# National Certification Board for Diabetes Educators

HANDBOOK

# 2016 Renewal of Certification by Continuing Education

| Type of Application | Application Window | Application Fee |
|---|---|---|
| Standard Deadline | July 1 - Sept 15 | $250 |
| Extended Deadline | Sept 16 - Oct 15 | $300* includes late fees |
| Late Deadline | Oct 16 - Dec 15 | $400* includes late fees |
| Grace Period Option | Dec 16 - Mar 31, 2017 | $500* includes late fees |

www.ncbde.org "CertifiedDiabetesEducators"

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## Important General Information

The Certification Program for Diabetes Educators is owned by the National Certification Board for Diabetes Educators (NCBDE). NCBDE is an autonomous specialty board responsible for the development and administration of the certification program for diabetes educators. NCBDE is independent and separate from any other organization or association. The Certified Diabetes Educator® (CDE®) credential is conferred only by NCBDE, a national, nongovernmental, not-for-profit certification organization. Certification is valid for a period of five (5) years. A registry of CDEs is maintained by NCBDE.

This *Renewal of Certification by Continuing Education Handbook* (Handbook) contains information about NCBDE's renewal of certification by continuing education option for CDEs. Individuals who elect to participate in the certification program are responsible for utilizing the most current Handbook and knowing its contents. This publication and application replace all previous editions of the Handbook.

NCBDE updates the information, fees and requirements in this Handbook on a regular basis and makes every effort to present all policies and directions clearly. Questions regarding policies or clarification of information should be directed to the NCBDE national office. NCBDE is not responsible for information that is not understood by the reader or obtained from any source other than NCBDE.

## National Office

National Certification Board for Diabetes Educators
330 E. Algonquin Road, Suite 4
Arlington Heights, IL 60005
Voice (877) 239-3233 or (847) 228-9795
Fax: (847) 228-8469
Web: www.ncbde.org
E-mail: info@ncbde.org

**NCBDE endeavors to process all applications promptly and professionally. Nevertheless, in the event an application is improperly accepted or rejected, or action on it is delayed due to an inadvertent processing error, NCBDE liability to the applicant is limited to a complete refund of the application fee.**

## IMPORTANT NEWS!

Your application to renew your CDE® credential using the renewal by continuing education option can now be completed and submitted online.

### Why apply online?

- Fast & Efficient – 24/7 access and provides you with almost instant notification of application status.
- Good for the environment – no paper application is necessary. Only CDEs who are chosen for audit need to provide paper documentation.

Details and instructions are provided in the Handbook…we hope you'll find this new option helpful and easy to use.

Note: Paper applications are still available – but must be obtained and printed using the following link: www.ncbde.org/assets/1/7/2016CEPaperAppFillableFinal_0316.pdf. Paper applications will be processed on a monthly batch basis and, therefore, notifications of receipt, status of application, and approval will be sent to applicants when possible after the batch has been processed.

## General Information on Process*

**☑ Done! Obtain and read the 2016 Renewal by CE Handbook**

**☐ Choose your method for renewing**

| Online Option – "Fast" Route | Paper Option – "Slow" Route |
|---|---|
| Login anytime within chosen window and select Renewal by CE menu | Go online to the NCBDE web site. |
| Application will prefill with your contact information. Edit as needed. | Download and print paper application. Read and fill out the application. |
| Review the attestation pages and agree as needed. | Mail application by postmark deadline of chosen window – recommended traceable method for proof of delivery. |
| Submit your payment via credit card or paypal. | **Approximately 6 weeks after applying**, you will receive notification that your application was received. |
| You will receive **immediate** notification that your application was successfully submitted. Then within 24 hours, you will receive e-mail notification that either 1) your renewal application has been approved and you have successfully renewed OR 2) you have been chosen for audit (random basis) and will need to submit hard copy audit paperwork. If audited, upon receipt of verification of requirements, you will be notified of your successful renewal. | **September or later** – depending on receipt, when most paper applications will be reviewed. Audit notices will be emailed (random basis). |
| | **In late October**, first batch of notification letters will be mailed. Other batches will follow on monthly basis. |

*These options are only available for the Standard, Extended and Late deadline options. If you are applying using the Grace Period option, you must submit a special Grace Period paper application and include documentation of continuing education activities. Please refer to Grace Period Option section of the Handbook, page 9.

# Renewal of Certification by Continuing Education – 2016

## Deadline Dates and Fees Overview

| | Continuing Education Activities and Practice Requirement Accrual Window†* | Application Fee | Application Window** | Receipt Notification |
|---|---|---|---|---|
| **Standard Deadline** | | $250 | July 1, 2016 to September 15, 2016 | 1) Online applications: Immediate confirmation is part of the online application process.<br><br>2) Paper applications: If more than 6 weeks have passed since the application was mailed and you have not received an e-mail notice of receipt, please contact the NCBDE national office. |
| First renewal | January 1, 2012 through Date of Application | | | |
| Renewed Previously by Continuing Education | Day after last application deadline used through Date of Application (See Renewal of Continuing Education, page 4) | | | |
| **Extended Deadline Option** | | $250 + 50 late fee $300 total | September 16, 2016 to October 15, 2016 | |
| First renewal | See above | | | |
| Renewed Previously by Continuing Education | See above | | | |
| **Late Deadline Option** | | $250 + 150 late fee $400 total | October 16, 2016 to December 15, 2016 | |
| First renewal | See above | | | |
| Renewed Previously by Continuing Education | See above | | | |
| **Grace Period Option** | | $250 + 250 late fee $500 total | December 16, 2016 to March 31, 2017 | Paper applications only. If more than 6 weeks have passed since the application was mailed and you have not received an e-mail notice of receipt, please contact the NCBDE national office. |
| First renewal | January 1, 2012 through December 15, 2016 | | | |
| Renewed Previously by Continuing Education | Day after last application deadline used through December 15, 2016 (See Grace Period Option, page 9). | | | |

† CDEs who allowed their credentials to lapse in 2010 or earlier and had their credentials reinstated by passing the Examination in 2011 must use the January 1, 2012 accrual start date.

*Activities must be completed prior to the date of application, regardless of the closing date of the window.

**Applications will be accepted beginning July 1, 2016 and will be accepted through the last date of each appropriate window. The closing date of each window is 11:59 pm CT of the last day of the window for online applications or postmark deadline if applying using a paper application. Paper applications received with a postmark date after a window has closed will be processed in the next available window. Processing will require payment of any increase in the application fee. NOTE: Paper applications received with a postmark after March 31, 2017 will not be processed and will be returned.

## Introduction

The purpose of this *Renewal of Certification by Continuing Education Handbook* (Handbook) is to provide information and guidance to individuals who are interested in renewing their Certified Diabetes Educator® (CDE®) credential through continuing education. This renewal option is available to current CDEs (exception: See Grace Period Option section, page 9). Any individual who has let their credential lapse and does not make use of the Grace Period Option, will need to apply and pass the Certification Examination for Diabetes Educators (Examination) in order to reinstate their certification. The *Handbook for the 2016 Certification Examination for Diabetes Educators* includes information on the Examination and the required Application to pursue this process. Visit the NCBDE web site for information on obtaining this document.

## Mission

The mission of the National Certification Board for Diabetes educators is to promote comprehensive and ongoing quality diabetes education and support by defining, developing, maintaining, and protecting the certification and credentialing processes.

## Definition of a Certified Diabetes Educator

A Certified Diabetes Educator® (CDE®) is a health professional who possesses comprehensive knowledge of and experience in prediabetes, diabetes prevention and management. The CDE® educates and supports people affected by diabetes to understand and manage the condition. The CDE® promotes self-management to achieve individualized behavioral and treatment goals that optimize health outcomes.

## Purpose

The purpose of the NCBDE certification program is to conduct certification activities in a manner that upholds standards for competent practice in diabetes self-management education. The CDE® credential demonstrates that the certified health professional possesses distinct and specialized knowledge, thereby promoting quality care for persons with diabetes. Certification is a voluntary process used to assess and validate qualified health care professionals' knowledge in diabetes education. It is an evaluative process that demonstrates that rigorous eligibility requirements have been met. Certification is not required by law for employment in the field, although some agencies may use board certification as a basis for employment, job promotions, salary increases, or other considerations.

## Objectives

Objectives of the certification program are to

- provide a mechanism to demonstrate professional accomplishment and growth
- provide formal recognition of specialty practice and knowledge at a mastery level
- provide validation of demonstrated dedication to diabetes education to consumers and employers
- promote continuing commitment to best practices, current standards and knowledge

## Responsibility for Certification

This certification program is owned by NCBDE and all decisions made by NCBDE with respect to the certification program are final.

## Canons of Ethical Conduct

NCBDE has adopted Canons of Ethical Conduct and Rules and Procedures (see Appendix III, page 15). All CDEs must attest to and agree to abide by the Canons and Rules and Procedures.

## Definition of Diabetes Education

Diabetes education, also referred to as diabetes self-management education or diabetes self-management training is performed by health professionals who have appropriate credentials and experience consistent with the particular profession's scope of practice. For purposes of this Handbook, diabetes self-management education (DSME) is used.

