



## **Group Administrative Policies Instructions**

The Administrative Policies are required for submission with an application. The purpose of the Administrative Policies is to ensure that applicants and sponsors understand what is required of them regarding record retention, refunds, cancellations, complaint resolution, and course update policies. We are looking for general overall policies and not specific policies associated directly with the program the organization has submitted with its application. Please see below for more information and guidelines for these components.

\*Formal learning programs under the [2026 Standards](#) are group programs, self study programs, or blended learning programs. For purposes of this application, the Registry uses “delivery method” to refer to the formal learning program type, including any applicable sub-delivery method such as Nano Learning or QAS Self Study, for which the organization is seeking approval and must demonstrate compliance with the applicable Standards.

### **Record Retention Policy**

The Record Retention Policy is specific to satisfying the requirements of [Section 9.02](#) and [Paragraph 9.02.1](#). A broader organizational policy may be acceptable if it clearly identifies the required elements as listed for CPE programs. The expectation for this policy is that the organization must state that it will retain the required documentation for at least 5 years. The specific documentation which must be retained includes:

- Records of program completion verification by individual participant, including the number of CPE credits earned by participant.
  - The documentation maintained should adequately support the CPE program completion methodology selected by the CPE program sponsor. For example, if the CPE program sponsor selected to use an attendance log with indications of individual participant duration time, including sign in, sign out and any elongated breaks for program completion verification, then the attendance log for the program including all the aforementioned elements of information should be maintained.
  - If the group program is a webinar/webcast and the CPE program sponsor used a real time attendance monitoring mechanism to verify that participants are in attendance during the program, then the CPE program sponsor must retain documentation that serves as the evidence of the individual participant response to the attendance monitoring mechanisms.
- Dates and locations of group program offerings
- Documentation of how CPE credits were determined.
  - CPE credits for group programs are determined based on course content duration time. Supporting documentation includes but is not limited to the group program agenda or program descriptive materials (course announcement information).



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- Documentation of participant engagement.
  - Group CPE program sponsors must retain the program outline, agenda, speaker notes or other documentation that evidences the participant engagement related to course content during each credit of CPE planned for the group program. In certain limited circumstances, such as a high-profile keynote session, an element of participant engagement may not be appropriate. In such cases, the organization should document the justification.
- Author/instructor, author/developer, and content reviewer, as applicable, names and credentials. For the CPA and tax attorney acting as an author/instructor, author/developer, and content reviewer for accounting, auditing, or tax program(s), the state of licensure, license number, and status of license should be maintained. For the enrolled agent acting in such capacity for tax program(s), information regarding the enrolled agent number should be maintained.
- Results of program evaluations
- Program descriptive materials (course announcement information)
- Program Materials

### **Refund Policy**

The organization must submit a Refund Policy. This policy is specific to satisfying the requirements of [Section 8](#). The expectation for this policy is that the organization must state its Refund Policy, specifically outlining how refund requests will be handled. If the organization does not charge a fee for the programs offered, this must be stated clearly in the policy. Include information explaining how the participants should contact the organization if they would like to seek a refund.

\*If there is no refund policy because the organization's programs are offered internally for employees only, it must be noted that the programs are for an internal audience in the application. If the refund policy can be viewed online, provide a URL link where the policy can be viewed.

### **Program Cancellation Policy**

The organization must submit a Program Cancellation Policy. This policy is specific to satisfying the requirements of [Section 8](#). The expectation for this policy is that the organization will state how and when it will communicate a program's cancellation to participants. This policy should outline the mode of communication (email, text alert, etc.) used and the timeframe in which the program cancellation will be communicated to participants.

\*If there is no cancellation policy because the organization's programs are offered internally for employees only, it must be noted that the programs are for an internal audience in the application.



### **Complaint Resolution Policy**

The organization must submit a Complaint Resolution Policy. This policy is specific to satisfying the requirements of [Section 8](#). The expectation for this policy is that the organization must provide contact information to the participants in the event that they have a concern/complaint. The Complaint Resolution Policy should contain specific contact information such as the contact person's name, email address and/or phone number; it should also explain how the organization will address submitted complaints.

### **Course Update Policy**

The organization must submit a Course Update Policy. This policy satisfies the requirements of [Section 4, Paragraph 4.01](#). The expectation for this policy is that the organization must state and follow the guidelines regarding course updates.

In this policy, it should be stated that:

- Course documentation will contain the most recent publication, revision or review date.
- Courses will be revised as soon as feasible following changes to relative codes, laws, rulings, decisions, interpretations, etc. Courses in subjects that undergo frequent changes will be reviewed by a subject matter expert at least once a year. Other courses must be reviewed every 2 years.



## **Group Administrative Policies Template**

### **Record Retention Policy Recommended Text:**

The following specific documentation will be retained for a minimum of 5 years for [The Organization Name]’s Group programs:

- Records of program completion verification by individual participant, including the number of CPE credits earned by participant. The documentation maintained will adequately support the CPE program completion methodology selected by [The Organization’s Name].

If the group program uses an attendance log with indications of individual participant duration time, including sign in, sign out and any elongated breaks for program completion verification, then the attendance log for the program including all the aforementioned elements of information will be maintained.

If the group program is a webinar/webcast and a real time attendance monitoring mechanism was used to verify that participants are in attendance during the program, documentation that serves as the evidence of the individual participant response to the attendance monitoring mechanisms will be maintained.

- Dates and locations of group program offerings
- Documentation of how CPE credits were determined
- Documentation of participant engagement
  - [The Organization’s Name] will retain the program outline, agenda, speaker notes or other documentation that evidences the participant engagement related to course content during each credit of CPE planned for the group program. In certain limited circumstances, such as a high-profile keynote session, an element of participant engagement may not be appropriate. In such cases, [The Organization’s Name] will document the justification.
- Author/instructor, author/developer, and content reviewer, as applicable, names and credentials. For the CPA and tax attorney acting as an author/instructor, author/developer, and content reviewer for accounting, auditing, or tax program(s), the state of licensure, license number, and status of license will be maintained. For the enrolled agent acting in such capacity for tax program(s), information regarding the enrolled agent number will be maintained.
- Results of program evaluations
- Program descriptive materials (course announcement information)
- Program Materials



**Refund Policy Recommended Text:**

[The Organization Name]'s refund policy is as follows: [insert refund terms, including any applicable deadlines, limitations, or conditions.] To request a refund, please contact [contact name] at [contact email, phone number, etc].

\*For Free Programs: [The Organization Name]'s Group programs are offered free of charge; therefore, we do not have a refund policy.

\*For Internal Programs Only: [The Organization Name]'s Group programs are offered as internal only; therefore, we do not have a refund policy.

**Program Cancellation Policy Recommended Text:**

In the event that [The Organization Name] cancels a Group program, we will communicate this information via [insert method] to registered participants [insert time frame] prior to the originally scheduled program.

\*For Internal Programs Only: [The Organization Name]'s Group programs are offered as internal only; therefore, we do not have a program cancellation policy.

**Complaint Resolution Policy Recommended Text:**

To report complaints or concerns, please contact [contact's name] via email at [contact's email] or directly via phone at [contact's phone number]. [The Organization Name] will respond within 3-5 business days.

**Course Update Policy Recommended Text:**

[The Organization Name] includes the most recent publication, revision, or review date. Courses in subjects that undergo frequent changes such as updates to codes, laws, rulings, decisions, interpretations, etc. will be reviewed and revised, as necessary, by a subject matter expert as soon as possible but at least once a year to verify the currency of the content. Other courses will be reviewed and revised, as necessary, at least every two years.