education activities and subject areas the state, or their contracted entity, is seeking recognition to approve.

Complete Appendix A (Continuing Education Activity Types and Subject Area) to designate which types of continuing education activities and subject area(s) the state, or their contracted entity, will be responsible to evaluate and approve for Category A credit.

- 2.1B.11 The state, or their contracted entity, must have policies and procedures for use in evaluating CE activities.

Explain how the state meets this criterion:

Documents supporting the explanation: document # \_\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: website content, policy and procedure manuals (e.g., permission of use or copyright), request for approval packet completed by CE Sponsors

- 2.1B.12 The state, or their contracted entity, must have a process to assign a unique identifier (i.e., reference number) to identify each CE activity that it approves.

Explain how the state meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedures manuals, criteria for generating electronic reference numbers that contain an acronym unique to the entity, examples of reference numbers

- 2.1B.13 The state, or their contracted entity, must have a mechanism to remediate situations in which a CE sponsor is non-compliant with policies.

Explain how the state meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedures manuals (e.g., contact ARRT with non-compliant CE Sponsors), sample audit documentation and feedback communications with CE Sponsors, follow-up action plan will be used to monitor compliance

- 2.1B.14 The state, or their contracted entity, must have a mechanism to maintain CE approval records. Include in the explanation if record retention is a paper or electronic process and how long approval records are maintained.

Explain how the state meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedures manuals

- 2.1 B.15 The state, or their contracted entity, must monitor the CE Sponsor's presentation evaluations, attendance, and CE participation documentation.

Explain how the state meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedures manuals, sample survey results (e.g., speaker and presentation evaluations), and feedback communication with CE Sponsors



## 2.2 – CE TRACKER REQUIREMENTS

R.T.s are required to maintain proof of participation in CE activities. R.T.s must submit information to ARRT documenting compliance with the CE requirements on or before the end of their CE biennium reporting period. An R.T. may decide to have documentation maintained by an ARRT-approved CE Tracker. Several national societies perform the role of CE Tracker either as a service to their members or at a fee to non-members.

A CE Tracker maintains records of CE activities completed by individuals after first verifying activity completion.

Criteria for recognition as an ARRT-approved CE Tracker include:

- The entity (i.e., organization or state licensing agency) must be an ARRT-recognized CE Approver in order to be considered for recognition as a CE Tracker.
- The entity may be approved to track CE completion records of the CE activities for which it is the CE Sponsor. In addition, it may record the CE activities of other CE Sponsors if those activities were approved through the entity's CE approval process. SLAs, or their contracted entity, may keep records of the CE activities completed by its licensees. The activities are approved by the SLA, or their contracted entity, for licensing purposes only.
- If the organization is an ARRT-recognized RCEEM or RCEEM+ (not an SLA), the organization seeking recognition may be approved to keep records for any approved CE activities, regardless of which CE Approver approved the activities. Completion records tracked for activities approved by another CE Approver must be maintained as recorded on the completion documentation (i.e., reference number, title, provider, credits match documentation of completion).
- The entity will be responsible for verifying CE participation through review of 100% of CE participation documents and for maintaining participation documents.
- The CE Tracker will be responsible for assisting ARRT with audit procedures and investigations as requested.

Some entities may keep CE participation records for their members or individuals participating in a CE activity approved or sponsored by the entity. As an additional service, the entity may then provide a report to the individuals to assist with the CE documentation requirements for complying with ARRT's education requirements. If the entity produces a record printout or transcript for individuals to submit to demonstrate compliance with CE requirements, the printout or transcript format must be approved by ARRT prior to acceptance.

2.2.1 Is the entity seeking recognition as a CE Tracker? What type of CE activities does the entity wish to be recognized to track? **(select one of the following)**

\_\_\_\_ ONLY the CE records for CE activities the entity sponsors or for those activities that were approved through the entity's approval process.

\_\_\_\_ CE records for any approved CE activities, regardless of which CE Approver (or SLA's contracted entity) approved the activities.