DSME± involves the person with prediabetes or diabetes and/or the caregivers and the educator(s) and is defined as the ongoing process of facilitating the knowledge, skill, and ability necessary for self-care. It is a component of a comprehensive plan of diabetes care. The process incorporates the needs, goals and life experiences of the person with prediabetes or diabetes and is guided by evidence-based standards. The overall objectives of DSME are to support informed decision-making, self-care behaviors, problem-solving and active collaboration with the health care team and to improve clinical outcomes, health status, and quality of life. The process includes:

- An individual assessment and education plan developed collaboratively by the individual and educator(s) to direct the selection of appropriate educational interventions and self-management support strategies.
- Educational interventions directed toward helping the individual achieve self-management goals.

- Periodic evaluations to determine attainment of educational objectives or need for additional interventions and future reassessments.
- A personalized follow-up plan developed collaboratively by the individual and educator(s) for ongoing self-management support.
- Documentation in the education record of the assessment and education plan and the intervention and outcomes.

In addition, program development and administration provided in support of diabetes patient education program are considered part of the DSME process.

±Adapted from *National Standards for Diabetes Self-Management Education,* American Diabetes Association Clinical Practice Recommendations. Diabetes Care, Vol. 37, Supplement 1, January, 2014.

## Statement of Nondiscrimination Policy

NCBDE does not discriminate among applicants on the basis of age, gender, race, religion, national origin, disability, or marital status. All applications submitted for certification are individually reviewed on the basis of information submitted.

## Disciplinary Policy

NCBDE may deny, revoke, or otherwise act on any application for certification or on any CDE® credential when an individual is not in compliance with NCBDE requirements. NCBDE has the right to suspend, withhold, revoke, censure, or take other appropriate action with regard to certification status for validated cause and to make such actions public. Certification may be withheld, denied or revoked, or applications rejected for reasons including, but not limited to, the following:

1. Falsification of application information
2. Noncompliance with review and audit procedures
3. Loss of current, active, unrestricted licensure or registration
4. Revocation or suspension of current license or other credential, or other disciplinary action by a licensing or regulatory board or registration commission/agency
5. Validated unethical practice of diabetes education
6. Violation of the Canons of Ethical Conduct
7. Giving or receiving assistance during the Examination
8. Removing or attempting to remove Examination information or materials from the test center
9. Representing oneself falsely as a Certified Diabetes Educator®
10. Obtaining or attempting to obtain certification, whether initial or renewal, by fraud or deception
11. Unauthorized possession and/or distribution of any official NCBDE testing or Examination materials
12. Ineligibility for certification, as determined by NCBDE
13. Misrepresentation or fraud in any statement on the certification Application made to assist individual to apply for, obtain, or renew certification.

## Confidentiality Policy

All information provided to NCBDE may be used for a variety of analyses to study diabetes educators, certified diabetes educators, and the practice of diabetes education. However, information sharing will be limited to data reports in aggregate form or documents that do not contain personally identifiable information.

Published studies and reports concerning applicants (exam and renewal by continuing education) will contain no information identifiable with any individual, unless authorized by the applicant.

Information on the status of an individual's certification is considered public information, though verification requests may require specific information from the individual or requesting body to ensure correct identification of the individual in question.

## Renewal of Certification

Renewal of certification must be completed during the calendar year in which an individual's CDE® credential expires. If a CDE® can document meeting the renewal practice requirements, renewal may be done either by continuing education or by taking the Examination. Certification renewal demonstrates that professionals previously certified have maintained a level of contemporary knowledge in diabetes education. NCBDE requires all CDEs to recertify every five (5) years to maintain certification status. It is the responsibility of each CDE® to stay abreast of changes in certification and/or renewal requirements and to recertify in a timely manner. Valid dates of the credential should be monitored and application for renewal submitted by published deadlines. Extensions of certification are not granted.

## Eligibility Requirements for Renewal of Certification by Continuing Education

For CDEs whose credentials will expire 12/31/2016:

1. Individuals must continue to hold the license or registration for the same discipline held at the time of initial certification. This license or registration must be current, active, and unrestricted at the time of renewal.
2. A minimum of 1,000 hours of professional practice experience during the five-year certification cycle. NOTE: Refer to the Renewal Practice Requirement section, page 5, for additional information on the practice requirement.
3. Application Fee(s) Payment

## Renewal by Continuing Education

Renewal of certification by continuing education requires that CDEs complete 75 clock hours of continuing education in content areas applicable to diabetes during the certification cycle.

For those renewing for the first time*, the start date for accruing continuing education hours is the January 1 following the year of initial certification (e.g., first certified in 2011, January 1, 2012 is start of accrual period).

For those who have previously renewed, the start date for accruing continuing education is the day after the application deadline date of their last renewal by continuing education or the fall exam deadline date (e.g., for those renewing in 2016, those who renewed by continuing education using the standard deadline of September 15, 2011, accrual starts September 16, 2011; for a CDE who renewed by examination on June 6, 2011, the accrual date starts on September 16, 2011).

All hours must be obtained prior to the date of application for renewal.

* CDEs who allowed their credentials to lapse in 2010 or earlier and had their credentials reinstated by passing the Examination in 2011 must use the January 1, 2012 accrual start date.

## Renewal Practice Requirement

For CDEs renewing in 2016, it will be necessary to attest (and document upon audit) that a minimum of 1,000 hours of professional practice experience was accrued. The professional practice requirement for renewal of certification, however, is NOT the same as that required for initial certification. NCBDE recognizes that diabetes education is an evolving specialty and that experienced CDEs often assume roles other than the practice of diabetes self-management education required for initial certification.

### Definition of Professional Practice

For purposes of renewal of certification, practice means providing a direct or indirect professional contribution to the care and self-management education of people with diabetes.

For those renewing in 2016, the 1,000 hours of professional practice experience requirement must have:

- Taken place in the United States or its territories.
- Been completed during the appropriate five year certification cycle.
  - ♦ For those renewing for the first time, the start date for accruing professional practice hours is the January 1 following the year of initial certification (e.g., first certified in 2011, accrual period starts January 1, 2012).
  - ♦ For those who have previously renewed, the start date for accruing practice hours is the day after the application deadline date of their last renewal by continuing education or the fall examination deadline date (e.g., for those renewing in 2016, those who renewed by continuing education on September 15, 2011, accrual starts September 16, 2011; for a CDE who renewed by examination on June 6, 2011, the accrual date starts on September 16, 2011).

All hours must be obtained prior to the date of application for renewal.

NOTE: There is no requirement for how or when this must be accomplished, e.g., to complete 200 hours per year each of the five years, or to be practicing at the time of application.

### What is Included in the Definition

This definition is intended to be as inclusive as possible of positions currently held by CDEs, including program development, program management, public health/community surveillance, volunteer activities, diabetes related research, clinical roles in diabetes industry, case management, professional education, consultant roles to industry or other providers, or others.

### What is NOT Included in the Definition

Employment in the manufacture, direct sales, or distribution of diabetes-related products or services in pharmaceutical or other diabetes-related industries, or jobs or volunteer activities unrelated to diabetes will not meet the practice requirement.

### For Those Unable to Meet the Practice Requirement

For CDEs who wish to maintain certification status but do not or cannot meet the practice requirement, there is only one renewal option. That method requires successful completion of both the Examination and the accrual of 75 clock hours of acceptable continuing education. During the accrual period that certification is valid, if a CDE® has practiced less than the required 1,000 hours, has taken employment unrelated to diabetes care and education, is on leave from employment or has retired, but still wishes to maintain certification as a diabetes educator, the requirements to hold a current, active unrestricted license or registration for the same discipline held at the time of initial certification and to demonstrate knowledge of current standards and practices by passing the Examination and documenting relevant continuing education activities are required. No exceptions will be available. Refer to the ***2016 Certification Examination for Diabetes Educators Handbook*** for information on how to apply for renewal under this situation.

## General

Renewal by continuing education in 2016 is available only to CDEs who can document meeting the renewal practice requirements and whose credentials expire 12/31/2016. Applicants must apply by the published deadline date and submit applicable fee(s).

## Application Process-Standard, Extended or Late Deadline

Before applying, individuals will want to closely review the Deadline Dates and Fees Overview section on page 1, as well as Appendix I – Guidelines for Reporting Continuing Education Activities, page 11, for important details about the application process.

Applicants must apply by the published deadline date and submit applicable fee(s). All applications submitted become the property of NCBDE. Those who apply are advised to retain a copy for personal reference. Under no circumstances are applications, including copies, returned to applicants.

There are two ways to apply for renewal by continuing education – either online or using a paper application. Note: Paper applications must be obtained and printed using the following link: https://www.ncbde.org/assets/1/7/2016CEPaperAppFillableFinal_0316.pdf.

Documentation of eligibility does not need to be submitted with an application for renewal by continuing education. However, NCBDE reserves the right to verify and/or audit information supplied by the applicant. If selected for an audit, the applicant will be asked to submit appropriate documentation supporting eligibility. The necessary documentation must be received by the deadline date. Individuals selected for audits will not be able to complete the review process until the audit is successfully completed. The NCBDE national office is unable to provide the status of an audit via telephone, facsimile, or email.

