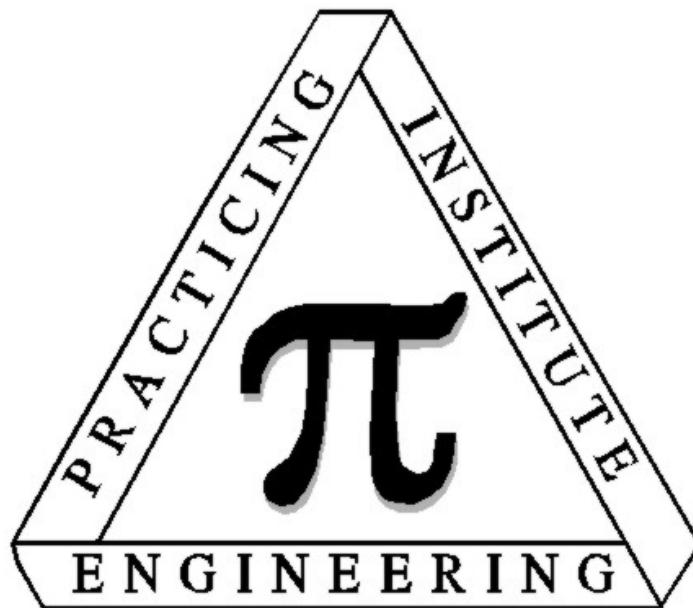


PROCEDURE MANUAL
For
Continuing Education Activities

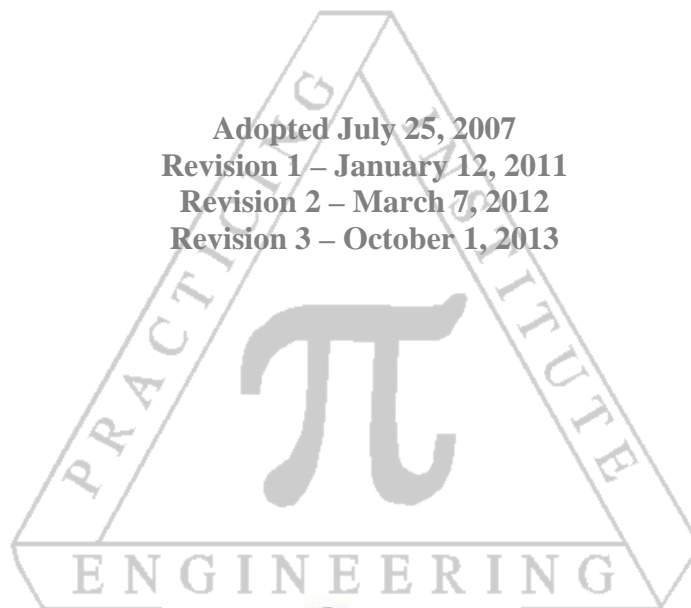


October 2013

The **P**racticing **I**nstitute of **E**ngineering, Inc.

October 2013

Procedure Manual
for
Continuing Education Activities



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Approved:



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Vice President – Operations

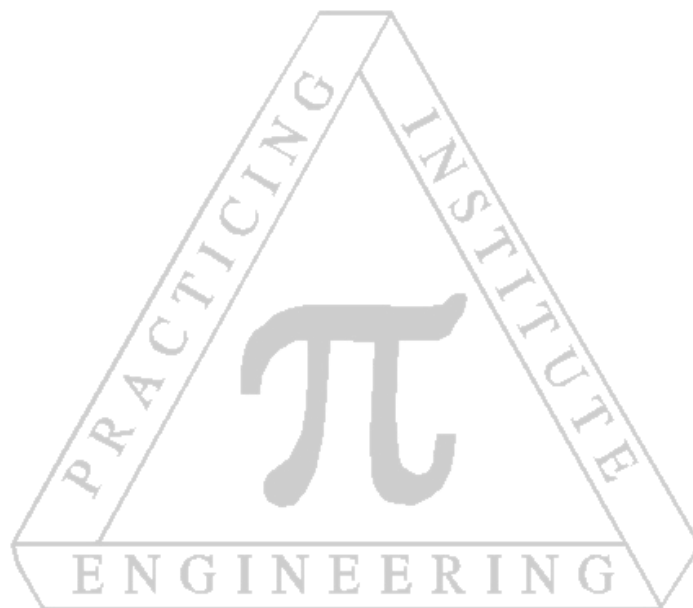
Adopted:

John W. Sucharski, III, P.E.
President

Date:

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This manual provides guidance to PIE officers, staff, members, evaluators, auditors and training providers for the conduct of Continuing Education activities for New York's Professional Engineers.



The content of this manual, to the best of the authors' knowledge, is consistent with the current NYS Title VIII State Education Law Article 145 §7211 – Mandatory Continuing Education for Professional Engineers and the Regulations of the Commissioner Part 68 Engineering and Land Surveying §68.11 Continuing Education for Professional Engineers as of the printing of this manual.

Continuing Education Procedure Manual

Table of Contents

1.	Introduction	3
2.	Authority	4
3.	Membership and Organization	5-6
3.1.	Individual Members	
3.2.	Continuing Education (CE) Evaluators	
3.3.	Officers and Trustees	
3.4.	Sponsor Organizations	
3.5.	CE Sponsor /Course Auditors	
3.6.	Training Providers	
3.7.	Administrative Staff	
4.	Approval of Courses	7-13
4.1.	Types of Acceptable Continuing Education Training Courses or Activities	
4.2.	Course/Activity assignment of Professional Development Hour (PDH) units	
4.3.	PIE Course Accreditation	
4.4.	Award of Certificates	
4.5.	Attendance Lists	
4.6.	Approval Process	
4.7.	Application for Continuing Education Course Approval	
4.8.	Review and Acceptance of Continuing Education Courses	
4.9.	Notification of Results	
4.10.	Course Renewal	
4.11.	Assessment of Learning	
5.	Evaluation of Sponsor Applications	14-15
5.1.	The Purpose of PIE Sponsor Program	
5.2.	Qualifying Organizations	
5.3.	Applying for Sponsor Organization Status	

6.	Approval of Sponsor Organization CE Programs	16-18
6.1.	PIE Review of the Application	
6.2.	Purpose of Site Audit is to:	
6.3.	Executive Committee Actions Regarding Applications	
6.4.	Notification of Actions Taken	
6.5.	PIE Continuing Education Sponsor Number	
6.6.	Listing of PIE Continuing Education Sponsors	
6.7.	Annual Report	
6.8.	Annual Dues	
7.	Quality Assurance	19-22
7.1.	Audits	
7.2.	Corrective Action	
7.3.	Scheduling the Site Audit	
7.4.	Conducting the Site Audit	
7.5.	After the Site Audit	
7.6.	Monitoring Process	
7.7.	Monitoring Techniques	
7.8.	Post-Monitoring Action	
7.9.	Withdrawal of Sponsor Organization Status	
7.10.	Official PIE CE Sponsors Representative	
8.	Recordkeeping	23
8.1.	General	
8.2.	Record Forms	
	Appendix A – FEE Schedule	A-1
	Appendix B – List of Forms	B-1
	Appendix C – Glossary of Terms	C-1
	Appendix D – References	D-1

