



The Center for Strategic Business Integrity (CSBI) and Hall Consulting, Inc. (HCI) NASBA Continuing Professional Education (CPE) Program Policies

Overview

CSBI Director John J. Hall is the President of Hall Consulting, Inc. Since 1990, Mr. Hall and Hall Consulting have specialized in providing professional education programs and conference presentations for executives, Board members, auditors, association leaders and organization staff members.

Continuing Professional Education (CPE) Credits earned through programs offered through the Center for Strategic Business Integrity are awarded and administered via a partnership relationship by Mr. Hall and Hall Consulting, Inc. under their sponsorship agreement with the National Association of State Boards of Accountancy (<http://www.NASBA.org>). Further information on NASBA and their standards can be found in this document in the paragraphs below.

INDIVIDUAL SEMINAR, WEBINAR AND OTHER CSBI PROGRAM PARTICIPANTS SHOULD PERSONALLY DETERMINE WHETHER CPE CREDITS ISSUED USING OUR NASBA SPONSORSHIP NUMBER QUALIFY FOR CREDIT IN OTHER PROFESSIONAL CERTIFICATIONS.

All questions regarding CSBI training content, administration, delivery, credits earned or other issues should be directed to John Hall at:

John@JohnHallSpeaker.com
(970) 926-0355
Hall Consulting, Inc.
PO Box 6263
Denver, CO 80206

Credit for Continuing Professional Education (CPE) **National Registry of CPE Sponsors**

Hall Consulting, Inc. is registered with the National Association of State Boards of Accountancy (NASBA) as a sponsor of continuing professional education on the National Registry of CPE Sponsors. State boards of accountancy have final authority on the acceptance of individual courses for CPE credit. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN, 37219-2417 or by visiting the web site: www.nasba.org.

In accordance with the standards of the National Registry of CPE Sponsors, CPE credits have been granted based on a 50-minute hour. Two-day programs are eligible for 16 CPE credits; one-day programs are eligible for 8 CPE credits. Actual credits awarded are based on actual program length.

Delivery Method and Program Materials

All programs utilize a combination of lecture, discussion and group exercises. Program participants receive a course notebook and copies of all PowerPoint slides used during the program.

To facilitate the full implementation of program concepts in the work environment and to encourage the sharing of program ideas with others in the workplace of program participants, electronic copies of all materials used in the presentation are available to participants who have completed the program at the individual participant's request.

Program Level and Prerequisites

Our programs are created to accommodate participant groups seeking from a basic to advanced learning experience. In general, no specific prerequisites are necessary unless stated in the individual program marketing materials. However, for all CSBI and Hall Consulting programs a working knowledge of the program's subject matter or related work experience would be beneficial.

For each in-house program, we solicit comprehensive input from the sponsoring organization regarding participant backgrounds and meeting objectives. Course content and discussion emphasis is tailored to reflect that input.

For programs where such advance input is not possible (such as for public offerings, where participants would not be known until the program date) time is allocated during the introduction section of the program to solicit participant input.

Advance Preparation

Unless otherwise stated in a program's marketing materials, no advanced preparation is required.

Control of Participant Attendance and Awarding of CPE Credits – Group Live Programs

All CSBI and Hall Consulting instructors are responsible for ensuring that all participants are present for all program segments. This is to be accomplished as follows:

- A formal sign in and sign out log sheet shall be used for each day. All participants shall individually sign in at the beginning of the program.
- The instructor shall perform a count of the participants present and shall match that number counted with the number of signatures on the sign in log sheet.
- Throughout the program, and especially at the conclusion of the program, the instructor should visually confirm that all participants are present.
- If a participant should leave the program room for more than a few minutes (restroom breaks, phone calls, etc.), the instructor is responsible for keeping a list of time absent, for identifying the participant, and for adjusting the CPE credits granted to that participant.

In addition, all instructors are required to document actual program times in session, including the time and length of all formal breaks and meals.

Control of Participant Attendance and Awarding of CPE Credits – Technology and Webinar-Based

Attendance and participation are monitored using electronic polling questions (if the program is delivered via our GoToWebinar or similar software platform), or via the instructor giving out CPE credit 'code words or phrases' during the program. If the option of code words or phrases is chosen, participants must write back after the program by email or as part of the evaluation process with the required code words or phrases in order to receive credit.

Policy on Program Updates

For all Group-Live programs, desired learning objectives, actual seminar content and instructional methods will be discussed with every client as part of the engagement acceptance process. Appropriate tailoring will be made to both materials and classroom discussion to ensure that client objectives are fully met.