**How to Apply for Renewal by Continuing Education**
There are two methods available for applying for renewal by continuing education:

- Online application
- Paper application

1. **Online Application:** Access the application online by visiting the NCBDE web site at www.ncbde.org. Click on "CDE Login" option (top left hand corner) and complete the log in process using your user name and password. Review carefully the notes provided and complete the application. Choose menu option: Online Renewal Application.

After the application information and payment using a credit card or paypal option have been submitted, eligibility is confirmed and a notice of acceptance or audit is provided within 24 hours. (Note: before applying online, individuals will want to closely review the Deadline Dates and Fees Overview section on page 1, as well as Appendix I – Guidelines for Reporting Continuing Education Activities, page 11).

Note: An application must be submitted with payment prior to the closing of any window to be considered under that window. NCBDE cannot be held responsible for times when the web site or renewal application option is not available online. Therefore, it is not recommended that individuals wait until immediately before a window is closing to submit an application, e.g., do not wait until 10:30 pm CT or later on September 15, 2016 to apply under the standard window in the event that there are issues with your own computer or internet access or interruptions preventing you from being able to access NCBDE's web site or complete the application process.

**OR**

2. **Paper Application**: Complete and submit to NCBDE a paper application and appropriate fee (credit card, company check, personal check, cashier's check or money order). The application can be found on the NCBDE web site at: https://www.ncbde.org/assets/1/7/2016CEPaperAppFillableFinal_0316.pdf.

Any application is considered complete only if all the information requested is documented, legible and accurate, if the applicant is eligible for renewal by continuing education, and if the appropriate fee accompanies the application.

NCBDE processes the application and within approximately 6 weeks from receipt of the application sends a confirmation notice by email. If a confirmation notice is not received within 6 weeks after mailing the application, contact NCBDE at 877-239-3233.

Note: Paper applications will only be processed on a monthly batch basis and, therefore, notifications of receipt, status of application, and notifications of audit and/or approval will be sent to applicants as soon as possible after the batch has been processed.

See Application Status, 2. Paper Application, page 8, for additional information.

## Renewal of Certification by Continuing Education Fees

**Standard deadline** . . . . . **$250**
(online application completed no later than 11:59 pm CT or paper application postmarked no later than 9/15/2016)

**Extended deadline** . . . . . $250 + $50 late fee = **$300**
(online application completed no later than 11:59 pm CT or paper application postmarked no later than 10/15/2016)

**Late deadline** . . . . . $250 + $150 late fee = **$400**
(online application completed no later than 11:59 pm CT or paper application postmarked no later than 12/15/2016)

**Grace Period Option**. . . . . $250 + $250 late fee = **$500**
(**paper Grace Period application only**, postmarked no later than 3/31/2017)

**Fees for online applications may be paid by credit card (VISA, MasterCard, Discover, or American Express) or paypal. Paper applications may be paid by credit card or check. Do not send cash.** Please allow up to six weeks after the application deadline for the processing of checks. Declined credit cards and/or insufficient fund checks returned to NCBDE are subject to a penalty. Repayment of a declined credit card or payment for an insufficient fund check and the penalty must be made with a cashier's or certified check or money order. Unless and until all fees have been paid in full, application processing will not be completed.

Processing of payment does not confirm renewal by continuing education has been approved. In the event an application for renewal of certification by continuing education is not accepted by NCBDE, a $100 nonrefundable processing fee and any applicable late and penalty fees will be retained and the remainder of the application fee refunded.

**Please note that a receipt verifying the application fee (and/or late fee) is not available separately from NCBDE on an individual basis.** Whenever possible, NCBDE will confirm the application fee paid in the notification letter provided after the application has been approved. NCBDE highly recommends that you keep a copy of the payment method for your own records.

## Adherence to Published Policies

Eligibility requirements, application deadlines, and fee payment policies are strictly enforced by NCBDE. Applications must be submitted by the specified deadline dates. Online applications will be processed in the next available window, except after the deadline for the late window has passed. Paper applications submitted after published deadline dates cannot be processed and applications will be returned. Absolutely no exceptions will be made. If requested, applicants must respond with additional information to verify eligibility.

**For those using the paper application option, applicants are advised to send applications to NCBDE using certified mail or traceable courier services.** NCBDE is not responsible for lost, misdirected, late or undelivered mail. A certified mail, certificate of mailing, or other courier receipt can serve as proof that the application was mailed by the deadline. For mailed applications, deadlines are postmark dates on the mailing envelope when sent by U.S. mail. Private metered postmarks and mail receipts not dated by the U.S. Postal Service are not acceptable as proof of timely mailing.

## Changes after the Application is Submitted

NCBDE must be notified in writing of any change in name or address that occurs after the application has been submitted.

## Audit Policy

NCBDE conducts random audits on a regular basis and also reserves the right to verify and/or audit at any time any application submitted for certification.

CDEs whose applications are selected for audit must submit:

1) proof of holding an active, current unrestricted license/registration held at the time of initial certification;
2) proof of meeting the renewal practice requirement by providing a verification statement from a supervisor or, for self-employment, other qualified health care professional; and
3) proof of meeting the continuing education requirements by providing copies of certificates of completion, verifications of attendance issued by a recognized provider on NCBDE's list, or other relevant proof of completion or attendance issued by the recognized provider for each continuing education activity submitted. Each document must include the name of the attendee, title of the activity, date(s) the program was attended or completed, the recognized provider(s), and the total number of credits or contact hours awarded.

To see the current audit documentation, visit the web site at: https://www.ncbde.org/assets/1/7/2016AuditDocuments RenewalCert2016_FillableFinal.pdf.

## Rejected Applications

1. Applications may be rejected under the following circumstances:
   A. NCBDE determines that the applicant did not meet eligibility requirements.
   B. The application is incomplete or improperly completed.
   C. The application and/or fee are not submitted by the published deadline date.
   D. The applicant, if selected for audit, does not submit required documentation by the deadline date.

   When an application is rejected for any of these reasons, the application fee, minus a $100 processing fee and any applicable late and penalty fee(s), will be refunded.

2. Applications may be rejected if the payment for the application fee(s) is not honored by the card issuer or bank and is not resubmitted on a timely basis. In addition to payment of application fee, applicant will owe a $100 processing fee and any applicable late and penalty fee(s).

## Appeals

Appeals are available only to individuals whose applications are rejected because of failure to meet eligibility requirements. The procedure for filing an appeal is sent with the notice of ineligibility. If an individual elects to file an appeal, the expiration date of the individual's CDE® credential will be temporarily extended until the appeal process has been completed.

Appeals are not available to individuals whose applications are rejected for any other reason, including being incomplete or improperly completed, or when for other reasons evaluation of the application cannot be completed.

## Withdrawals and Refunds

Once submitted, applications for renewal of certification by continuing education may not be withdrawn and fees are not refunded.

## Application Status

**1. Online Application**

Completed applications submitted using the online option will receive notification within 24 hours of successful renewal or alert of audit notification*.

***Important Note**: For any online applications submitted using the late/December deadline – any individuals chosen for audit may not receive confirmation of successful renewal until after December 31, 2016. Therefore, CDEs using the late application deadline should be aware that they may not receive this notification until after that date. *An individual should NOT use the CDE® credential after December 31, 2016 until notification that certification has been renewed is received.*

**OR**

**2. Paper Application**

Receipt of Paper Applications

NCBDE processes applications approximately six weeks after receipt. Notices verifying receipt are sent by e-mail at that time. See Adherence to Published Policies section, page 7, for recommended mailing method. If the e-mail receipt notification is not received within 6 weeks after application is mailed, contact NCBDE at (877) 239-3233 or (847) 228-9795 or via email at info@ncbde.org.

Review of Paper Applications

Review of paper applications for renewal by continuing education is done on a batch basis, with audit notices being sent after initial review. Please note that even for applications submitted early in the application window, the review process will likely NOT be completed until October at the earliest, and in addition, depending upon submission date, the review process can be conducted as late as November or December**. With completion of the review process, notices are sent to individuals as soon as possible. Decisions regarding renewal by continuing education are communicated in writing. The NCBDE national office does not provide the status of an application via telephone, fax or electronically.

****Important Note**: Though all possible efforts will be made to prevent any individual applying using the paper application from receiving their letter of notification after December 31, 2016, CDEs using the late application deadline, especially if chosen for audit, should be aware that it is possible that they may not receive their letters of notification until after that date. *An individual should NOT use the CDE® credential after December 31, 2016 until notification that certification has been renewed is received.*

## Grace Period Option

Individuals with an expired credential of 12/31/16, who meet the professional practice experience requirement and the renewal by continuing education requirement, can reinstate their credential by documenting 75 hours of acceptable continuing education activities (same guidelines, accrual cycle as original date). Making use of this option reinstates the credential with no change to the renewal cycle or certification number.

**Details:**

1. Practice requirement hours and continuing education activities accrued no later than December 15, 2016.
2. Paper "**Grace Period**" application to be submitted via mail only, including:
   - Documentation of all continuing education activities
     (see Audit Policy, page 7)
   - Fee: $500 (total fee includes late fee of $250)
   - Must be postmarked no later than March 31, 2017
     (see Adherence to Published Policies, page 7)

   The application can be found on the NCBDE web site at: https://www.ncbde.org/assets/1/7/2016 CEGracePeriodApp.pdf
3. After December 31, individuals cannot use the credential until renewal approval notice is received.
4. Certificates and wallet cards will be mailed approximately 3 months after approval notice is received.
5. All policies regarding applications as noted on pages 7 and 8 are applicable for this reinstatement option.