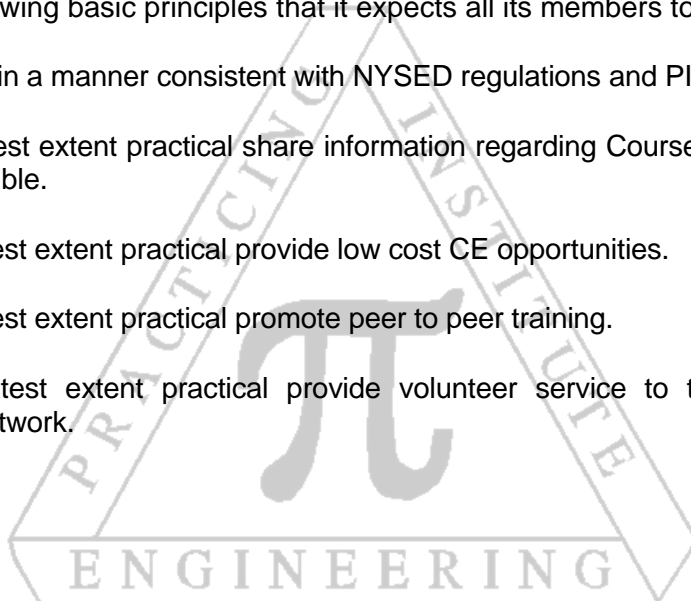
1. Introduction

This Manual defines methods and practices used to coordinate the activities of Continuing Education for Professional Engineers to meet the requirements as defined by the NYS Title VIII State Education Law, Section 7211, Mandatory Continuing Professional Education.

The Practicing Institute of Engineering Inc. (PIE) exists to serve the Continuing Education (CE) needs of the Professional Engineering Community. In addition, PIE is prepared to support the needs of its Sponsor Organizations. PIE also provides a vehicle for regional cooperation and support between engineering organizations.

PIE has the following basic principles that it expects all its members to support.

- Conduct CE in a manner consistent with NYSED regulations and PIE procedures
- To the greatest extent practical share information regarding Courses and Programs and make them accessible.
- To the greatest extent practical provide low cost CE opportunities.
- To the greatest extent practical promote peer to peer training.
- To the greatest extent practical provide volunteer service to the cooperative continuing education network.



2. Authority

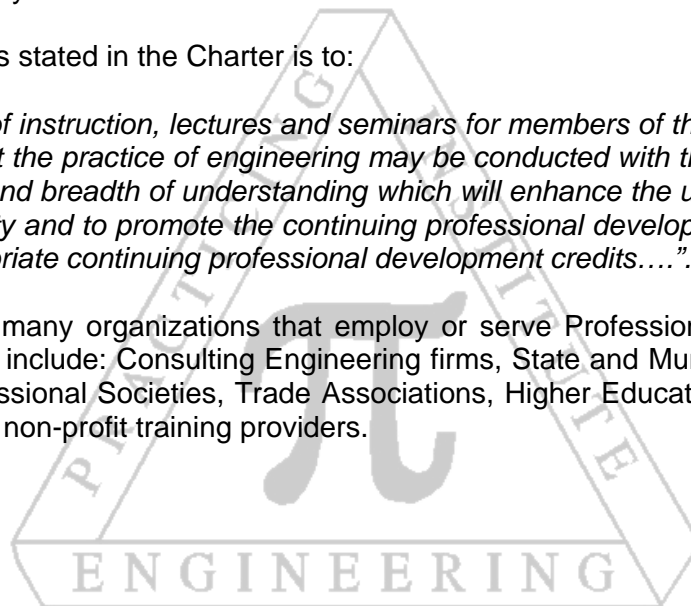
In the late 1970's mandatory continuing education for professionals was under consideration in the State Education Department. The New York State Society of Professional Engineers, Inc. (NYSSPE) appointed a special committee to review this matter and recommend a position to the NYSSPE Board. This committee recommended that NYSSPE form a group to organize, plan, accredit, promote and administer a voluntary continuing education program for Professional Engineers in New York State.

NYSSPE adopted the committee's recommendation and petitioned the University of the State of New York and the Commissioner of Education, who then issued a Certificate of Incorporation (Number 17,086) for The Practicing Institute of Engineering, Inc. (PIE) on June 19, 1980 as a Not-For-Profit Corporation. PIE applied for Federal Tax Exempt status and was granted a 501(c)(3) ruling by the IRS.

PIE's purpose as stated in the Charter is to:

"offer courses of instruction, lectures and seminars for members of the engineering profession...to the end that the practice of engineering may be conducted with that continuing competence, moral integrity and breadth of understanding which will enhance the usefulness of the profession to the community and to promote the continuing professional development of engineering by the award of appropriate continuing professional development credits....".

PIE works with many organizations that employ or serve Professional Engineers to further its mission. These include: Consulting Engineering firms, State and Municipal Agencies, Technical Societies, Professional Societies, Trade Associations, Higher Education Institutions and various commercial and non-profit training providers.



3. Membership and Organization

Membership in PIE demonstrates a personal commitment to Continuing Education for Professional Engineers and to service of the profession. The membership, officers and allied organizations work to fulfill the mission of PIE and create a cooperative network of continuing education providers.

3.1 Individual Members

Any person who is a professional engineer and is interested in the purposes and principles of the corporation, is willing to uphold its policies and subscribe to its bylaws may become a member upon written application and payment of dues.

3.2 Continuing Education (CE) Evaluators

A member of PIE may serve as a CE Evaluator. A CE Evaluator must:

- a. Be a Professional Engineer currently licensed in New York State.
- b. Be a member in good standing of PIE.
- c. Submit a resume with a membership application to PIE indicating a desire to become a CE Evaluator candidate.
- d. Complete a CE Evaluator Workshop. The workshop lesson plan and attendance list will be documented and retained by PIE per State Education requirements.
- e. Submit a signed Evaluator Agreement.

Upon approval by the Executive Committee of the PIE Board of Trustees, the Evaluator will be issued a Certificate which will be valid for a period of two (2) years. Refresher courses shall be completed bi-annually to maintain status as a CE Evaluator. Individual member dues must also be paid.

3.3 Officers and Trustees

In accordance with the Bylaws (Appendix D) the membership of PIE annually elects Trustees who serve on a three-year cycle. The Board of Trustees then elects and/or appoints officers to carry out the day to day activities.

