



ASPPA Benefits Council (ABC) Meeting Guide & Continuing Education (CE) Procedures

ABC Meetings

The ABCs exist to provide educational and networking opportunities locally. Although there are different venues and frequencies for the meetings, in general the following types of educational meetings are held:

- Breakfast, lunch or dinner meetings with a featured local or national speaker during the meeting.
- Same as above with a panel discussion instead of one speaker.
- ½ or all day seminar featuring one speaker (possibly on a variety of topics).
- Membership appreciation meetings which may be used to promote the current agenda for the ABC, feature information on ASPPA credentials and certification programs or hold Board nominations.
- Specialty meetings that focus on one area of concern such as actuarial issues, investments, etc.

All ABC CE offerings must meet the CE requirements as identified within. Any event or offering that is not educational is not eligible for CE (including social and networking events).

Helpful tools:

1. A Speaker List, which is maintained by the ABCs and located on the ABC Committee SharePoint account, can be a useful tool in locating speakers for meetings or for developing topics for future meetings. **Please contact ASPPA's ABC Specialist for access to this account.*
2. Local ABCs are required to check with the ASPPA office to ensure that their meeting date does not conflict with the *Limitations Guide* within the *ABC Operational Handbook* (a copy can be downloaded from the ABC Committee SharePoint account). ASPPA's master calendar can be accessed on the ABC Committee SharePoint account.
3. The national office can also help local ABCs with meeting notices, registration and reporting; helping to ensure that your local program is a success.

Types of CE Available:

1. ASPPA CE credit, including Ethics, is available for local ABC meetings. ABCs can also propose to offer JBEA (Core, Non-core, Formal and/or Ethics) and ERPA CE (including Ethics) as an affiliate of ASPPA, since ASPPA is an IRS approved Continuing Education Provider.
2. Local ABCs may offer other types of CE (Attorney, CPA, etc.) by following the published requirements (see pages 4-7).



Process for Program Setup on the ASPPA System and CE Approval:

1. **5-8 weeks prior to scheduled meeting¹:** Propose CE to ASPPA office by completing the online [Meeting Notice](#) form and await approval on amount and type of CE offering. If offering ERPA CE, ASPPA staff will secure and provide the ABC with an approved IRS CE program identification number prior to announcing the event. If offering JBEA credit, ASPPA staff will confirm content qualifies for Enrolled Actuary credit and type requested (core, noncore or formal) prior to announcing the event.
 - a. ASPPA will also confirm that the meeting date and content does not conflict with the *Limitations Guide*, located in the *ABC Operational Handbook*.
2. **Within 5 business days of ASPPA receiving your meeting notice:** The proposed or revised CE credit will be approved and utilized to complete meeting setup and website advertisement.
 - a. Meeting setup includes (1) entering meeting information and registration fees in ASPPA's database, (2) updating the ABC's webpage on the ASPPA website to include meeting information and registration methods, (3) option of CE texting through Poll Everywhere
 - i. **Poll Everywhere CE texting:** If an ABC is interested in utilizing CE texting for the event, please note this in the "Comments" section of the online [Meeting Notice](#) form. ASPPA will send a text code specific to the event, which the ABC is responsible for distributing at the conclusion of the event. All users must have an ASPPA ID in order to use the text option.
3. **Within 10 business days of ASPPA receiving your meeting notice:** If utilizing ASPPA's marketing e-mail blasts, the ABC will receive a proof of their meeting notice. Once approved by the ABC, the notice will be sent out 3 separate times:
 - a. Initial blast, approximately 4 weeks prior to event
 - b. First follow up blast, approximately, 2 weeks prior to event
 - c. Final reminder, sent on the RSVP date confirmed by the ABC
4. **Within 1 week prior to the meeting:** contact ASPPA's ABC Specialist to pull a list of registrants for the program. This is especially useful in collecting/disseminating ASPPA IDs needed for either CE texting or submitting [Multiple Attendee Roster](#) forms.
5. **Prepare before the meeting:** ABC must have attendees complete sign-in/out sheet, or using another acceptable method to confirm CE credits granted are accurate.
 - a. ABC should provide copies of the speaker handouts to attendees. *A copy of speaker handouts should also be sent to ASPPA's ABC Specialist as soon as they are available.*
6. **Prepare in advance of meeting and distribute to attendees afterwards:** ABC should provide an [Attendance Verification Form](#) specifying CE earned and including the IRS CE Program ID if

¹ Note that this is the ideal timeframe developed for maximum marketing exposure. Please send ASPPA's ABC specialist your meeting information, regardless of whether or not you have met the 5-8 weeks requirement. Otherwise, your meeting will not qualify for CE credit, as self-reporting ABC meetings is prohibited, effective 1/1/2013.



offering ERPA CE. These forms must be signed by a local ABC board member. Attendance Verification forms are not required for those attendees utilizing CE texting through Poll Everywhere; an Attendance Verification Form for those participants will be available on their online ASPPA account.