## Certificates and Wallet Cards

For those CDEs who receive notices of successful completion of renewal of certification by continuing education, complimentary certificates and wallet cards will be mailed by NCBDE approximately 3 months after approval notice is received*.

* For those using the Grace Period Option, see Grace Period Option, page 9.

## Use of Certification Marks

Certification is a process by which recognition is granted to an individual who has satisfactorily met all requirements. Only after receiving official written notice of either passing the Examination or renewing certification may an individual use the mark "CDE®" following his/her name. The marks CDE®, CERTIFIED DIABETES EDUCATOR®, and CDE® in the design form(s) approved by NCBDE, are also used on certificates, lapel pins, cards, and promotional materials in accordance with NCBDE policies. CDE® CERTIFIED DIABETES EDUCATOR (and Design)® and CDE® are federally registered certification marks.

The CDE® designation is not punctuated with periods. An example of proper use of the CDE credential is as follows: Joan M. Smith, RN, CDE®.

# Appendix I

## Guidelines for Reporting Continuing Education Activities

### 1. Self-Assessment

It is expected that health professionals specializing in diabetes self-management education will want to demonstrate through renewal of certification that their knowledge and skills are up-to-date and that they are able to practice proficiently and safely. It is hoped that all CDEs who select renewal of certification by continuing education will engage in a personal assessment to identify professional needs and participate in appropriate activities.

### 2. Renewal by Continuing Education Cycles

For those renewing for the first time, the start date for accruing professional practice hours is the January 1 following the year of initial certification.

For those who have previously renewed, the start date for accruing practice hours is the day after the deadline date of their last renewal by continuing education or the fall exam deadline date (e.g., for those renewing in 2015, those who renewed by continuing education using the standard deadline of September 15, 2010, accrual starts September 16, 2010; for a CDE who renewed by examination on June 6, 2010, the accrual date starts on September 16, 2010).

All hours must be obtained prior to the date of application for renewal.

### 3. Continuing Education:

- must be approved by a provider on the NCBDE List of Recognized Providers (See page 12).
- must be applicable to diabetes. All subject matter on the Certification Examination Content Outline published in the current Handbook (See Appendix II, page 13) is considered applicable to diabetes.
- must be completed as defined by the renewal of continuing education cycles policy. (All continuing education activities must be completed prior to the application deadline and before submitting the application.)
- must be at a professional level that enhances the quality and effectiveness of diabetes self-management education practice.
- does not have to be discipline specific nor does it have to be in any specific area of concentration, e.g., social workers may attend a diabetes related nursing program and use those clock hours for renewal of certification.

**Activities acceptable for renewal of certification by continuing education**

- Continuing education courses
- Independent study
- Seminars
- Online programs
- Workshops
- Telephonic or video conference programs
- Conferences

**Activities NOT acceptable for renewal of certification by continuing education**

- Academic courses
- Other certification/credentials awarded
- Elected office or serving on Boards and/or Committees
- Articles or books written by the certificant
- Journal clubs or professional reading
- Presentations or lectures by the certificant
- Posters or poster sessions and exhibits
- Preceptorships or mentor hours
- Research
- Volunteer activities

### 4. Continuing Education Hour

A. All continuing education activities must be reported in clock hours, i.e., the actual time spent on the continuing education activity, not contact hours, credits, or units awarded by the recognized provider. One clock hour equals 60 minutes.

B. Presentations – Participants may include in the time to be counted as clock hours the course overview, introductions, the educational presentation, and questions and answers. Time may not be counted for general announcements, breaks, lunch, exhibits, or poster sessions.

C. Self study programs (online or written booklets) – Participants may count the actual time spent on completing the activity. Clock hours submitted cannot be more than the number of contact hours/credits/units awarded by the recognized provider.

## 5. Recognized Continuing Education Providers

Continuing education activities must be provided by or approved by one of the following:

American Association of Diabetes Educators (AADE) *https://www.diabeteseducator.org/education-career*
American Diabetes Association (ADA) *http://professional.diabetes.org/*
Academy of Nutrition and Dietetics (ACADEMY) *http://www.eatrightpro.org/resources/career/professional-development*
Accreditation Council for Pharmacy Education (ACPE) Accredited or Approved Providers
*http://www.acpe-accredit.org/pharmacists/default.asp*
Accreditation Council for Continuing Medical Education (ACCME-AMA) Accredited or Approved Providers
*http://www.accme.org/physicians-and-health-care-professionals*
American Nurses Credentialing Center (ANCC) Accredited or Approved Providers
*http://www.nursecredentialing.org/Accreditation/AccreditedOrganizations*
American Academy of Family Physicians (AAFP) *http://www.aafp.org/cme.html*
American Association of Nurse Practitioners (AANP)
*http://www.aanp.org/education/continuing-education-ce/ce-opportunities*
American Academy of Optometry (AAO) *http://www.aaopt.org/*
American Academy of Physician Assistants (AAPA) *https://www.aapa.org/navigatorlanding.aspx?id=389*
American Association of Clinical Endocrinologists (AACE) *https://www.aace.com/*
American College of Endocrinology (ACE)
American College of Sports Medicine (ACSM) *http://www.acsm.org/find-continuing-education*
American Medical Association (AMA)
*http://www.ama-assn.org/ama/pub/education-careers/continuing-medical-education.page*
American Nurses Association (ANA) *https://learn.ana-nursingknowledge.org/*
American Occupational Therapy Association (AOTA) *http://www.aota.org/Education-Careers/Continuing-Education.aspx*
American Physical Therapy Association (APTA) *http://www.apta.org/CareersEducation/*
American Psychological Association (APA) *http://www.apa.org/ed/ce/index.aspx*
Commission on Dietetic Registration (CDR) Accredited or Approved Providers
*https://www.cdrnet.org/products/continuing-professional-development-education*
Council on Continuing Medical Education (CCME-AOA) Approved Sponsors
*http://www.osteopathic.org/inside-aoa/development/continuing-medical-education/Pages/default.aspx*
Council on Podiatric Medical Education (CPME-APMA) Approved Sponsors
*http://www.cpme.org/education/content.cfm?ItemNumber=2422&navItemNumber=2237*
International Diabetes Federation (IDF) *http://www.idf.org/*
National Association of Clinical Nurse Specialists (NACNS) *http://www.nacns.org*
National Association of Social Workers (NASW) *http://www.socialworkers.org/ce/approval/default.asp*
National Commission for Health Education Credentialing (NCHEC) Designated Providers
*http://www.nchec.org/continuing-education*

Continuing education hours from accredited academic institutions within the United States or its territories granting degrees related to professional practice are also accepted. Contact the NCBDE national office for information.

# Appendix II

## Examination Content Outline

**I. Assessment of Diabetes and Prediabetes (60)**

A. Assess Learning/Self-Care Behaviors (20)
1. Goals and learning needs
2. Learning readiness (attitudes, developmental level, perceived learning needs, etc.)
3. Learning style (audio, visual, observational, psychomotor, etc.)
4. Barriers to learning (concrete vs. abstract thinking, literacy and numeracy levels, language, cultural values, religious beliefs, health beliefs, psycho-social and economic issues, family dynamics, etc.)
5. Physical capabilities/limitations (visual acuity, hearing, functional ability, etc.)
6. Readiness to change behavior (confidence in ability to change, value of change, etc.)

B. Assess Medical/Health/Psychosocial and Economic Status (20)
1. Diabetes-specific health history (duration, symptoms, complications, adherence to standards of care, treatment, etc.)
2. General health history (family history, allergies, medical history, nutrition history, etc.)
3. Previous and current medication regimen (medication dosage, prescription and nonprescription drugs, herbals, alternative remedies, adverse reactions, etc.)
4. Treatment fears and myths (hypoglycemia, hyperglycemia, needles, weight gain, etc.)
5. Family/Caregiver dynamics and social supports
6. Substance use (alcohol, tobacco, caffeine, etc.)
7. Developmental transitions and mental health status (age, life stages, coping ability, adjustment to diagnosis, etc.)
8. Specific barriers to diabetes self-care regimen (cognitive ability, language, cultural, spiritual, psychosocial, physical, economic, etc.)
9. Diabetes-specific physical assessment (injection and blood glucose monitoring sites, blood pressure, weight, height, body mass index, lower extremities, acanthosis nigricans, etc.)
10. Laboratory and patient collected data trends (blood glucose, A1C, lipid profile, renal/liver function, etc.)

C. Assess Current Knowledge and Self-Management Skills (20)
1. Diabetes (e.g., pathophysiology)
2. Eating patterns (food and beverage preferences, portion sizes, timing of meals and snacks, eating environment, disordered eating, etc.)
3. Exercise/Physical activity history and/or level
4. Monitoring techniques and equipment (blood glucose, ketones, blood pressure, weight, foot examination, etc.)
5. Record keeping activities (blood glucose, food, activity, etc.)
6. Medication use (oral and injectable medications, administration technique, delivery systems, timing and dosage, adherence, etc.)
7. Use of health care resources (health care professionals, insurance, etc.)