3.4 Sponsor Organizations

Sponsor Organizations are organization members of PIE (as defined in the Bylaws) that are capable of creating and maintaining a self-sufficient CE program. Sponsor Organizations that are committed to the objectives and/or principles of PIE and who meet the criteria as outlined in Form 11 – Requirements for Sponsor Organization may apply for Sponsor Organization status.

CE Sponsor Organizations approve their own training internally and maintain all records at their offices. Sponsor Organizations follow approved written procedures which govern the conduct of their internal CE Program subject to audit by PIE.

3.5 CE Sponsor/Course Auditors

A CE Sponsor/Course Auditor must meet the following criteria:

- a. Must maintain Individual Membership in PIE.
- b. Have received training as a PIE Evaluator;
- c. Have taken the Auditor Training course.
- d. Have no conflict of interest.
- e. Have some knowledge or exposure of the type of organization being audited.
- f. Live within the geographic region of the site to be audited.
- g. Renew evaluator certification by taking refresher course every two years and passing examination.
- h. Have been approved by the PIE Executive Committee.

Auditors operate under the guidance of the VP Quality Assurance while performing this function.

3.6 Training Providers

The PIE network also includes the various non-profit and commercial training providers that come to PIE directly to have training accredited. Technical and professional societies such as the Chapters of NYSSPE, ASCE, IEEE, ABCD, SAME to name a few are the non-profit training providers that benefit most directly from association with PIE and provide some of the lowest cost training available to the engineering community. Commercial training providers also administer a valuable benefit to the engineering community with training targeted to specific needs with the understanding that compensation for these services is appropriate. Engineering firms and other organizations that serve the profession may also come to PIE to be able to provide accredited training.

The Training Provider is responsible for moderating each course, maintaining and controlling an attendance list for each course, issuing certificates to those that sign the attendance list and providing the attendance list to PIE within 14 days of the date of holding a course or activity.

3.7 Administrative Staff

PIE is provided staff support and services by the NYS Society of Professional Engineers at its Albany, NY Headquarters.

4. Approval of Courses

This procedure defines methods and practices used to review courses and programs that educate or train Professional Engineers for the purpose of complying with Continuing Education requirements as defined by the NYS Title VIII State Education Law, Section 7211, Mandatory Continuing Professional Education.

4.1 Types of Acceptable Continuing Education Training Courses or Activities

Continuing Education courses of learning (which may makeup the entire 36 hours of the triennial Continuing Education requirement) may be presented in any media as long as a qualified instructor is present during the entire instruction period. Training activities presented via media such as videotape, audio, correspondence or satellite video link where a qualified instructor is not available during the entire instruction period are considered "Other Educational Activities" (May makeup no more than 18 of the 36 hours of the triennial Continuing Education requirement).

- a. **Engineering Core Competency** (e.g. engineering, math, science based)
Courses that focus on one or more of the following subjects are deemed acceptable under the regulation; aerospace engineering, agricultural engineering, architectural engineering, bioengineering, ceramic engineering, chemical engineering, civil engineering, construction engineering, control systems engineering, electrical/computer engineering, environmental engineering, fire protection engineering, geological engineering, industrial engineering, manufacturing engineering, mechanical engineering, materials/metallurgical engineering, mining/mineral engineering, naval architecture/marine engineering, nuclear/radiological engineering, ocean engineering, petroleum engineering, structural engineering, systems engineering, architecture and land surveying are considered acceptable courses of learning.
- b. **Matters of Law**
Matters of law (rules, regulations or codes) that contribute to the professional practice of engineering and the health safety and/or welfare of the public may be considered acceptable courses of learning.
- c. **Ethics**
Courses based on the topic of ethics that contribute to the professional practice of engineering and the health safety and/or welfare of the public may be considered acceptable courses of learning. *(Minimum 1 PDH per Triennial Period. One hour of professional ethics must be taken as either a course or educational activity every registration period. This requirement becomes effective for registration periods beginning August 1, 2011 and after.)*
- d. **Professional Development**
Courses that deal with topics (e.g. ethics, project risk assessment, design or construction process quality, project cost estimating, project scheduling) that contribute to the professional practice of engineering as defined below may be considered acceptable courses of learning.

The **professional practice of engineering** is defined as performing professional service such as consultation, investigation, evaluation, planning, design or supervision of construction or operation in connection with any utilities, structures, buildings, machines, equipment, processes, works, or projects wherein the safeguarding of life, health and property is concerned, when such service or work requires the application of engineering principles and data.

Courses that deal with topics that increase the business skills of engineering (e.g. accounting, communication, human resources, management, and marketing) **would not** be considered acceptable courses of learning.

Project Management courses may be considered acceptable courses of learning if they meet the definition of the “professional practice of engineering” above. In many cases *only partial credit* will be awarded.

e. Project or Personal Experience

Courses that describe an individual's personal experience or describe a project may be acceptable courses of learning. These courses must be based on or consist of elements of the acceptable topics described above and contribute to the professional practice of engineering. *Partial credit* may be awarded to the courses based on a lack of the required elements throughout the entire instruction period.

4.2 Course/Activity assignment of Professional Development Hour (PDH) units

- a. Professional Development Hour (PDH) may be assigned to course/activities as indicated in the following:

	Course/Activity	PDH
	Courses of Learning	
1.	1 college or unit semester hour	15
2.	1 college or unit quarter hour	10
3.	1 Continuing Education Unit (CEU)	10
4.	1 Hour (minimum 50 min technical instruction) of Professional Development in course work and seminars	1
	Other Educational Activity	
5.	1 Hour (minimum 50 min technical instruction) of Professional Development in course work and seminars, without an instructor present or available to the class during the program (Self-Learning)	1
6.	Project/Site Tours (min. 50 minutes)	1
7.	For teaching above listed items (first time only)	*
8.	Each technical paper or article authored +	9
9.	Each patent	9
10.	Service on a Technical or Regulatory Committee	9

* Earns equal to the total number of course hours plus 2 times the number of course for preparation time.

+ Published in peer reviewed publication.

- b. This procedure applies to the activities involved in processing of activities listed as 4.2.a.4, 4.2.a.5, 4.2.a.6, and 4.2.a.7 only.

4.3 PIE Course Accreditation

The following process shall be followed when CE Training Providers submit courses or activities to PIE for accreditation:

- o Training providers shall submit each course or activity to PIE on a Course Accreditation Application along with the required supporting material and necessary fee. If any instructor is not present or “live” during presentation the course will be noted as an “Other Educational Activity – Self Learning.”
- o If you are a new Training Provider, you must also send in a signed Training Provider Agreement with your application.
- o PIE will then assigns the course or activity to a volunteer/member Evaluator.
- o If the course is acceptable, a course number and number of Professional Development Hours (PDH's) approved will be sent to the Training Provider.
- o New training providers will be sent a sample attendance sheet, sample course certificate and the Training Provider Agreement for signature.
- o If the course is found to be unacceptable the organization will be notified.
- o Courses rejected are eligible for appeal. If you wish to appeal a rejection or reduction in PDHs, send in a request and a PIE Officer will review the initial evaluator's determination.
- o PIE staff is always available to discuss rejections and make suggestions that might change to the focus of the presentation so that it might

4.4 Award of Certificates

All PIE affiliated organizations shall issue certificates that follow the pattern established by sample forms provided by PIE (See Appendix B for the List of Forms).