2.2.2 If the entity will be providing a record printout or transcript for individuals to submit to demonstrate compliance with CE requirements the printouts must contain: individual's name, date of completion (MM/DD/YYYY), activity title, number of credits earned, category of credit, activity expiration date (MM/DD/YYYY), CE Sponsor/Provider, activity reference number, and authorized signature of CE Tracker.

Explain how the entity meets this criterion (If not providing printout or transcript indicate this):

Documents supporting the explanation: document # \_\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedures manuals, description of electronic storage redundancy

2.2.3 The entity must have a reliable mechanism to maintain CE participation records.

Explain how the entity meets this criterion (Include if record retention is an electronic or paper process and how long records maintained):

Documents supporting the explanation: document # \_\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedures manuals, description of electronic storage redundancy

2.2.4 The entity must have a mechanism to verify attendance and documentation of CE participation.

Explain how the entity meets this criterion:

Documents supporting the explanation: document # \_\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedures manuals, sample audit documentation and feedback communications with CE Sponsors

2.2.5 The entity must have a procedure to monitor CE Sponsor(s) compliance with ARRT requirements. (ARRT should be notified at the time a CE sponsor is found non-compliant.)

Explain how the entity meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedures manuals, sample audit documentation and feedback communications with CE Sponsors

2.2.6 The entity must have a mechanism to remediate situations in which a CE sponsor is non-compliant with policies.

Explain how the entity meets this criterion (Include how a follow-up action plan will be used to monitor compliance in the future):

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: sample audit documentation and feedback communications with CE Sponsors

## 2.3 – CE TRANSFERORS

An ARRT-recognized CE Transferor electronically submits to ARRT the records of completed CE activities that the entity has tracked for individuals.

Criteria summary for recognition as a CE Transferor include:

- The entity must be an ARRT-approved CE Tracker;
- The entity must have established quality control processes to monitor transfers and to assist ARRT with investigations of transfer errors;
- The CE record being transferred must include only CE that meets ARRT’s requirements for acceptable CE;
- The CE credits being transferred must be completed within an ARRT designated time frame (e.g., daily, weekly, bi-weekly) to meet one or more of ARRT’s education requirements;
- The CE information that is transferred must include the individual’s complete identification information (name, birth date, and ARRT ID number), reference number, activity title, CE Sponsor/Provider, date of completion (MM/DD/YYYY), Category A or A+ designation, and amount of credits that match documentation of participation [Note: CQR allows discontinued individuals to participate];
- The CE records being transferred must be of sufficient volume to justify the effort;
- Only Category A and A+ credits will be accepted for transfer;
- The entity must have the technical capability to electronically transfer CE records to the ARRT via secure FTP or develop a webservice/API;
- The entity must agree to stay compliant with ARRT mechanisms and tools for data transfers;
- The entity must be willing to participate in testing the transfer process prior to recognition.

2.3.1 Is the entity seeking recognition as a CE Transferor?

\_\_\_\_ Yes, the entity is seeking to electronically submit to ARRT the records of completed CE activities that the entity has verified and tracked for individuals.

2.3.2 Describe the entity's motivation for seeking recognition as a CE Transferor.

Explain why the entity wishes to serve as a CE Transferor:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: website content, governing documents, mission and vision statements, customer service philosophy

2.3.3 The CE records to be transferred must be of sufficient volume to justify the effort.

Explain how the entity meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: description and proof of technical capabilities and resources

2.3.4 The entity must have the technical capability and resources to electronically send ARRT CE records via secure FTP or develop a webservice/API. (See Appendix C – Technical Requirements)

Explain how the entity meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: description and proof of technical capabilities and resources

2.3.5 The entity must have sufficient resources and technical capability to electronically transfer CE records consistently and accurately and must be willing to participate in testing the transfer process prior to recognition.