**II. Interventions for Diabetes and Prediabetes (89)**

A. Collaborate with Patient/Family/Caregiver/Healthcare Team to Develop: (16)
1. Individualized diabetes education plan based on assessment (learning objectives, sequence of information, selection of content, communication, etc.)
2. Instructional methods (discussion, demonstration, role playing, simulation, technology-based platforms, etc.)
3. Behavioral goals (S.M.A.R.T. goals, AADE-7, etc.)

B. Teach/Counsel Regarding Principles of Care (50)
1. General topics
   a. Classifications and diagnosis (ADA Clinical Practice Recommendations, AACE, etc.)
   b. Modifiable risk factors (lifestyle behaviors, etc.)
   c. Pathophysiology (auto-immunity, MODY, insulin resistance, fuel metabolism, secondary diabetes, etc.)
   d. Effects and interactions of physical activity, food, medication, and stress
   e. Treatment options (choices, availability, cost, risk/benefit, etc.)
   f. Goals of treatment (blood glucose, A1C, blood pressure, lipids, quality of life, prevention of complications, etc.)
   g. Purpose of laboratory tests (A1C, lipids, kidney and liver function tests, etc.)
   h. Evidence-based diabetes research
2. Living with diabetes and prediabetes
   a. Psychosocial adaptation (new diagnosis, complications, coping skills, etc.)
   b. Psychosocial problems (depression, eating disorders, divorce, etc.)
   c. Role/Responsibilities of care (patient, family members, team, shared responsibility, etc.)
   d. Decision making/Behavior change skills
   e. Safety (sharps disposal, medical ID, driving, etc.)
   f. Hygiene (dental/skin/feet, etc.)
   g. Social/Financial issues (employment, insurance, disability, discrimination, etc.)
3. Metabolic monitoring
   a. Glucose (testing sites, meter selection, sensor, etc.)
   b. A1C
   c. Blood pressure
   d. Regimen and record keeping (blood glucose logs, food records, etc.)
   e. Lipids/Cholesterol
   f. Liver/Renal monitoring (liver function studies, microalbuminuria, serum creatinine, etc.)
   g. Ketones
4. Nutrition principles and guidelines
   a. ADA and Academy of Nutrition and Dietetics nutrition recommendations (meal planning, macro/micronutrients, etc.)
   b. Carbohydrates (food source, sugar substitutes, fiber, carbohydrate counting, etc.)
   c. Fats (total, saturated, monounsaturated, etc.)
   d. Protein (renal disease, wound care, etc.)
   e. Food and medication integration (medication timing, meal timing, etc.)

f. Food label interpretation (nutrition facts, ingredients, health claims, etc.)
g. Alcohol (amount, precautions)
h. Weight management (adult and childhood obesity, failure to thrive, etc.)
i. Special considerations (food allergies, gastroparesis, celiac disease, bariatric surgery, etc.)

5. Physical activity
   a. ADA and American College of Sports Medicine recommendations
   b. Benefits, barriers, and precautions (e.g., post exercise delayed onset hypoglycemia)
   c. Exercise/Activity plan (aerobic, resistance training, etc.)
   d. Adjustment of monitoring, food, and/or medication
6. Pharmacologic management
   a. ADA/European Association for the Study of Diabetes (EASD), AACE guidelines
   b. Medications (insulin, oral and injectable medications, administration, side effects, etc.)
   c. Delivery systems (pump therapy, devices, etc.)
   d. Medication adjustment
   e. Interactions (drug-drug, drug-food, etc.)
   f. Non-prescription preparations
7. Acute complications: causes, prevention, and treatment
   a. Hypoglycemia
   b. Hyperglycemia
   c. Diabetic ketoacidosis (DKA)
   d. Hyperosmolar hyperglycemic state (HHS)
8. Chronic complications and comorbidities: causes, prevention, and treatment
   a. ADA Clinical Practice screening recommendations
   b. Eye disease (retinopathy, cataracts, glaucoma, etc.)
   c. Sexual dysfunction
   d. Neuropathy (autonomic, peripheral, etc.)
   e. Nephropathy
   f. Vascular disease (cerebral, cardiovascular, peripheral, etc.)
   g. Lower extremity problems (foot ulcers, Charcot foot, etc.)
   h. Dermatological (wounds, yeast infection, ulcers, etc.)
   i. Dental and gum disease
   j. Co-morbidities (hypertension, depression, cognitive dysfunction, thyroid disease, celiac disease, obesity, sleep apnea, polycystic ovarian syndrome, etc.)
9. Other management issues
   a. Honeymoon period, dawn phenomenon, Somogyi effect
   b. Hypoglycemia unawareness
   c. Sick days
   d. Physical capabilities/Limitations (visual acuity, hearing, functional ability, etc.)
   e. Surgery and special procedures
   f. Travel and disaster preparedness
   g. Transition populations (pediatric, geriatric, care settings, etc.)
   h. Pre-conception planning, pregnancy, post-partum, and gestational diabetes
   i. Changes in usual schedules (shift, religious, cultural, etc.)
   j. Assistive and adaptive devices (talking meter, magnifier, etc.)
   k. Substance use (tobacco, marijuana, illicit drugs, etc.)
   l. Pump/Device malfunctions
   m. Disparities (economic, access, sex, ethnicity, geographic, mental capabilities, etc.)

C. Evaluate, Revise, and Document (17)
   1. Weight, blood glucose, food intake, medication regimen, physical activity plan
   2. Patient self-reports and/or device downloaded reports
   3. Evaluate effectiveness of teaching in the following:
      a. Achievement of objectives
      b. Progress towards behavioral goals
      c. Self-management skills
      d. Psychosocial adaptation
   4. Ongoing plans for achieving and evaluating objectives and behavioral goals

D. Referral and Follow-Up (6)
   1. Issues requiring referral to other (health care) professionals
      a. Additional diabetes education
      b. Medical nutrition therapy
      c. Exercise prescription
      d. Mental health
      e. Medical care (foot care, dilated eye exam, pre conception counseling, etc.)
      f. Financial and social services
      g. Risk reduction (smoking cessation, obesity, preventative services, etc.)
      h. Medication consult
      i. Discharge planning, home care, community resources (visual, hearing, language, etc.)
   2. Communication between diabetes educator and provider
   3. Diabetes Self-Management Support (DSMS) (pharmaceutical industry, community resources, and/or health plan coaches/case managers, etc.)

**III. Disease Management (26)**

A. Education and Program Standards (8)
   1. Translate National Standards for Diabetes Self-Management Education and Support (NSDSMES)
   2. Perform needs assessment (target population, etc.)
   3. Develop curriculum (identify program goals, content outline, lesson plan, teaching materials, etc.)
   4. Choose teaching methods and materials for target populations
   5. Evaluate program outcomes (number of people served, provider satisfaction, patient satisfaction, effectiveness of diabetes education materials, etc.)
   6. Assess patient outcomes (behavior changes, A1C, lipids, weight, quality of life, ER visits, hospitalizations, work absences, etc.)
   7. Perform continuous quality improvement activities
   8. Maintain patient information/demographic database

B. Clinical Practice (16)
   1. Apply inpatient standards (AACE, ADA, Endocrine Society, etc.)
   2. Apply outpatient standards (AACE, ADA, Endocrine Society, etc.)
   3. Target high-risk populations for intervention
   4. Identify health care professionals in need of education

C. Engage in Diabetes Advocacy (community awareness, health fairs, work place, legislative efforts, media, etc.) (2)

# Appendix III

## Canons of Ethical Conduct and Rules and Procedures

### Canons of Ethical Conduct

**I. PREAMBLE**

**C1.1 Introduction**

The practice of diabetes self-management education ("Profession") is a recognized allied health profession. The Certified Diabetes Educator® ("CDE") assumes specific responsibilities to physicians or other licensed/registered healthcare professionals, people with diabetes or pre-diabetes and their significant other(s), the public, associates, and to the Profession itself. These responsibilities must be discharged with honor and integrity to assure the maintenance of public confidence in the Profession and to protect the person with diabetes or pre-diabetes and his/her significant other[s]. For the purposes of these Canons of Ethical Conduct ("Canons"), the term "CDE" shall mean any person who has earned the certification offered by the National Certification Board for Diabetes Educators (the "Board"). As used herein, "Committee" refers to the Professional Discipline Committee of the Board.

The Profession exists for the primary purpose of recognizing and advancing the specialty practice of diabetes self-management education (DSME) and support. CDEs are responsible for maintaining and promoting ethical practice, including, without limitation, reporting unethical practices in accordance with these Canons. These Canons, adopted by the Board, shall be binding upon all CDEs and candidates approved to take the CDE certification examination.

**C1.2 Ethics, Custom and the Law**

Unethical conduct may involve violations of customs and usages of the Profession as well as actions that violate the law and regulations. Failure to conform to these Canons, including conduct that violates moral principles, customs and practices of the Profession, the law or regulations, may be subject to disciplinary action in accordance with the "Rules and Procedures Regarding the Canons of Ethical Conduct" ("Rules"). Disciplinary action depends on the particular circumstances involved and, without limitation, how the conduct in question reflects upon the dignity and integrity of the Profession.