- o Sponsor Organization certificates shall contain the PIE logo, Sponsor Organization number, course number, date, instructor, course name, and location.
- o Training Provider certificates shall contain the course number assigned by PIE.
- o All certificates issued for training approved under the auspices of PIE shall contain the PIE Logo, a statement about the relationship to PIE and a statement regarding acceptance of credits in other States.
- o Certificates shall list the design professions for which the approval applies. Most PIE approvals should say “PE and RA”.
- o Others may say “PE and LS” or “PE, RA, LA and LS” or “PE and LA”, etc. as appropriate.
- o Certificates for activities such as Tours and Courses without a “live” instructor present will be contain the following note: “Note: This credit is for a other/ non course activity per NYS Reg. 68.11(C)(3)(ii)(b)”.
- o Certificates may be issued to instructors (4.2.a.5) for continuing education hours equal to the course hours plus two times the course hours. Such certificates shall also contain the “other educational activity” note: “Note: This credit is for a other/ non course activity per NYS Reg. 68.11(C)(3)(ii)(b)”.

Certificates may be modified to incorporate the logo or graphical preferences of the sponsor or training provider but must retain the PIE logo. If you have any question about the appropriateness of your training certificate, check with staff.

Certificates shall be issued to only those individuals that have attended the course or activity session *and* have signed the attendance list.

4.5 Attendance Lists

It is the responsibility of the Sponsor Organization or Training Provider to obtain a attendance list each time the CE course or activity is held. It is preferred that the PIE issued attendance list form be used. Any attendance list used must include, as a minimum, the information shown on the attendance list form provided by PIE.

CE Training Providers must forward attendance lists to the PIE office within 14 days of the date each course or activity was held. PIE keeps the attendance lists obtained by CE Providers for 7 years to satisfy the NYS requirements.

Sponsor Organizations shall retain attendance lists for 7 years as a part of their records.

4.6 Approval Process

These are guidelines for the review and evaluation of the courses and activities submitted by CE Training Providers for the purpose of accrediting the courses and activities to be sufficient for NYS Professional Engineer mandatory CE requirements. These instructions define the methods used to accept and assign Professional Development Hours (PDHs) to each training course or activity.

4.7 Application for Continuing Education Course Approval

- a. Applicant fills out Course Accreditation Application (See PIE Course Approval Process Instructions) and a Payment Submittal Form and submits both with payment and the required course materials. First-time training providers must also submit a signed Training Provider Agreement form with the application for course approval.
- b. Course format must be shown in the Application. Courses without live instructors and tours are considered "Other Educational Activity" per NYS Reg. 68.11(C)(3)(ii)(b).
- c. Applicant attaches all materials required to enable the evaluator to perform the review. Materials at a minimum should include:
 - o Purpose and Scope statement
 - o Course outline *including time durations* for the various sections
 - o Detailed lesson plan and/or presentation
 - o Student handouts (if used)
 - o Instructor(s) resume or Bio
 - o Assessment of learning for 4.2.a.4 & 4.2.a.6 (test, planned questions, etc.)

- Acceptable Forms of Assessment:
 - quizzes during the course of the presentation (not necessary to grade or maintain as individuals' records)
 - tests at the end of the course (not necessary to grade or maintain as individuals' records)
 - planned and structured random Q&A by the instructor – where questions are answered by the learners
 - small group exercises where the learners make presentations of their results
 - learner demonstrations such as at the end of learning a new software program
 - written reports by each learner of what was learned at the session
- “Self-Learning” Courses or Activities 4.2.a.5 shall have a graded test provided for each course participant. No Certificates shall be awarded without the graded test.
- d. Confidentiality of materials submitted. Materials received by PIE are generally considered ‘business confidential’. Two other levels of confidentiality are available.
 - The applicant may indicate that materials are ‘proprietary’ for especially sensitive materials for and a heightened level of confidentiality.
 - Conversely some applicants chose the option to grant PIE permission to allow materials to be used by PIE as a resource for the development of future training activities.
- e. A complete package including the application, payment submittal form, all supporting materials, and payment, must be forwarded to PIE headquarters a minimum of three (3) weeks prior to the required approval date.
- e. Incomplete submissions will prevent approval. NYSED does not allow approval of training after the course or activity has occurred. Early, complete submissions are therefore essential. An expedited review *may be available* for submissions received less than three (3) weeks prior to the date of the event at an additional cost per the fee schedule.
- f. Request for post approvals will be returned.

4.8. Review and Acceptance of Continuing Education Courses

- a. The Continuing Education evaluator will review the course or offering and evaluate for the following:
 - Course or activity has a clear purpose, objective and scope.
 - The course or activity type is consistent with those listed in 4.1 above.
 - Courses or activities without a “live” instructor shall be marked “Other Educational Activity – Self-Learning” (4.2.a.5).
 - Instructor qualifications shall be evaluated and accepted or rejected.
 - The duration of the contact time of the course or activity, including time for the assessment of learning can be determined. A breakdown of activities or sections and/or timeline shall be provided.

- o The course or activity material is sufficient in content and detail to develop, maintain, improve or expand the skills and knowledge of an engineering licensee.
 - o An assessment of the participant's learning that will result from participation in the course will be provided for review by PIE.
 - o The Continuing Education evaluator shall request any necessary additional information and/or address deficiencies directly with the applicant.
- b. The Continuing Education evaluator will indicate approval or rejection for each offering and assign Continuing Education credits on the continuing education Course Evaluation Record.
- c. A brief explanation describing reason for rejection will accompany any rejected course offering. Incomplete submissions will not be reviewed.
- d. Any course offering that is rejected is automatically reviewed by an officer of PIE for possible reversal of rejection. If such reversal occurs, an explanation will be included in the course file.

4.9. Notification of Results

- a. The applicant will receive notification of the program's approval or rejection via email, sent to the address provided by the contact on the Course Submittal form. The notice will state the name of the course evaluated, whether it has been accepted or rejected, the number of PDH's awarded and the course number assigned.
- b. For approved courses, a blank attendance list will be sent for the applicant to personalize with the information pertinent to their course, including the approval number assigned.
 - 1. For courses without a live instructor present, the Certificate will be designated as an "Other Educational Activity with the note: "Note: This credit is for a other/ non course activity per NYS Reg. 68.11(C)(3)(ii)(b)".
- c. Training Providers who have had courses accredited through PIE are encouraged to simply modify the sample attendance lists and certificates that they have used in the past with the new information pertinent for the new course.
- d. The Training provider must forward the signed attendance list to PIE HQ within 14 days of the date of the training or activity per the Training Provider Agreement.
- e. A copy of the letter and the Course Evaluation Record will be filed at PIE.