- a. ABCs should encourage attendees to keep a copy of the Attendance Verification Forms as well as the program agenda/outline for a period of two years after the end of a CE cycle in case of a possible audit.
 - b. Note that if the advertised CE credits are higher than actual program length, an adjustment will need to be made before the verified attendance form is distributed. For this reason, we suggest each ABC have some technical Q&A prepared to cover with audience as necessary to satisfy the CE credits promoted.
7. **Within 90 days following the program:**
- a. Contact the ABC Specialist to pull the **CE text report** for the program. CE credits for ASPPA, ERPA and JBEA credits will automatically be posted to an ASPPA member record and they can print their verified attendance certificate. Please allow 60 days for online reporting to reflect earned CE credits.
 - b. If attendees do not use the CE texting option, the ABC must send a **Multiple Attendee Roster** Form to ASPPA Customer support at customersupport@asppa.org, including a list of all attendees with either their e-mail addresses or ASPPA ID numbers.
 - i. Ultimately, it is the responsibility of the individual to report the amount of credits actually earned for each category subject to the rules promulgated by their regulatory bodies and any related codes of conduct.

Helpful Tools:

1. Please visit the ABC Committee SharePoint account to access the following materials at <http://sharepoint.asppa.org/abc>
 - a. Located in the **Operations -> Forms** folder:
 - i. Attendance Verification Form
 - ii. Meeting Registration Form PDF Template
 - iii. Multiple Attendee Roster Form
 - iv. Meeting Notice Order Form
 - v. Speaker Evaluation Form
 - b. Located in the **Operations -> Training Materials** folder:
 - i. ABC Meetings – Planning and Execution
 - c. Located in the **Operations -> Contact Info** folder:
 - i. Speaker List
 - d. Located in the **Operations -> Operational Handbook** folder:
 - i. ABC Operational Handbook, including Limitations Guide
 - e. Located in **Operations -> Cont Ed** folder:



- i. ABC CE Reference info, which includes information for approval of CLE, state insurance, and CFP continuing education.

Types of CE & Specific Requirements: the following section provides guidance on ASPPA, ERPA, JBEA, CPA, CLE, Insurance and CFP continuing education requirements.

Summary of ABC Actions Required to Receive CE Credit for a Program: To receive ASPPA, ERPA, and JBEA continuing education credits, the ABC must:

- Submit an overview of the program to ASPPA and receive an IRS CE identification number.
- Maintain a sign-in/sign-out sheet for each program.
- Submit a Multiple Attendee Roster to ASPPA (for attendees who do not utilize CE Texting).
- Provide an Attendance Verification Form for each attendee (for attendees who do not utilize CE Texting).
- Submit a copy of any materials for the program to ASPPA (e.g., PowerPoint or handout).

ASPPA CE CREDIT

Approval Process

There is no formal approval process for meetings to qualify for ASPPA CE credit. All continuing education topics that promote an ASPPA member's professional development in the retirement field qualify for ASPPA CE (including non-technical topics such as marketing and advanced IT training). Broad categories include topics such as: Qualified Plans; Nonqualified Plans; Tax-Exempt & Governmental Plans; IRAs; Actuarial Issues; Investments & Insurance; Participant Issues; Business Management, Operations & Development; Personal Development; and/or Technology.

Calculation of Credit

One ASPPA CE can be offered for any meeting that is at least 50 minutes in length (50 minutes = 1 ASPPA CE). For example, a meeting of 75 minutes qualifies for 1.5 CE credits. The ASPPA National Office can assist, if needed, in making that determination as well as verifying that a meeting would qualify for Ethics CE credits.

Attendance Reporting

Attendance reporting is mandatory and should be submitted to the National Office within 90 days of the meeting. *In order to standardize CE credit criteria, partial credit cannot be granted for attendees not participating in the entire meeting.*

ERPA CE CREDIT

Approval Process



ASPPA is an approved ERPA CE provider for any qualified retirement plan topics. In order for your meeting to qualify for ERPA CE credit, please submit the title, date, location, length, description and total number of ERPA credits you are requesting at least 5-8 weeks in advance of the meeting in order to receive an IRS CE Program ID allowing you to advertise that the meeting is approved for ERPA CE credit.