The Committee will take appropriate action, if any, consistent with the Rules. Each CDE has a civic and professional obligation to report to the appropriate governmental body any and all evidence that may come to his/her attention involving the alleged criminal conduct of any CDE relating to the practice of DSME.

**C1.3 Disclosure of Other Agency Actions**

Each CDE must promptly, fully and accurately disclose to the Board any and all investigations, findings, and actions by any government agency, quasi-government agency, licensing board, registration body, or other similar health related agency or body responsible for national, state or local licensing and/or oversight of diabetes education-related licenses, certifications, or the like ("Agencies"). The CDE's disclosure requirement includes investigations by federal, state and/or private payors regarding existing or potential known or unknown billing malfeasance. Each CDE must make such disclosure to the Board within thirty (30) days from the date of the commencement of action by any Agency. Each CDE must promptly and fully cooperate with the Board and with the Agencies.

**II. RESPONSIBILITIES TO THE PHYSICIAN AND/OR APPROPRIATELY LICENSED/REGISTERED HEALTHCARE PROVIDER**

**C2.1 Provision of Services**

The CDE shall recognize the person's freedom of choice in selection of diabetes treatment and education and his/her health care provider. Professional affiliations, including employment and referral relationships, may not adversely limit access to services and shall not adversely affect the decision-making process of the CDE. The CDE must adhere to the ethical principles of the Board which shall take preference over business relationships.

**C2.2 Scope of Practice**

The Certification Examination for Diabetes Educators (Examination) is sensitive to areas of general practice and contemporary diabetes knowledge across multiple professional disciplines. Passing the Examination verifies core knowledge in the field of diabetes. Holding the CDE credential does not confer any permission to manage diabetes beyond the scope of the individual's professional practice. The boundaries of professional practice are determined by state practice acts. Job descriptions and job functions are determined by employing agencies, not the CDE credential.

**C2.3 Services Not Components of DSME**

The CDE shall only provide DSME as defined by the National Certification Board for Diabetes Educators. While other services may be provided in the management and treatment of a person with diabetes/pre-diabetes, they may not be promoted or provided as components of DSME.

## III. RESPONSIBILITIES TO THE PERSON WITH DIABETES/PRE-DIABETES

### C3.1 Evaluation and Recommendation

It is the responsibility of the CDE to recommend diabetes self-management plans specific to the needs of the individual and to provide appropriate educational and learning information to the person with diabetes/pre-diabetes, other healthcare professionals, the public, etc. The CDE shall recognize that each individual person is unique and deserves specific and responsive guidance from the CDE. The CDE shall be guided at all times by concern for the physical, emotional, social and economic welfare of the person. The needs, goals and life experiences of the person shall be taken into account. All decisions by the CDE must be made with the understanding and intent that the individual person's best interests are the primary concern.

### C3.2 Confidential Information

All information related to a person's identity, background, condition, treatment, management plan or education plan or any other information related to the CDE/person or people with diabetes/pre-diabetes is and shall always remain confidential and may not be communicated to any person or entity who is not providing direct medical care to the patient without the prior written consent of the patient or patient's legal guardian.

Information that may be derived from any CDE's peer review process shall be held and always remain confidential by all participants unless written permission to release the information is obtained from the person under the care of the CDE or that person's legal guardian. All information derived in a work place from a working relationship related to the care of a person with diabetes/pre-diabetes shall be held and always remain confidential by all parties. The confidentiality requirements set forth in this Canons C3.2 shall be strictly adhered to by all CDEs unless required otherwise by law or valid court order or subpoena, or if it becomes necessary to disclose such information to protect the welfare of the person with diabetes/pre-diabetes and/or the community. In such an event, any disclosure of confidential information shall be in accordance with applicable legal requirements.

### C3.3 Trust and Honesty

The CDE shall be truthful and honest.

### C3.4 Fees and Compensation

The CDE shall provide services based on the needs of the individual receiving the services and not solely for personal financial gain. The CDE shall not engage in false, misleading or deceptive actions in relation to the ultimate cost of the services undertaken or furnished. The CDE shall not over utilize or unnecessarily continue services beyond the point of benefit or by providing services more frequently than necessary.

The CDE shall not submit false or misleading information in requesting payment or reimbursement.

### C3.5 Practice Arrangements

The CDE shall not: (i) directly or indirectly request, receive or participate in dividing, transferring, assigning or rebating any funds derived from a referral of a patient to any other individual or entity, whether affiliated with the CDE or otherwise; or (ii) profit by means of a credit or other valuable consideration, such as an unearned commission, discount or gratuity for providing services, except for the fees earned for services performed for the patient.

The CDE shall refer all persons with diabetes/pre-diabetes to the most appropriate service provider, taking into consideration the nature and extent of the problem, treatment resources and availability of healthcare benefit coverage, and the likelihood of receiving appropriate and beneficial care. If the CDE is involved in an arrangement with a referring source in which the referring source derives income from the CDE's services, the CDE must disclose all pertinent information to the patient, including without limitation that the referring practitioner derives income from the provision of the services. The CDE shall advise his/her employer of any employer or employee practice which is in contradiction with this Canons C3.5.

### C3.6 Compliance with Laws and Regulations

The CDE shall provide DSME and other services in accordance with Federal law and the laws and regulations of the jurisdiction(s) in which they practice.

### C3.7 Reporting

The CDE shall report to the Board any conduct that reasonably appears to violate these Canons. This reporting requirement includes, without limitation, self-reporting, and the reporting about other CDEs, in connection with a third party investigation and finding, regardless of whether the investigation has been completed.

### C3.8 Delegation of Responsibility

The CDE shall not delegate any task requiring unique skills, knowledge or judgment to an unqualified person. The primary responsibility for services provided by supporting personnel rests with the delegating CDE.

### C3.9 Illegal Discrimination

The CDE shall not decline to accept a patient on the basis of race, gender, color, religion or national origin or on any basis that would constitute illegal discrimination under federal law.

### C3.10 Sexual Relations with Patient Prohibited

The CDE shall not have consensual or nonconsensual sexual relations with a current or former person under the care of CDE unless a consensual sexual relationship existed between the CDE and the person prior to the provision of

any diabetes educational services or the CDE has not provided any diabetes educational services to the person for a one year period preceding the beginning of the sexual relationship or for a one year period after the termination of the sexual relationship. The CDE shall not engage in, require, or demand sexual relations with a person incident to or as a condition of any diabetes educational services.

**IV. RESPONSIBILITIES TO COLLEAGUES AND THE PROFESSION**

**C4.1 Dignity**

The CDE has the personal responsibility to conduct him/herself in a manner that will assure the dignity and status of the Profession. Examples of unacceptable behavior include, but are not limited to, falsifying documents, misusing the certification credential, slandering or libeling another, disparaging former employers, disparaging former employees, and misrepresenting one's capacity as a provider of services.

**C4.2 Solicitation**

The CDE shall not, either directly or indirectly, solicit the patronage of individual patients or students by way of intimidation, threats, harassing conduct, undue influence, coercion, duress, or unwarranted promises of benefits. The CDE shall not solicit a person who is in a mental condition that impairs his/her personal judgment to make decisions concerning the services being offered. The CDE shall not solicit a person in a manner that is inconsistent with his/her obligation to act in a dignified manner as set forth in Canon C4.1 above.

**C4.3 Examination**

The CDE shall maintain the security and prevent the disclosure of credentialing examinations and their content.

**V. PATIENT CARE BY OTHER HEALTHCARE PROFESSIONALS**

**C5.1 Concern about Care by Other Healthcare Professionals**

The CDE should exercise appropriate respect for other healthcare professionals. Concerns regarding patient care provided by other such professionals should be addressed directly to those professionals rather than to the patient. In the event that such concerns rise to the possible level of criminal violation, incompetence or malpractice, then the CDE must immediately notify the appropriate credentialing, licensure, or registration authority and, if necessary, the patient or legal guardian.

**VI. CREDENTIAL**

**C6.1 Use of Credential**

The CDE shall use the fact that he/she is credentialed only as evidence of meeting the requisite standard of knowledge and competency in the discipline in which the CDE is credentialed, as defined by the Board. The CDE shall not use the credential to promote any services that are outside the scope of practice of a diabetes educator.

**C6.2 Endorsement of Products, Medication, Devices or Supplies**

While a CDE may recommend the use of specific products, medications, devices or supplies, the CDE credential may not be used to label, suggest or otherwise infer that such products, medications, devices or supplies have been endorsed by the National Certification Board for Diabetes Educators.

**C6.3 Employment by Manufacturers, Pharmaceutical Companies or Suppliers**

It is permissible to be employed by a manufacturer, pharmaceutical company or supplier as a CDE. However, the CDE credential may not be used in a manner prohibited by Canon C6.2.

**VII. APPLICATION OF CANONS**

**C7.1 Adherence to Canons**

These Canons shall apply to all CDEs, including certification examination candidates.