4.10. Course Renewal

- a. Following its one-year period of approval an expired course may be renewed only if the program has not changed substantially.

- b. If the content of the talk, its duration, presenter, or any other substantial factor has changed, then the course must be resubmitted, using the Course Submittal Form, and all applicable fees paid. Revisions to clarify, improve or re-order presentation topics or update regulatory references will not be considered substantial changes.
- c. Provided nothing has changed within the course submittal, the course may be renewed through submission of a completed Course Renewal Form and the proper payment (as described in the fee schedule outlined on the form). Upon processing, the course will then be renewed by PIE, provided that there are no outstanding materials (such as attendance sheets needed for the course file).

4.11. Assessment of Learning

- a. The NYS Department of Education requires that Sponsors of Continuing Education “have a method of assessing learning and that they describe such method”.
- b. PIE requires that for each course submitted for approval that the method of assessing learning be described in the submittal.
- c.
 1. Acceptable forms of assessment of learning (quiz, planned questions, etc.) for learning types 4.2.a.4 & 4.2.a.6.
 - quiz during the presentation (not necessary to grade or maintain individual’s records)
 - tests (not necessary to grade or maintain individual’s records)
 - planned and structured random Q&A by the instructor – where questions are answered by the learners
 - small group exercises where the learners make presentations of their results
 - learner demonstrations such as at the end of learning a new software program
 - written reports by each learner of what was learned at the session
 2. Acceptable forms of assessment of learning (Self Learning 4.2.a.5.)
 - graded test
 - graded lab report or demonstration

5. Evaluation of Sponsor Applications

This section defines methods and practices used to evaluate programs of Sponsor Organization's Continuing Education (CE) courses and activities to assure they are consistent with PIE standards.

5.1 The Purpose of PIE Sponsor Program

- a. Promote quality and consistency in continuing education and training;
- b. Review educational processes used by organizations, not the technical content of learning events, i.e., activities, courses, or programs;
- c. Monitor sponsors performance against established criteria; and
- d. Recognize sponsors that adhere to the effective practices found in the criteria.

5.2 Qualifying Organizations

Organizations committed to increasing the Continuing Professional Competency (CPC) of professional engineers that agree to the following objectives and/or principles and meet the criteria below may be invited to apply for Sponsor Organization status.

The objectives and/or principles are:

- Sponsors agree to organize and administer CE Programs in a manner consistent with NYSED regulations and PIE procedures to its members or employees.
- Sponsors agree to share information on CE courses with PIE and make them accessible to PE's to the greatest extent practical.
- Sponsors will attempt to provide low cost CE opportunities to NYS PE's to the greatest extent practical.
- Sponsors will provide Volunteer or In-Kind Services to PIE as outlined below.

The criteria are:

- The applicant should have experience providing training. The PIE Continuing Education (CE) records of the organization must be current and the organization considered in good standing. Good standing is understood to mean that all required course documentation and sign-in sheets for all courses previously given while a Training Provider, are on file with PIE. The application must also contain a signed certification, listing the dates and locations of all courses given.
- The organization must have written procedures for the continuing education (CE) program that meet PIE requirements. These procedures must be provided to PIE at the time of full application.
- There must be a secure repository for the archiving of the course records for seven years. The location must be identified to PIE and access to the records be provided to PIE within a reasonable time.
- A NYS licensed PE who is a PIE member in good standing and an approved Evaluator must be named as the organization's principal contact for PIE, and be responsible for the care & maintenance of the files. An assurance must be provided that this person is authorized to act on behalf of the organization in all matters regarding the providing of NYS mandated continuing education training.

- The organization's Evaluator(s) must participate in Biennial Evaluator training.
- The organization must provide a minimum of one Evaluator to participate in an audit of the records of one other Sponsor Organization during each year.
- The approved sponsor organization shall provide an annual report of all CE training.

5.3 Applying for Sponsor Organization Status

Each applicant must follow these steps when applying for approval:

- Review this procedure manual thoroughly before completing the application.***
- Sponsor Organization Pre-Application.** (Form 12) - A completed pre-application form with non-refundable fee will be submitted for evaluation. (See Appendix A - FEE Schedule). If an organization is initially judged capable of fulfilling Sponsor Organization responsibilities they will be notified in writing by PIE and invited to submit a full Sponsor Organization Application within sixty (60) days.
- May participate in a "PIE Continuing Education Sponsor Program Training" Workshop.** One or more members of the applicant organization will have the opportunity to discuss NYSED and PIE criteria and their relationship to the applicant's own CE activities, with time provided to develop a draft of the application. By the end of the workshop, applicants will be able to initiate a self-assessment and generate time lines for completion of the application. The workshop instructor will also provide follow-up consultation, as needed. This workshop may be provided in conjunction with the New York State Society of Professional Engineers' (NYSSPE's) Annual and Fall Meetings.
- Conduct a self-assessment** of the applicant's program processes, resources, and effectiveness. The criteria provide guidelines to evaluate the program. Although the primary purpose of a self-assessment is to help the Sponsor become more effective, it also helps the Sponsor to assess the extent to which their program meets the PIE CE Sponsor criteria and is ready to submit the application.
- Complete the application** (Form 13) - The full Sponsor Organization Application form and the Sponsor Organization Agreement will be sent to the applicant up approval of the pre-application.
 - The completed application, the signed Sponsor Organization Agreement, supporting materials, and payment for the first-year sponsor member fee (non-refundable) must be submitted for review of the full application.
- Sign the PIE Continuing Education Sponsor Agreement** (Form 14) - Applicants are required to sign an Agreement that details specific obligations for the applicant organization. The Continuing Education Sponsor Agreement is included with the application form.

6. Approval of Sponsor Organization CE Programs

6.1 PIE Review of the Application:

- a. Upon receipt of the complete application, the Executive Committee selects the review team and forwards the application and attachments to an auditor. The PIE office staff establishes the deadline for completion of the review and retains one copy of the application and attachments for the records.
- b. The auditor reviews the application, completes the review worksheet and returns the materials to PIE staff with a recommendation of whether or not a site audit should be conducted.
- c. If it is determined that more information is needed, the auditor will ask the applicant for the information.
- d. The applicant shall be notified by their appointed auditor when the site visit is ready to take place.

6.2 Purpose of Site Audit is to:

- a. Verify the accuracy of the information provided on the application;
- b. Review all materials and information required to show compliance with the PIE CE Sponsor requirements;
- c. Develop a physical and cultural sense of the organization;
- d. Give the applicant the opportunity to talk about their CE processes, and give further clarification and insight into their CE practices; and
- e. Provide feedback on any issues, and direction on the next steps in the application process.