Calculation of Credit

ERPA CE can be offered for any meeting that is at least 50 minutes in length (50 minutes = 1 ERPA CE). However, **ERPA credits can only be awarded in whole numbers**. For example, a meeting of 75 minutes qualifies for 1 ERPA CE, not 1.5 ERPA CE. To calculate the total number of ERPA CE credits for a half-day or full-day meeting, total up the minutes of instructional time and divide by 50 minutes. If this amount does not equal a whole number, round down to the nearest whole number.

Ethics Credit

In order for a meeting to qualify for ERPA Ethics CE, it must principally cover ethical issues or professional conduct issues that arise in the retirement industry. For example, programs that address provisions of Treasury Circular 230 will qualify. A program description of an ethics program must include the following: succinct topics for discussion, how the program will be presented (panel, lecture, etc.), and how practical application of the subject matter will be tested in real world situations (hypothetical examples, panel discussion, fact patterns). The National Office can assist, if needed, in making that determination as well as verifying that a meeting would qualify for Ethics CE credits.

Attendance Reporting

Attendance reporting (along with the ERPA attendees' PTIN identification number, if provided) is mandatory and should be submitted to the National Office within 90 days of the meeting. Partial credit cannot be granted for attendees not participating in the entire meeting.

ENROLLED ACTUARY CE CREDIT

Approval Process

ASPPA is an approved CE provider by the Joint Board of Enrolled Actuaries (JBEA). In order for your meeting to qualify for JBEA CE credit, please submit the title, date, location, length, description and total number of JBEA credits you are requesting at least 5-8 weeks in advance of the meeting.

Calculation of Credit

One JBEA CE can be offered for any meeting that is at least 50 minutes in length (50 minutes = 1 JBEA CE). For example, a meeting of 75 minutes qualifies for 1.5 CE credits. The ASPPA National Office will assist in making that determination as well as verifying that a meeting should qualify for Core or Non-core and potentially Formal, Ethics and Professional CE credits.



Attendance Reporting

Attendance reporting is mandatory and should be submitted to the National Office within 90 days of the meeting. Partial credit cannot be granted for attendees not participating in the entire meeting.

CPA CE CREDIT (ACCOUNTANTS) *

Approval Process

ASPPA is an approved CE provider by the National Association of State Boards of Accountancy (NASBA) for ASPPA conferences. Our approval does not extend to ASPPA webcasts or ABC meetings because our provider fee is based on the number of approved programs. If you would like to look into becoming an approved provider, you can visit <http://www.learningmarket.org/page.cfm/link=83> to learn more about the process to apply.

STATE LEGAL CE CREDIT (ATTORNEYS)*

Approval Process

Each state has their own approval process for providers and/or meetings, for application requirements, for reporting requirements and application fees. Each state usually has their own state-specific website for their Board of Continuing Legal Education that will contain information about how to become an approved CLE provider or submit a course (meeting) for approval.

Attendance Reporting

Some states will allow the attendee to submit their certificate of attendance after the meeting in order to self-report their credits. If a state does not allow self-reporting, they may allow the individual attorney to submit the meeting for approval prior to the event date.

STATE INSURANCE CE CREDIT*

Approval Process

Each state has their own approval process for providers and/or meetings, for application requirements, for reporting requirements and application fees. Most states have contracted with *Prometric* to perform CE provider and CE course services on behalf of the state's Department of Insurance. A list of participating states and state-specific Information Packets and Forms can be found at <https://www.prometric.com/en-us/clients/ce/Pages/landing.aspx>. Each state usually has their own state-specific website for their Department of Insurance that will contain information about how to become an approved CE provider or submit a course (meeting) for approval.



Attendance Reporting

Some states will allow the attendee to submit their certificate of attendance after the meeting in order to self-report their credits. If a state does not allow self-reporting, they may allow the individual attorney to submit the meeting for approval prior to the event date.

CFP CREDIT FOR FINANCIAL PLANNERS*

Approval Process

Only CFP CE Sponsors are able to submit courses (meetings) for approval. You can visit <http://www.cfp.net/teamup/ce.asp> to complete the application to become an approved sponsor (\$200/year). Once approved, you will be able to log in to your online CE Sponsor account to submit your meetings (\$10/meeting). The CFP Board does have strict guidelines on what type of topics will apply for CFP approval. In general, the CE program must increase the professional competency of CFP® professionals; be developed by person(s) qualified in the subject matter; contain current, accurate content; be presented in an appropriate design and format; and use a title that accurately represents the program's content.

Attendance Reporting

In order for your meeting attendees to receive CFP credit, you will need to upload an Excel template that is available on their website, which includes the attendee's full name, CFP ID and last four digits of their SSN. This report is then emailed to the CFP Board for them to upload into the records of the attendees.

**Please verify directly with organizations that these are the most current requirements.*