## Rules and Procedures

### I. RESPONSIBILITY AND OBJECTIVES OF THE PROFESSIONAL DISCIPLINE COMMITTEE

**R1.1 Objectives.** The fundamental objectives of the Professional Discipline Committee ("Committee") are to enforce the Canons of Ethical Conduct ("Canons") to ensure that any person who has applied for, or has been awarded the Certified Diabetes Educator® ("CDE") credential by the National Certification Board for Diabetes Educators ("NCBDE") is practicing in accordance with professional standards and to protect the public against unprofessional and unethical conduct by CDEs or certification candidates.

**R1.2 Rules.** The Committee shall review and analyze the Canons and shall propose recommendations regarding the Canons for adoption by the Board of Directors ("Board") of NCBDE.

**R1.3 Conduct.** The Committee is responsible for receiving, reviewing and, if appropriate, adjudicating complaints of unprofessional conduct and/or alleged violations of the Canons.

**R1.4 Resolution of Complaints.** The Committee shall resolve all complaints of unprofessional and unethical conduct and/or alleged violations of the Canons, including, without limitation, findings, conclusions and sanctions, if warranted.

**R1.5 Reports.** Upon the Board's request, the Committee shall deliver a summary report to the Board identifying the Committee's activities.

**R1.6 Procedures.** Subject to the review of the Board, the Committee shall adopt procedures and safeguards governing the functions of the Committee to ensure that all CDEs and certification applicants and the Committee are in full compliance with the Canons and these *Rules and Procedures Regarding the Canons of Ethical Conduct* ("Rules").

**R1.7 Time.** The time periods set forth in these Rules are intended to provide guidance to the Committee, the Board and all relevant parties, and may be extended at the Committee's discretion depending on the circumstances of each proceeding. Failure of the Committee, the Board or any party to comply with the time periods shall in no event prevent the continuation or conclusion of a proceeding by the Committee or the Board.

### II. NATURE OF AUTHORITY

**R2.1 Power to Investigate.** The Committee shall have the power to, but shall not be obligated to, adjudicate all allegations of unprofessional and unethical conduct that may be harmful to colleagues, or to the public or that may be otherwise contrary to the objectives of the Canons or NCBDE, provided that such allegations are made in writing. The Committee's powers do not extend to addressing economic issues as they relate to legitimate marketplace competition.

**R2.2 Disposition of Complaints.** The Committee has the sole authority to decide whether to act on a complaint and to make final determinations regarding each complaint, subject to the Board's authority to conduct an appeal as set forth in these Rules.

**R2.3 Committee Actions.** The Committee may take the following actions:

a. notify all parties in writing that no action is warranted against the CDE or certification candidate;

b. request that the CDE or certification candidate cease the improper conduct, accept supervision, or seek appropriate assistance;

c. place on probation or reprimand the CDE;

d. suspend the CDE's credential for an appropriate amount of time;

e. permanently revoke the CDE's credential or temporarily or permanently revoke a certification candidate's eligibility to take the certification examination;

f. refer the matter to the proper authorities for criminal prosecution, if appropriate; and/or

g. propose other action that is warranted under the circumstances.

**R2.4 Monetary Award.** The Committee will not determine or impose monetary awards or penalties.

**R2.5 Committee** Meetings. The Committee shall meet at reasonable intervals, as needed, but not less than two (2) times each year. A quorum at such meetings shall consist of a majority of the members of the Committee. The Committee may meet by telephone conference call. All Committee members must be given at least ten (10) days advance written notice of any meeting, provided that such notice may be waived by any member of the Committee or by the attendance of any member of the Committee at the meeting. Notices may be communicated by mail, hand delivery, electronic transmission or by facsimile.

**R2.6 Confidentiality.** All information disclosed to the Committee and/or the Board, shall be maintained on a confidential basis, except that the Committee and/or the Board shall be permitted to disclose such information when compelled by a validly issued subpoena, when otherwise required by law, to law enforcement officers and/or government agencies if warranted and as determined by NCBDE or the Committee in its sole discretion, or to parties essential to the review and investigation of the alleged unethical or unprofessional conduct, including their legal counsel. Public information shall not be considered confidential information for purposes of this Rule R2.6.

**R2.7 Determination.** When an investigation has been completed and the Committee has made its decision, it shall inform both the complainant ("Complainant") and the CDE or certification candidate of its conclusions and the actions to be taken, if any, along with the bases for such actions. Such disclosures shall include a citation to any particular Canons section violated.

**R2.8 Record Keeping.** The Committee shall establish reasonable procedures to ensure that confidentiality is maintained with respect to the handling, storage, maintenance and destruction of records.

**III. CDE OR CERTIFICATION CANDIDATES CONVICTED OF OR CHARGED WITH FELONIES OR DISCIPLINED BY OTHER ENTITIES, ORGANIZATIONS OR AGENCIES**

**R3.1 Conviction/Charge.** If the CDE or certification candidate has been convicted of, pled guilty to, and/or pled nolo contendere to a felony, and/or it the Committee finds that a federal, state or other recognized appropriate enforcement agency ("Agency") has determined that the CDE or certification candidate is in violation of pertinent rules and regulations, the Committee shall review the record leading to the conviction, plea and/or Agency finding and will thereafter send the CDE or certification candidate a notice requesting the CDE or certification candidate show good cause why he/she is not in violation of the Canons. This action will be conducted without the right to have a hearing, as described in Rule R5.6. Following receipt of the CDE or certification candidate's response, the Committee may proceed with a final determination in accordance with Rules R2.3 and R6.1. If the CDE or certification candidate has been charged with a felony and/or possible violation of a pertinent rule or regulation, such charge will neither require nor preclude further action by the Committee.

**R3.2 Affiliations.** If the CDE or certification candidate has been expelled or suspended for unethical or unprofessional conduct from a national, regional or state professional association, or had his/her license/registration or credential revoked or sanctioned in any way on ethical grounds by a federal or state licensing, registration, or certifying authority, the Committee shall review the records leading to the sanction(s), if available, and may, if appropriate, send the CDE or certification candidate a notice that his/her/its credentialed status will be suspended, denied or revoked without further proceedings.

**R3.3 Malpractice.** If the CDE or certification candidate has acknowledged committing or has been found to have committed malpractice, the Committee shall review the record leading to the findings, if available, and may thereafter send the CDE or certification candidate a notice that his or her credentialed status will be suspended or revoked without further proceedings.

**R3.4 Committee Hearing.** Except in those instances set forth in Rule R3.1 above, if the CDE or certification candidate's credentialed status is revoked or suspended pursuant to Rule R3.2 or R3.3, within thirty (30) days from the date of notice of such decision, the CDE or certification candidate shall be permitted to petition the Committee, in writing, to request an appeal hearing. The hearing shall be conducted orally by telephone conference call. The hearing may be conducted in person if the Committee determines that exceptional circumstances exist warranting an in-person hearing. The hearing shall be scheduled by the Committee within thirty (30) days of receipt of the CDE or certification candidate's notification, and shall take place within sixty (60) days thereafter at a date and time established by the Committee. The CDE or certification candidate shall be responsible for all of his/her costs.

**IV. DISCIPLINARY PROCEDURES: INITIAL CONSIDERATION**

**R4.1 Complaint.** A complaint ("Complaint") against any CDE or certification candidate may be submitted by: (i) any party claiming to have been harmed by the unethical or unprofessional conduct of the CDE or certification candidate; (ii) any national, regional or state professional association of which the CDE or certification candidate is a member; (iii) any licensing or credentialing authority; (iv) NCBDE; or (iv) the Committee. The Complaint must be in writing and must contain complete and accurate information as required by the Complaint form.

**R4.2 Disclosure of Previous Actions.** The Complainant shall inform the Committee of previous steps, if any, that have been taken with respect to the alleged unethical or unprofessional conduct and the results of such steps taken.

**R4.3 Committee Complaint.** The Committee may proceed on its own initiative when a CDE or certification candidate appears to have violated the Canons by initiating an investigation and/or requesting information from the CDE or certification candidate and/or by submitting a formal Complaint.

**R4.4 Anonymous or Oral Complaint.** The Committee may not act solely on the basis of an anonymous or oral Complaint.

**R4.5 Additional Information.** The Committee may, through correspondence or otherwise, seek supplementary information from the Complainant or any other party, when necessary, in order to completely evaluate the substance of the allegations. In the event that the Committee determines that additional information is necessary but the Complainant refuses to provide such information, the Committee may determine that the case should be closed.

**V. DISCIPLINARY PROCEDURES: INITIAL ACTION**

**R5.1 Initial Determination.** Within forty-five (45) days of receiving a Complaint from the Complainant, the Committee shall determine whether sufficient information exists to

proceed with a formal investigation. The Committee shall not proceed until such time as the Committee is satisfied that the Complainant has complied with all procedural requirements. If the Committee concludes that an investigation is not warranted, it shall notify the Complainant of its determination within thirty (30) days thereafter.

**R5.2 Formal Investigation.** If the Committee determines that a formal investigation should ensue, it shall notify the Complainant and CDE or certification candidate of its determination within thirty (30) days. The notification sent by the Committee to the CDE or certification candidate shall include the Complaint and a description of the alleged behaviors involved in the Complaint, including the specific section of the Canons that the CDE or certification candidate is alleged to have violated. The notification shall include a copy of the Canons and these Rules. The notification shall further contain the name of the Complainant. If the Complainant refuses to have his/her name known to the CDE or certification candidate, the case shall be closed. The notification shall include a statement that the information submitted by the CDE or certification candidate shall become part of the record and may be used in further proceedings.