Applicant will be expected to reimburse PIE for reasonable travel costs for the auditor to conduct site audits. It is intended that auditors will be drawn from a local pool wherever possible. PIE will provide an estimate of travel costs to the applicant prior to the audit upon request.

6.3 Executive Committee Actions Regarding Applications

Upon assessment of all application materials and site audit report, the Board will make one of the following decisions:

- a. **Approve:** Full authorization is granted to programs or units that are judged to be in compliance with the criteria and requirements.
- b. **Deferred decision:** When compliance with criteria requirements has not been clearly demonstrated and the Board determines that compliance can be demonstrated within six months or less, the decision will be deferred for up to six months.

Proof of compliance after a defer decision may consist of:

- completion of applicable portions of the application;

- letters or documentation to support any previously submitted application and attachments; and/or
- a follow-up site audit.

The Executive Committee will review the additional evidence provided to determine whether to grant or deny authorization. If the applicant does not submit the necessary evidence within the specified period (six months or less), the Board shall deny the application. If an applicant fails to respond to a request for information, 30 days after the due date, the application will automatically be deemed inactive. The applicant may reapply one year from the date of the Board's denial action or inactive status date by submitting a new application and fee.

- c. **Denied Action:** Authorization is denied when the Executive Committee, after a full review of the applicant's program, determines there is substantial non-compliance with the PIE CE Sponsor criteria and that the deficiencies cannot be corrected within six months or less. The reasons for denial will be specified in a written report to the applicant. Upon denial, the applicant may appeal this decision to the Executive Committee as outlined in the appeals process. If the Board has not received a response from the applicant 30 days after the due date, the application is then considered inactive.

The applicant may reapply after one year from the date of the Executive Committee's denial decision. If the applicant wishes to again seek Authorized PIE CE Sponsor status, a new application and fee must be submitted.

6.4 Notification of Actions Taken

When the Executive Committee approves an applicant, a PIE officer will send a letter to the Official Representative listed in the application. Only the PIE Board designated officer will send letters of denial. Copies of the appeals process will be included with these letters.

6.5 PIE Continuing Education Sponsor Number

Each PIE CE Sponsor will receive a certificate and organization number from PIE. This number will be unique to the Sponsor Organization. The number must appear on certificates and other correspondence that are issued by or that references the Sponsor's CE activities.

6.6 Listing of PIE Continuing Education Sponsors

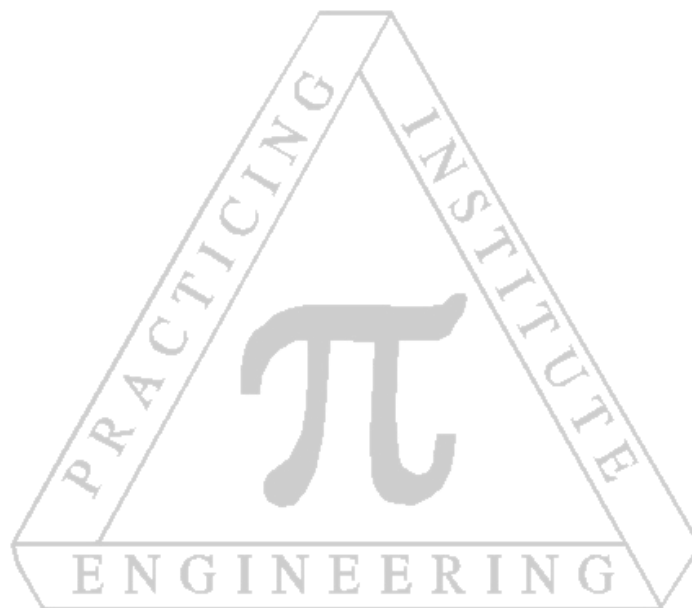
The Executive Committee will annually publish on PIE's web site a listing of current PIE CE Sponsors.

6.7 Annual Report

Sponsor Organizations must submit an annual report (See Form 16 – Sponsor Organization Annual Report).

6.8 Annual Dues

Sponsor Organizations must maintain Sponsor Organization Status in good standing through payment of annual dues. (See Appendix A – FEE Schedule).



7. Quality Assurance

7.1 Audits

- a. Audits of Continuing Education Sponsor Organization programs will be conducted during the first year and three years thereafter unless a problem with the organizations conduct is detected.
- b. Audits will be conducted by PIE CE Program Auditors.
- c. Audit activities and findings will be documented and records retained.

7.2 Corrective Action

- a. Discrepancies in organization programs uncovered during audits will be recorded on corrective action reports (CAR) (see Form 17).
- b. Organizations will be given ninety (90) days to correct any discrepancy.
- c. Failure to correct discrepancy within allotted time will cause an organization to lose their status as a Sponsor Organization.

7.3 Scheduling the Site Audit

The PIE Auditor will contact the applicant to determine a mutually agreeable date and time for the site audit.

The one-day audit, designed to be as non-intrusive as possible, should involve only a few people within the applicant organization. The applicant will receive written notification of the site audit and other pertinent information prior to the audit.

7.4 Conducting the Site Audit

Prior to the Audit, the applicant should make sure all on-site materials are readily available for the site auditor. In the case of an audit triggered by a pending application this would be the materials covered in the Sponsor Organization Application. If it is a periodic audit of a Sponsor Organization, all procedures and records should be prepared or be otherwise readily accessible.

The designated Official Representative for the applicant or Sponsor organization should be able to ensure that the appropriate staff members have received training in the conduct of their continuing education program. Sponsor Organization or applicant's staff should be conversant in the NYSED & PIE criteria and the Sponsor Organization's or applicant's continuing education and training procedures. Any staff to be included in the site audit activities should be notified by the Sponsor Organization's or applicant's Official Representative in advance of the date and time of the audit.

Upon the auditor's arrival, the Sponsor Organization's (or applicants) Official Representative should describe the organization and its purpose and role in continuing education and/or training. A brief tour of the facility is considered appropriate. The site auditor will review the purpose of the audit, verify the accuracy of the application information and discuss the responsibilities of an applicant if approved as PIE CE Sponsor.

The PIE Auditor has been trained to gather data and clarify the criteria. The Auditor will review the application, question by question, and ask the applicant to verify, with evidence, the response the applicant provided on the application. The Auditor may ask for additional examples of materials. The applicant must keep in mind that the auditor is attempting to ascertain whether the organization is (or will be capable of) following the criteria.

It is quite appropriate for the Auditor to meet and talk with others in the organization. Such contacts and meetings should be brief and informal in order to allow the site auditor to complete the assignment. Auditors do not advise or consult with the organization on internal applicant matters during the application process. The Auditor may refer to other examples that may be helpful to meet the criteria. There is no one-way to satisfy the criteria. It is not PIE's intent to prescribe a particular process to an applicant.