Programs on Leadership, Personal Effectiveness and Business Performance

Programs containing content on Board and Board Advisor topics, non-fraud technical topics, high-impact auditing, leadership and personal effectiveness areas will be formally reviewed at least every six months to ensure that all content and suggested practices are current.

Further, program offerings will be reviewed each time course masters are developed for delivery to clients or individual participants to ensure that any needed changes are made that will bring all content and seminar exercises up to date in accordance with current technical standards and actual field practice.

Programs on Fraud

Due to the constantly evolving nature of fraud related laws, schemes, auditing standards, auditor responsibilities and related best practices, all CSBI and Hall Consulting seminars and programs containing fraud risk prevention, detection and handling content will be reviewed for EVERY program offering to ensure that all content and learning points are current.

Documentation of Participation

All participants who successfully complete the program will receive documentation of their participation, which includes the following: (1) CPE program sponsor name and contact information; (2) participant's name (if made available); (3) program title; (4) program field(s) of study; (5) date offered or completed; (6) if applicable, location; (7) type of instructional/delivery method used (i.e., group-live; group-internet-based; self-study); (8) amount of CPE credit earned for each field of study; (9) verification by CPE program sponsor representative; (10) National Registry of CPE Sponsors identification number; and (11) time statement reading "In accordance with the standards of the National Registry of CPE Sponsors, CPE credits have been granted based on a 50-minute hour."

Record Retention

Hall Consulting will retain all records related to CSBI programs for a minimum period of five years from the program date. These records will include: (1) program outline and materials; (2) records of participation; (3) date(s) and location(s) of presentation or period during which program was available for purchase; (4) number of credits earned by participants; (5) results of program evaluations; (6) instructors, discussion leaders or program authors names and credentials; and (7) pilot testing results, for self-study programs, which includes date of pilot test; the target participation population; how the sample participants were selected; names, addresses, telephone numbers and job resumes of sample participants; a summary of participants actual completion time and the calculation of the recommended CPE credit.

Complaint Resolution

Any complaints should be directed to John Hall using any of the following contact methods:

Office Telephone: (970) 926-0355

Mobile Telephone: (312) 560-9931

e-mail: John@JohnHallSpeaker.com

US Mail: John Hall, Hall Consulting, Inc, PO Box 6263, Denver, CO 80206 USA

As the President and owner of Hall Consulting, Mr. Hall will make every effort possible to investigate the cause of all complaints and to take any corrective action that may be appropriate.

In addition, Hall Consulting, Inc. is registered with NASBA as a sponsor of continuing professional education on the National Registry of CPE Sponsors. Complaints regarding registered sponsors may be addressed to the National Registry of CPE Sponsors, 150 Fourth Avenue North, Suite 700, Nashville, TN, 37219-2417. Website: www.nasba.org.

Refunds

It is our policy to fully meet or exceed client and participant expectations. However, if for any reason clients or participants believe that their program needs were not met, we will refund the program fees.

Requests for refunds should be directed to John Hall using any of the following contact methods.

Office Telephone: (970) 926-0355

Mobile Telephone: (312) 560-9931

e-mail: John@JohnHallSpeaker.com

US Mail: John Hall, Hall Consulting, Inc, PO Box 6263, Denver, CO 80206, USA

Client In-House Program Cancellations and Changes to Confirmed Dates

Cancellations by clients of confirmed programs 30 days or more prior to the program date will result in full refund of all program fees paid.

At the discretion of CSBI and Hall Consulting management, cancellations by clients of confirmed programs within 30 days prior to the program date will be billed at 50% of the program fee plus any actual out of pocket costs incurred that cannot be recovered (airline change fees and non-refundable tickets, etc.).

For all programs that the client requests a change of date, CSBI and Hall Consulting agree to work closely with all clients to reschedule the program to a mutually agreeable alternate date. Our goal is to make your program a success.

CSBI and Hall Consulting agree to honor all confirmed commitments. If for any reason beyond the control of CSBI and/or Hall Consulting (sickness, injury, death, act of God, war, terrorism, or related issues) our instructor is unable to meet our commitment to the client, we will immediately notify the client designated emergency contact and will, at the client's request, attempt to find a replacement instructor acceptable to the client. In addition, we will agree to reschedule the program or make other changes within reason that are requested by the client.

Further Information and Program Registration

For any further information on any CSBI or Hall Consulting programs or to obtain information on registering for or sponsoring our programs, please contact John Hall directly as follows:

Office Telephone: (970) 926-0355

Mobile Telephone: (312) 560-9931

e-mail: John@JohnHallSpeaker.com

US Mail: John Hall, Hall Consulting, Inc, PO Box 6263, Denver, CO 80206, USA