Explain how the entity meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: description and proof of technical capabilities and resources, policy and procedures indicating quality assurance methods to monitor transfers and transfer schedules

- 2.3.6 The entity must have a mechanism to verify that the CE records transferred to ARRT will only include CE that meets ARRT's requirements for acceptable CE.

Explain how the entity meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedure manuals, transfer file requirements, printout sample of transfer record

- 2.3.7 The CE information that is transferred must include, at a minimum, the individual's identification (i.e., name, birth date, and ARRT ID number), CE activity reference number, activity title, CE Sponsor/Provider, date of completion (MM/DD/YYYY), Category A or A+ designation, and amount of credits that matches documentation of participation. [Note: CQR allows discontinued individuals to participate.]

Explain how the entity meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedures manuals, transfer file requirements, printout sample of transfer record

- 2.3.8 The entity must have policies and procedures to comply with ARRT's CE requirements for evaluating and approving CE activities.

Explain how the entity meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: website content, governing documents, policy and procedure manuals

- 2.3.9 The entity must have a records retention policy and procedure in place that is consistent with ARRT's needs.

Explain how the entity meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: policy and procedure manuals, description of electronic storage redundancy

2.3.10 The CE credits being transferred must have been completed within the last four years to meet one or more of ARRT's education requirements.

Explain how the entity meets this criterion:

Documents supporting the explanation: document #\_\_\_\_, page(s) \_\_\_\_

Examples of supporting documentation: website content, governing documents, policy and procedure manuals

**PART 3: STATEMENT OF UNDERSTANDING**

Print and sign the *Statement of Understanding* provided as a separate document. Insert the signed *Statement of Understanding* as a PDF in your electronic submission.

.....  
CE Approver, Tracker, and/or Transferor  
Statement of Understanding

VERIFICATION

By my signature below, I represent that as the individual responsible for this submission I have read, understand, and will comply with the ARRT Requirements for a CE Approver, Tracker, or Transferor; that all information provided in connection with the submission to be recognized as a CE Approver, Tracker, or Transferor is true, correct, and complete to the best of my knowledge and belief, and that, in the event of a material or process change after the submission, but before the ARRT Board of Trustees renders its decision, I will notify the ARRT of the existence and nature of any such change.

AGREEMENT

In consideration of the ARRT’s decision, if any, to grant Recognition, as the individual responsible for this submission I acknowledge and agree to:

- 1.0 Annually complete and submit information requested by the ARRT on the then current recognized status (e.g., confirmation of contact information);
- 2.0 Promptly report any change in purpose, structure, or activities of the ARRT recognized services to the ARRT;
- 3.0 Report any material change in the scope or objectives of the CE Approver, Tracker, and/or Transferor to the ARRT; and
- 4.0 Furnish any and all information that the ARRT may require to investigate whether the CE Approver, Tracker, and/or Transferor complies with ARRT Requirements for a CE Approver, Tracker, and/or Transferor.

.....  
Signature of Representative of the Entity

.....  
Name and Title

.....  
Date Signed



## **RECOGNITION DOCUMENT CHECKLIST**

All completed submissions must include the following items in addition to the specific documents identified under each function:

\_\_\_\_ Completed Requirements Document

\_\_\_\_ Supporting Documentation for Corresponding Requirements

\*If seeking to provide CE evaluation and approval functions, include a sample CE Request for Approval (RFA) Packet the entity seeking recognition currently requires or will be requiring from CE sponsors.

\_\_\_\_ Signed Statement of Understanding

## **CONTINUED RECOGNITION**

To maintain recognition for any and all functions, a report form provided by ARRT must be submitted every three years or more frequently if indicated by compliance issues. The report will require entities to provide a summary of approved function(s) related policies and procedures, which highlights any material changes to its policies and procedures since the previous submission or report.