The Auditor may not accept any gifts or services. Modest meals and refreshments, however, as appropriate, are allowable.

Upon conclusion of the site audit, the auditor will meet with the organization contact. The auditor may report the findings and offer general impressions and comments about factual matters. The auditor will not offer interpretations or opinions about possible actions that may result based upon the audit findings. The auditor shall state that the PIE Vice President - Quality Assurance will make decisions based upon the audit findings and that written notice of the results and any recommendations or actions will be provided.

7.5 After the Site Audit

The Sponsor Organization or applicant is responsible for the Auditor's travel expenses regardless of the outcome of the site audit. Auditor expenses will be billed to the applicant by the PIE staff upon completion of the audit.

Generally, site audit travel and lodging is arranged by the auditor and billed to the applicant after the site audit. Some may prefer to make direct payment for the site Auditor's lodging and/or travel because of private arrangements with a local hotel or travel agency. This direct payment is permissible by mutual agreement between the applicant and the Auditor or PRIOR to the audit. Otherwise, the PIE staff will bill the applicant for applicable Auditor expenses plus a 10% administration fee after the audit is completed.

The Auditor must complete a report of findings and forward it to the PIE Vice President - Quality Assurance and PIE staff within two weeks of the site audit.

7.6 Monitoring Process

A sustained level of high quality programming is essential to maintain PIE CE Sponsor status. PIE CE Sponsors are monitored as a condition of Sponsor status and must be approved every three years. PIE reserves the right to monitor compliance with the criteria

and to investigate complaints of possible violations. A site audit will be conducted at least once every 3 years, and an interim site audit may be scheduled if there is evidence of substantial changes within the provider organization or possible non-compliance with the criteria.

7.7 Monitoring Techniques

The Vice President - Quality Assurance through their CE Program Auditors may utilize a variety of monitoring techniques. A Sponsor may be chosen randomly for periodic review or if information is received about possible violations of the criteria or provide agreement. When a PIE CE Sponsor is selected for review it will be notified in writing. The Board may choose to use any or all of the following techniques.

- a. Review of records required in the PIE CE Sponsor Agreement. Records may be reviewed at the provider's location, PIE Office, or another location determined by the PIE Vice President – Quality Assurance.
- b. Review of documentation. Documentation may include, but is not limited to, materials related to needs assessments, planning, learning and instruction, assessments, evaluations, record keeping, advertising, policies, procedures, and operations deemed essential for compliance with the criteria. Records may be reviewed at the provider's location, PIE Office, or another location determined by PIE Vice President – Quality Assurance.
- c. Audits and assessments of specific programs.
- d. Investigation of complaints or information regarding alleged violations of the criteria or provider agreement.

7.8 Post-Monitoring Action

When the review has been completed, the Auditor and/or a PIE Officer will forward a written report to the provider for action.

7.9 Withdrawal of Sponsor Organization Status

PIE reserves the right to revoke the status of a Sponsor where a Sponsor Organization:

- a. Provides false information on the application;
- b. Fails to conduct educational/training activities in compliance with the PIE procedures and criteria;
- c. Fails to comply with the terms and conditions of the PIE CE Sponsor Agreement;
- d. Fails to maintain the organizational requirements necessary; and/or
- e. Fails to make necessary improvements to allow probationary status to be lifted within the specified period.
- f. Fails to correct audit findings within 90 days of the letter of transmittals postmark.

In most instances, a Sponsor will be placed on probation prior to cancellation of status. The probationary period should give the provider sufficient time to make necessary changes for full compliance.

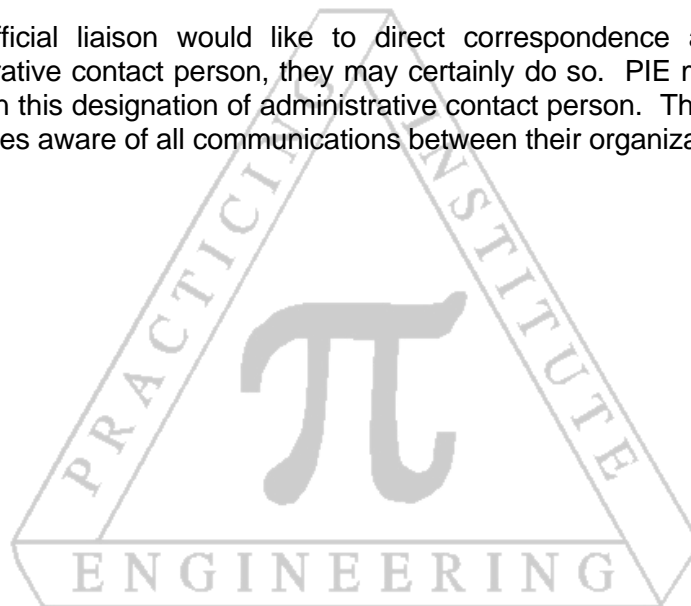
When the Executive Committee revokes the Sponsor status of a provider, that decision will be forwarded to the Sponsor in writing and will indicate the reasons for revocation. The Sponsor will have 30 days from the date of the postmark on the decision letter to appeal

the decision. Once notice has been given, the Sponsor shall immediately cease and desist from CE activities and shall not re-commence until authorized in writing by PIE. They will also be removed from the posting on the PIE website.

7.10 Official PIE CE Sponsors Representative

Each applicant shall designate one official representative who is a PIE member (and who is certified as a CE Evaluator) to serve as the liaison to the Board on the application. The designated person shall be responsible for the program administration and assuring that the organization and its staff, faculty, and instructors adhere to the PIE CE Sponsor criteria. The representative is expected to attend PIE meetings and vote on all matters of official business that relate to the authorization process or other matters of PIE business. This representative may delegate administrative duties as deemed necessary. If the official representative changes, PIE shall be notified as soon as possible.

If the official liaison would like to direct correspondence and questions through an administrative contact person, they may certainly do so. PIE must be kept abreast of any change in this designation of administrative contact person. The official liaisons must keep themselves aware of all communications between their organization and PIE.