**R5.3 Response to Complaint.** The CDE or certification candidate is required to provide to the Committee, and personally sign, his/her written response within fifteen (15) business days from the date of the notification sent by the Committee. The CDE or certification candidate's response must be complete, accurate and fully responsive to the Complaint. Failure to respond or any other unwarranted delay by the CDE or certification candidate, or the lack of the CDE or certification candidate's cooperation, shall in no way prevent the continuation or conclusion of the proceedings by the Committee as it deems fit.

**R5.4 Additional Information.** If, after receipt of the CDE or certification candidate's response, the Committee determines that additional information is warranted from either or both the Complainant or the CDE or certification candidate, or from any third party, it shall notify the Complainant and the CDE or certification candidate of the request for additional information. The parties shall provide the additional information no later than fifteen (15) days from the date of the request for additional information.

**R5.5 No Further Action.** Once all of the information has been received pursuant to Rules R5.3 and R5.4 above, the Committee may conclude that the Complaint has no basis in fact, is insufficient or is likely to be corrected on its own merit and, therefore, may determine to close the case without further action. Such decision shall be made within forty five (45) days of the Committee's receipt of all of the information. If the Committee determines to close the case, it shall inform both the Complainant and the CDE or certification candidate.

**R5.6 Right to a Hearing.** If the Committee, having received all information pursuant to Rules R5.3 and R5.4 above, determines that further action is warranted, it shall notify the Complainant and the CDE or certification candidate that the Committee is prepared to consider all of the information before it and render a decision on that basis. The CDE or certification candidate may request that, prior to such analysis and decision, he/she be afforded the opportunity to have a hearing before the Committee so that he/she may present his/her interpretation of the facts before the Committee. If the CDE or certification candidate desires to have a hearing before the Committee, he/she must so notify the Committee, in writing, within fifteen (15) days of the Committee's notification to the CDE or certification candidate and Complainant as set out in this Rule R5.6. The CDE or certification candidate's failure to timely request a hearing shall be deemed a waiver by the CDE or certification candidate of the right to a hearing. All hearings shall be by telephone conference call unless, due to exceptional circumstances, the Committee determines in its sole discretion to conduct an in-person hearing. The Complainant shall be invited to be present during the hearing. If the Complainant is invited to be present during the hearing but does not attend, the hearing and investigation shall not be suspended or revoked. The Complainant's failure to attend may be considered as a factor in the Committee's determination relating to that particular matter.

**R5.7 Peer Review.** The hearing process shall be conducted through peer review. The CDE or certification candidate may be accompanied by any third party, including legal counsel. However, the CDE or certification candidate, personally, and not any other party including without limitation the CDE or certification candidate's legal counsel, shall make all presentations, responses and address all issues to the Committee.

**R5.8 Committee Panel.** The Committee may, in its discretion, establish a panel ("Panel") consisting of at least three (3) Committee members, to act on its behalf at any hearing referred to in these Rules. The Panel shall conduct any such hearing in accordance with these Rules and shall report all findings during the hearing to the Committee for the Committee's consideration and determination.

**R5.9 Hearing Date/Time.** If the CDE or certification candidate requests a hearing pursuant to Rule R5.6, the Committee shall schedule a hearing date no later than sixty (60) days after receipt of the CDE or certification candidate's request. The Committee shall notify the CDE or certification candidate and Complainant of the date and time of the hearing. If the hearing is conducted by telephone conference call, the Committee, in its sole discretion, shall determine the date and time of the hearing. If the hearing is conducted in-person, the Committee, in its sole discretion, shall determine the location, date, and time of the hearing. The CDE or certification candidate and Complainant shall each pay all of his/her own costs, respectively.

**VI. DISCIPLINARY PROCEDURES: DISPOSITION OF COMPLAINT**

**R6.1 Committee Action.** If the Committee concludes that some type of action is warranted, it shall adopt any one (1) or more of the following sanctions or take any other appropriate action:

a. require that the CDE or certification candidate cease and desist the alleged conduct;

b. require the supervision of the CDE or certification candidate as the Committee sees necessary;

c. reprimand the CDE or certification candidate if the Committee determines there has been a Canons violation but no damage to another person, the public or the profession has occurred;

d. censor the CDE or certification candidate if the Committee determines there has been a Canons violation but the damage done is not sufficient to warrant more serious action;

e. place the CDE or certification candidate under probation and actually and systematically monitor the CDE or certification candidate for a specific length of time;

f. if appropriate, refer the matter to the national, regional and state professional association and/ or a state licensing, registration, or certifying authority;

g. suspend or revoke the CDE or certification candidate's credential;

h. require the CDE orcertification candidate to take remedial personal rehabilitative and/or educational actions;

i. and/or take any other action as set forth in Rule R2.3 above.

**R6.2 Notification.** The Committee shall notify the Complainant and CDE or certification candidate of its determination and action to be taken within thirty (30) days of the date of its decision.

**R6.3 Appeal.** The CDE or certification candidate shall have fifteen (15) days from the date of the notification to appeal the Committee's findings. The CDE or certification candidate must notify the Committee in writing within fifteen (15) days of the date of the Committee's notification if he/she intends to appeal. The appeal must be mailed by certified mail, return receipt requested or by verifiable overnight express mail service, to NCBDE's headquarters. The CDE or certification candidate's notification must include all reasons and bases for the appeal. If the CDE or certification candidate does not appeal the Committee's decision within the fifteen (15) day time period, the Committee's conclusions and sanctions shall be deemed final, effective immediately. The Committee shall so notify the Complainant and the CDE or certification candidate.

**R6.4 Panel.** The Board may elect to establish a panel consisting of three (3) of its members ("Appeal Panel"), who are not simultaneously serving on the Committee, to act on its behalf to review, consider and make a final determination about an appeal of a Committee decision.

**R6.5 Board.** If the CDE or certification candidate appeals a decision by the Committee regarding the imposition of discipline and/or sanctions, he/she must do so by submitting a written appeal statement. The Board or Appeal Panel shall consider the written appeal statement and all available evidence. The CDE or certification candidate shall pay for all of his/her own costs.

**VII. BOARD'S DECISION**

**R7.1 Further Consideration.** The Board or Appeal Panel may, after reviewing the decision of the Committee, determine that the Committee did not properly review the evidence prior to making its final decision in the matter. In such case, the Board or Appeal Panel may remand the matter back to the Committee for further consideration.

**R7.2 Board or Appeal Panel's Decision.** The Board and Appeal Panel shall only overrule the Committee's decisions in the event of the following:

a. the Canons were incorrectly applied;

b. the findings of facts by the Committee were clearly erroneous;

c. it would be unjust or unfair to implement the Committee's decision;

d. the procedures used by the Committee were in serious and substantial violation of the Canons and these Rules; and/or

e. the disciplinary sanctions determined by the Committee were grossly disproportionate to the facts.

In no event shall the Board and Appeal Panel be bound by the Committee's determination regarding the sanction.

**R7.3 Notification.** Within sixty (60) days of receipt of the written appeal statement, the Board or Appeal Panel shall notify the Complainant and the CDE or certification candidate of its decision which shall be final. The Board and Appeal Panel's decision may not be appealed. Once the Board or Appeal Panel's decision has been made, it shall notify the Committee, which shall implement the Board or Appeal Panel's directives.

**R7.4 Publication of Sanction.** NCBDE shall report, at least annually, the names of all sanctioned CDE or certification candidates and the violations of the Canons involved. In addition, NCBDE shall notify all interested national, regional

and state professional associations as well state licensing and certifying authorities; and, on request, any interested person or public agency deemed necessary to protect the public and/or who recognizes the standards of NCBDE.

**VIII. CLOSE OF CASE**

**R8.1 Close of Case**. Once the final decision has been made by the Committee, the Board or Appeal Panel, the matter shall be closed and the files shall be retained at NCBDE's headquarters.

**IX. REQUEST FOR REINSTATEMENT OF CREDENTIAL**

**R9.1 Reinstatement Request.** NCBDE will consider all written reinstatement requests, which must include the following information: (i) the date of the final Committee or Board or Appeal Panel disposition; (ii) a complete statement of reasons that the CDE or certification candidate believes support the reinstatement request; and (iii) copies of all relevant documents and materials supporting the reinstatement request. NCBDE will provide its decision to the CDE or certification candidate within forty five (45) days of receipt of the reinstatement request.

**X. GOVERNING LAW/VENUE**

**R10.1 Governing Law.** The laws of the State of Illinois shall govern these Rules.

**R10.2 Venue.**
The CDE or certification candidate and NCBDE agree to file and pursue all claims and suits regarding these Rules solely with the applicable court in the jurisdiction in which NCBDE's headquarters are located.

# NOTES

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**National Certification Board**
**for Diabetes Educators**
**330 E. Algonquin Road, Suite 4**
**Arlington Heights, IL 60005**
**Voice (877) 239-3233 or (847) 228-9795**
**Fax (847) 228-8469**
**www.ncbde.org**