**APPENDIX A – CONTINUING EDUCATION ACTIVITY TYPES AND SUBJECT AREA**

Complete Appendix A by indicating which type of continuing education activities the entity is seeking recognition to evaluate and approve for CE credit. **(Select one answer per line item)**

CE Activity Type	Entity will evaluate and determine approval for this type of activity	Entity will NOT evaluate and determine approval for this type of activity
Live Lectures/Attendance Monitored Webinars		
CE Activities Completed Over an Extended Period of Time		
Full-Day or Multi-Day Conferences		
Panel Discussions		
Academic Courses offered Through Continuing Education Departments of Colleges or Institutions		
Machine Applications Training or User Group Meetings		
Hybrid Applications Training (online and onsite trainings)		
Instructor Led Simulation Training		
Author Credits for Journal Articles		
Self-Learning Materials That Require a Post-Test: Paper		
Self-Learning Materials That Require a Post-Test: Electronic		
Self-Learning Materials That Require a Post-Test: Hybrid (Electronic with Video/Audible Segments)		
Tumor Boards, Chart Rounds, Cancer Conferences		

<b>Subject Area</b>	<b>Entity will evaluate and determine approval in this subject area</b>	<b>Entity will NOT evaluate and determine approval in this subject area</b>
Magnetic Resonance Imaging		
Nuclear Medicine Technology		
Radiation Therapy		
Radiography		
Sonography		
Vascular Sonography		
Breast Sonography		
Bone Densitometry		
Cardiac Interventional Radiography		
Vascular Interventional Radiography		
Computed Tomography		
Mammography		
Registered Radiologist Assistant (*advanced subject material)		

**APPENDIX B – SLA CONTRACTED ENTITY CONTACT INFORMATION AND AGREEMENT**

Provide the contact information for the contracted entity that will be evaluating CE on behalf of the SLA.

Name of Entity Contracted by SLA: \_\_\_\_\_

Name of Contact Person: \_\_\_\_\_

Mailing Address: \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

Email: \_\_\_\_\_

Phone: \_\_\_\_\_

Fax: \_\_\_\_\_

Website: \_\_\_\_\_

SLA and contracted entity seeking recognition are responsible for updating ARRT with changes after submitting this recognition request.

**AGREEMENT**

In consideration of the ARRT’s decision, if any, to grant Recognition of an SLA and its contract with an outside entity to provide CE evaluation and monitoring services, as the individual responsible for this submission I acknowledge and agree to:

- 1.0 Annually complete and submit information requested by the ARRT on the then current recognized status (e.g., confirmation of contact information);
- 2.0 Promptly report any change in purpose, structure, or activities of the ARRT recognized services to the ARRT;
- 3.0 Report any material change in the scope or objectives of the CE Approver, Tracker, and/or Transferor to the ARRT; and
- 4.0 Furnish any and all information that the ARRT may require to investigate whether the CE Approver, Tracker, and/or Transferor complies with ARRT Requirements for a CE Approver, Tracker, and/or Transferor.

\_\_\_\_\_  
Signature of Representative of the Entity

\_\_\_\_\_  
Name and Title

\_\_\_\_\_  
Date Signed

## **APPENDIX C – TECHNICAL REQUIREMENTS FOR CE RECORD TRANSFERORS**

### **SFTP Transfer (Push)**

Ability to export completion data to a comma separated (.csv) file in a format specified by ARRT.

Ability to send the export file to a secure FTP site (TLS 1.2 or above).

Must provide IP addresses that transfer will originate from for white listing.

Understanding of FTP command syntax.

Ability to import public key certificate(s).

### **Webservice Transfer (Pull)**

Ability to create a SOAP webservice or REST API.

Ability to provide all required data elements in formats specified by ARRT.

Must provide IP addresses where service will be hosted for white listing.

Secure transmission of data (TLS 1.2 or above, and user authentication).

Ability to provide ARRT with service specifications.

All requirements are subject to change to improve reliability, function or design.

**APPENDIX D – SUPPORTING DOCUMENT**

<b>Document # (Affix this same number to actual document)</b>	<b>Document Title</b>	<b>Page #'s Referenced in Explanation</b>
#1		
#2		
#3		
#4		
#5		
#6		
#7		
#8		
#9		