8. Recordkeeping

8.1 General

PIE will maintain the following records for seven (7) years:

Course Submittal Forms
Course Evaluation Record forms
Course Accreditation transmittal letters
Training Provider Agreements
Course Attendance Records

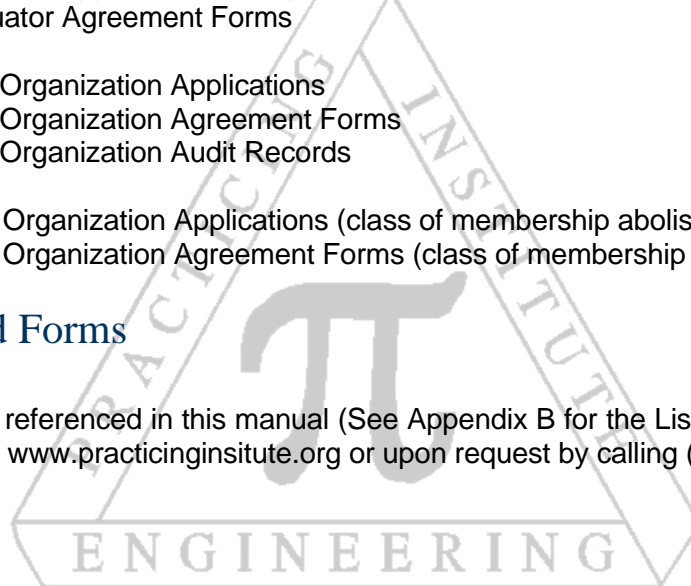
CE Evaluator workshop lesson plans
CE Evaluator applications and qualification records
CE Evaluator Agreement Forms

Sponsor Organization Applications
Sponsor Organization Agreement Forms
Sponsor Organization Audit Records

Program Organization Applications (class of membership abolished in 2006)
Program Organization Agreement Forms (class of membership abolished in 2006)

8.2 Record Forms

Note: The forms referenced in this manual (See Appendix B for the List of Forms) are available for download at www.practicinginsitute.org or upon request by calling (518) 283-7493.



Appendix A – FEE Schedule

Individual Member:	\$ 25 / year
Course Evaluation Fee:	\$ 35 for 1 to 2 PDH \$10 for each additional PDH
Course Accreditation Fee:	\$ 75 – for Non-Profit Organizations* \$175 – for commercial firms, companies and trainers.
Expedited Course review	\$ 75 -- for 1 to 2 PDH \$ 5 for additional PDH
Course Renewal Fee:	\$ 25 – for Non-Profit Organizations \$ 75 – for commercial firms, companies and trainers.

Sponsor Application Fees:

Pre-Application Fee:	\$25
Full-Application Fee:	\$200

The application fees include all costs related to the review of the application by the PIE CE Sponsor, except for direct expenses of the site audit. Site audit expenses shall be billed by and paid directly to PIE. Applicants shall not directly reimburse an Auditor for expenses.

Once the applicant is approved by the Board, the first year as an organization begins as of the Approval Date. The \$200 application fee is credited as first year dues for the new organization. Thereafter annual fees will be billed to the applicant payable on the anniversary of approval. Application fees are non-refundable.

Sponsor Organization:	\$200 / year
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(*) Non-profit organizations shall include:

- 1) Various professional societies and their local chapters such as ASCE, AIA, NSPE, IEEE, ASME, SAME, NYSAPLS, ASWM, APWA, etc.
- 2) Government agencies.
- 3) Non-profit educational institutions (IRS 501 (c) (3))
- 4) Individuals who certify that they will provide the training without charge and will not accept remuneration from a third party may be considered non-profit for the purpose of fee payment.

Appendix B – List of Forms

(See www.practicinginstitute.org to download the current form or call (518) 283-7493)

<u>Form #</u>	<u>Title</u>
1	Individual Member Application
2	Evaluator Agreement
3	A. Course Accreditation Application B. Payment Submittal Form
4	Course Evaluation Record
5	Training Provider Agreement
6	Continuing Education Certificate (Training Provider)
7	“Other Educational Activity” (OEA) Certificate
8	Continuing Education Certificate (Speaker)
9	Attendance List
10	Course Renewal Form
11	Requirements for Sponsor Organization (Executive Policy)
12	Sponsor Organization Pre-Application
13	Sponsor Organization Application
14	Sponsor Organization Agreement
15	Continuing Education Certificate (Sponsor Organization)
16	Sponsor Organization Annual Report
17	Corrective Action Report (CAR)

Appendix C – Glossary of Terms

Continuing Education Units (CEU): Unit of credit customarily used for continuing education courses. One continuing education unit equals 10 hours of class in approved continuing education course.

Professional Development Hours (PDH): A continuing education hour or a contact hour (50 minute minimum) of instruction or presentation. The common denominator for other units of credit (One CEU= 10 PDH).

CE Evaluator: A Professional Engineer (PE) and PIE member certified by PIE as knowledgeable and capable of evaluating courses and activities submitted for credit as PDH units.

CE Course/Sponsor Auditor: A Professional Engineer (PE) and PIE member certified by PIE as knowledgeable and capable of reviewing, evaluating and auditing Sponsor Organization continuing education programs, courses and activities for compliance with NYSED and PIE requirements.

CE Training Provider: A non-ABET accredited institution or business that offers Continuing Education courses to New York State Professional Engineers under the supervision of PIE.

College/Unit Semester/Quarter Hour - Credit for ABET approved course. A college semester hour earns 15 continuing education hours or PDH. A college quarter hour earns 10 PDH.

Executive Committee of the Practicing Institute of Engineering (PIE) – governing committee consisting of individuals elected by the PIE Board of Trustees to serve in an executive position such as President, Vice President, Secretary or Treasurer with the duties, powers and functions to act on behalf of the Trustees and members in the administration of the Practicing Institute of Engineering.

Sponsor Organization: A PIE member organization that has the procedures and capabilities to prepare, promote and implement Continuing Education activities in accordance with PIE and NYSED requirements (i.e. engineering firm, engineering employer, technical or professional organization.)

Cooperative CE Network for Professional Engineers: a state and/or regional grouping of PIE organizations working together to organize, create, accredit, convene and audit engineering continuing education opportunities.

CE Stakeholder: individuals and/or organizations such as employers, educators, engineers, vendors, technical societies that have a need to comply with mandatory Continuing Education.

Core Courses/Activity: Any course with a clear technical purpose and objective which will maintain, improve, or expand the skills and knowledge obtained prior to initial licensure or to develop new and relevant technical skills and knowledge in the discipline being practiced by the registrant. Requirements will be consistent with regulations published by the New York State Department of Education. Independent or self study will not qualify as a course but would be considered an activity.

Appendix D – References

PIE Organization Documents and Reference Documents

1. Certificate of Incorporation (No. 17,086) The University of the State of New York, Education Department, June 19, 1980.
2. Consent to Organize, September 4, 1980
3. By-Laws of the Practicing Institute of Engineering, Inc. adopted September 4, 1980 and revised on June 11, 1994 and May 7, 2004.
4. NYS Title VIII State Education Law, Article 145 Professional Engineering and Land Surveying
(§7211 – Mandatory Continuing Education for Professional Engineers)
<http://op.nysed.gov/article145.htm>
5. Regulations of the Commissioner – Part 68 – Engineering and Land Surveying
(§68.11 – Continuing Education for Professional Engineers)
<http://op.nysed.gov/part68.htm>
6. NYS Education Department Continuing Education Q & A
<http://www.op.nysed.gov/prof/pels/peceques.htm>

